

# University of Southern Indiana Employee Handbook

# Table of Contents

<b>University Handbook</b>	5	Holidays	62
Code of Ethics	5	Vacation Policy	63
Mission Statement	5	Sick Time Policy	64
<b>General Information</b>	6	Leaves of Absence Policy	66
Historical Background	6	Bereavement Policy	74
Organizational Chart	7	Jury Duty or Witness in Court	74
Administrative Organization	7	Election Day	75
State Control	9	Staff Training and Class Attendance	75
Ohio Valley Conference (OVC)	10	Emergency Closings or Inclement Weather	75
Campus Map	10	Parental Leave Policy	77
Councils and Committees	11	<b>Compensation and Payroll Procedures</b>	77
Definitions of University Terms	17	Salaries and Compensation	77
<b>Employment</b>	18	Authorization for Payroll and Pay Schedules	80
Equal Opportunity Statement	18	Payroll: Time Reporting	81
Employment-at-Will	19	Direct Deposit	81
Employee Categories	19	Social Security	82
Employee Groups: Faculty	20	Payroll Deductions	82
Employee Groups: Administrative/Support Staff	22	Call Back Time	83
Process for Filling New and Vacant Positions	23	Overtime and Compensatory Time	83
Administrative Procedures for Student Workers	25	Personal Data Changes	84
Administrative Procedures for Graduate Assistants	26	Salary Schedules and Position Classifications	84
Employment of Minors	27	Shift Differential	84
"Ghost" Employment	1	Pager Pay Differential Policy	85
Outside Employment	28	DoD Voluntary Education Partnership Incentive Compensation and Marketing	86
Nepotism (Employment of Relatives)	28	<b>General University Policies and Procedures</b>	87
Immigration Reform and Control Act	29	Sexual Harassment Policy	87
Sponsored Employment-Based Nonimmigrant and Permanent Residence Policy	29	Amorous Relationship	109
Personnel Records	32	Equal Opportunity and Non-Discrimination Policy	112
Introductory Period	34	Procedures for Resolving Complaints of Discrimination and Harassment	119
Promotion or Transfer	35	Tobacco-Free Policy	134
Performance Evaluations	35	Drug and Alcohol Policies	135
Disciplinary Actions	36	Policy on Communicable Diseases	136
Termination of Employment	37	Bloodborne Pathogens Exposure Control Policy	136
Exit Interview	39	Family Educational Rights and Privacy Act	137
Rehire (Break-in-Service)	39	Noncredit Programs	137
Uniforms and University Logo Wear Items	40	Statement on Freedom of Expression	138
Service Awards	41	Handling of Money on Campus	139
Release of Employee References and Employment Verifications	41	Travel	140
Expenditures for Hospitality Search Committee Guidelines	41	Check Cashing	142
Zachary's Law	43	Standards of Conduct	142
<b>Benefit Programs</b>	44	University Keys	143
Benefit Programs and Eligibility	44	Priorities for Use of University Buildings and Facilities	143
Health Insurance Programs	46	University Brand Standards	146
Flexible Benefit Plan	47	Dress Guidelines	147
Life Insurance	48	Political Activities	148
Disability Benefits	50	USI Today	148
Retirement Policy	51	University Strategic Communication and News Media Policy	149
Retirement Plans	55	Fund-Raising Policy	150
Worker's Compensation	57	Campus Solicitation Policy	151
Employee Assistance Program (EAP)	58	Obituary and Sympathy Policy	152
Banking Options	58	Purchasing Procedures	153
Fee Waivers and Course Enrollments	59	Use of Data Communications and Computers	153
Unemployment Insurance	61	Investigator Significant Financial Interest Disclosure Policy	157
<b>Time Off</b>	61	Alumni Relations and Volunteer USI	159
Attendance/Punctuality	61	Research Integrity Policy	159
Work Schedule	62	Posting/Chalking Policy	161
Rest Periods (Breaks)	62	Licensing Program and Trademark Policy	163

Animals on University Property .....	163
Firearms / Weapons Restriction on Campus .....	165
Accessions, Deaccessions, and Loans Policy for the University Art Collection .....	165
The Institutional Review Board for the Protection of Human Subjects in Research .....	166
Intellectual Property Policy .....	167
Conflicts of Interest: Compliance Disclosure Requirements .....	170
Fraud Policy Statement .....	172
Facilities & Administrative (F&A) Cost Policy .....	174
Illicit Discharges and Illegal Dumping .....	175
Construction & Post-Construction Site Runoff Control .....	176
Lactation Accommodation Policy .....	176
Whistleblower Policy .....	177
Memorial Tribute Policy .....	179
Background Checks for Faculty and Staff .....	179
University Web and Digital Content .....	180
Drone (Unmanned Aircraft) Use Policy .....	180
Solicitors on Campus -- Independent Textbook Buyers .....	184
Child Protection Policy .....	185
Information Security Policy .....	191
Alcohol Policy at Sponsored Events .....	204
<b>Miscellaneous Services .....</b>	<b>207</b>
Vehicle Safety Policy .....	207
Parking .....	212
Professional Memberships .....	213
Identification Cards .....	213
Food Service .....	213
State Sales Tax Exemption .....	214
Emergencies .....	214
Lost and Found .....	215
Library Services .....	215
Physical Activities Center .....	215
University Directory and Photo Headshot Database .....	216
Distribution Services .....	216
University Creative and Print .....	217
Recreation, Fitness and Wellness Center .....	219
Process for the Consideration of New Intercollegiate Sports Program .....	220
<b>Faculty Handbook .....</b>	<b>220</b>
<b>The Constitution of the Faculty .....</b>	<b>220</b>
Article I: Membership and Organization of the Faculty .....	220
Article II: Authority and Functions of the Faculty .....	221
Article III: Organization of the Faculty Senate .....	222
Article IV: Meetings of the Faculty Senate .....	223
Article V: Authority and Functions of the Faculty Senate .....	224
Article VI: Organization and Responsibility of Faculty Members .....	224

Article VII: Amendments .....	225
Article VIII: Ratification of the Faculty Constitution and By-Laws ..	225
<b>By-Laws of the Faculty Constitution .....</b>	<b>226</b>
Article I: Faculty Meetings .....	226
Article II: Making Resolutions .....	226
Article III: Review and Interpretation of Authority .....	226
Article IV: Membership of Faculty Committees .....	227
Article V: Standing Committees .....	228
Article VI: Amendments .....	231
<b>Faculty and Academic Policies .....</b>	<b>231</b>
Duties and Responsibilities of Faculty Members .....	231
Conditions of Employment .....	232
Academic Freedom .....	232
Role in Campus Dissent .....	233
Statement of Professional Ethics .....	234
Advising and Teaching Responsibilities .....	235
Faculty Absences .....	245
Outside Services Performed by Faculty Members .....	245
Faculty Enrollment in Courses .....	247
Duties and Responsibilities of Department Chairs .....	247
Duties and Responsibilities of Deans of Colleges .....	249
Duties and Responsibilities of the Director of Library .....	251
Academic Appointment, Promotion, and Tenure .....	253
Procedures for Promotion .....	270
Opportunity to Withdraw an Application .....	271
Dismissal from Employment .....	271
Responsibilities of Personnel Involved in the Promotions Process ..	271
Leaves of Absence .....	274
Procedures for Amelioration and Reconciliation of a Grievance ...	275
Academic Planning at University of Southern Indiana .....	279
Procedures for Changes in Undergraduate Curricula .....	282
Procedures for Changes in Graduate Curricula .....	291
Procedures for Initiating Online Learning Courses .....	294
Faculty Compensation for Online Learning .....	294
Duties and Responsibilities of the Graduate Faculty and Graduate Council .....	295
Student Academic Grievance Procedure .....	297
Removal of a Student from Class .....	300
Faculty/Student Expectations .....	301
Distinguished Professor Award .....	301
Outstanding Teaching Award for New Faculty .....	302
Outstanding Teaching Award for Adjunct Faculty .....	302
Outstanding Advisor Award .....	303
Faculty Community Service Award .....	303
Faculty Research and Creative Work Grants .....	304
Textbook and Educational Materials Royalties .....	305



# University Handbook

The Faculty Handbook, which was formerly incorporated into the University Handbook, has been organized into a separate document to aid faculty and administrators in locating policies applicable to them. The University Handbook, which applies to all University employees, should also be consulted by faculty as a source of employment-related policies and procedures.

## Code of Ethics

### Date

3/04

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**.

## Mission Statement

### Date

9/11

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

# General Information

## Historical Background

### Date

1/22

### Item

A.1

The University was established in 1965 in response to a need for public higher education in southwestern Indiana. From its earliest stage of planning in the early 1960s, community leaders have supported the University by providing a solid base for its present success and future growth. Local leaders worked with members of the Indiana General Assembly and Governor Roger D. Branigin to establish a public higher education campus.

The University of Southern Indiana (USI) began as a regional campus of Indiana State University, opening on September 15, 1965, in the old Centennial School Building, and offering classes to 412 students. In 1967 Southern Indiana Higher Education, Inc. (SIHE) raised nearly \$1 million to acquire the land where the campus now sits. Groundbreaking for the campus was held June 22, 1968, and the University moved to its present site four miles west of the city limits of Evansville in September 1969, graduated its first class of baccalaureate degree students in 1971, and achieved initial North Central Association accreditation in 1974.

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. On April 16, 1985, legislation was signed which made USI a separate state university. To give recognition to its role and mission, Orr appointed a group of leaders to serve as members of the University's new Board of Trustees. In 1987, transfer of accreditation, including at the master's degree level, was approved through the North Central Association. On June 30, 2008, SIHE transferred ownership of land and remaining assets to the USI Foundation.

## USI Today

USI enrolls approximately 9,750 undergraduate, dual credit and graduate students in more than 130 areas of study. A public higher education institution located on a beautiful 1,400-acre campus in Evansville, Indiana, USI offers programs through the College of Liberal Arts, Romain College of Business, College of Nursing and Health Professions and the Pott College of Science, Engineering, and Education.

USI is a Carnegie Foundation Community Engaged University and offers continuing education and special programs to more than 20,000 participants annually through Outreach and Engagement. The University offers study-abroad opportunities in many countries and is host to international students from around the globe.

Outreach projects include the administration of Historic New Harmony, Historic Southern Indiana, New Harmony Gallery of Contemporary Art, Center for Communal Studies, Epi-Hab Center for Disability Studies, and the Southern Indiana Japanese School among others.

A competitive member of NCAA Division II and the Great Lakes Valley Conference, USI offers 17 varsity intercollegiate men's and women's sports.

President Ronald S. Rochon is USI's fourth president and took office July 1, 2018. The University continues a tradition of affordable excellence through innovation and engagement and positions USI as a top choice for high-caliber college students across the state, nationally and internationally.

## Mission and Vision

The USI vision is a simple but powerful one: USI will be a recognized leader in higher education, boldly shaping the future and transforming the lives of our students through inspired learning and intentional innovation. Its mission statement is: USI is an engaged learning community committed to exceptional education. We exist to provide an

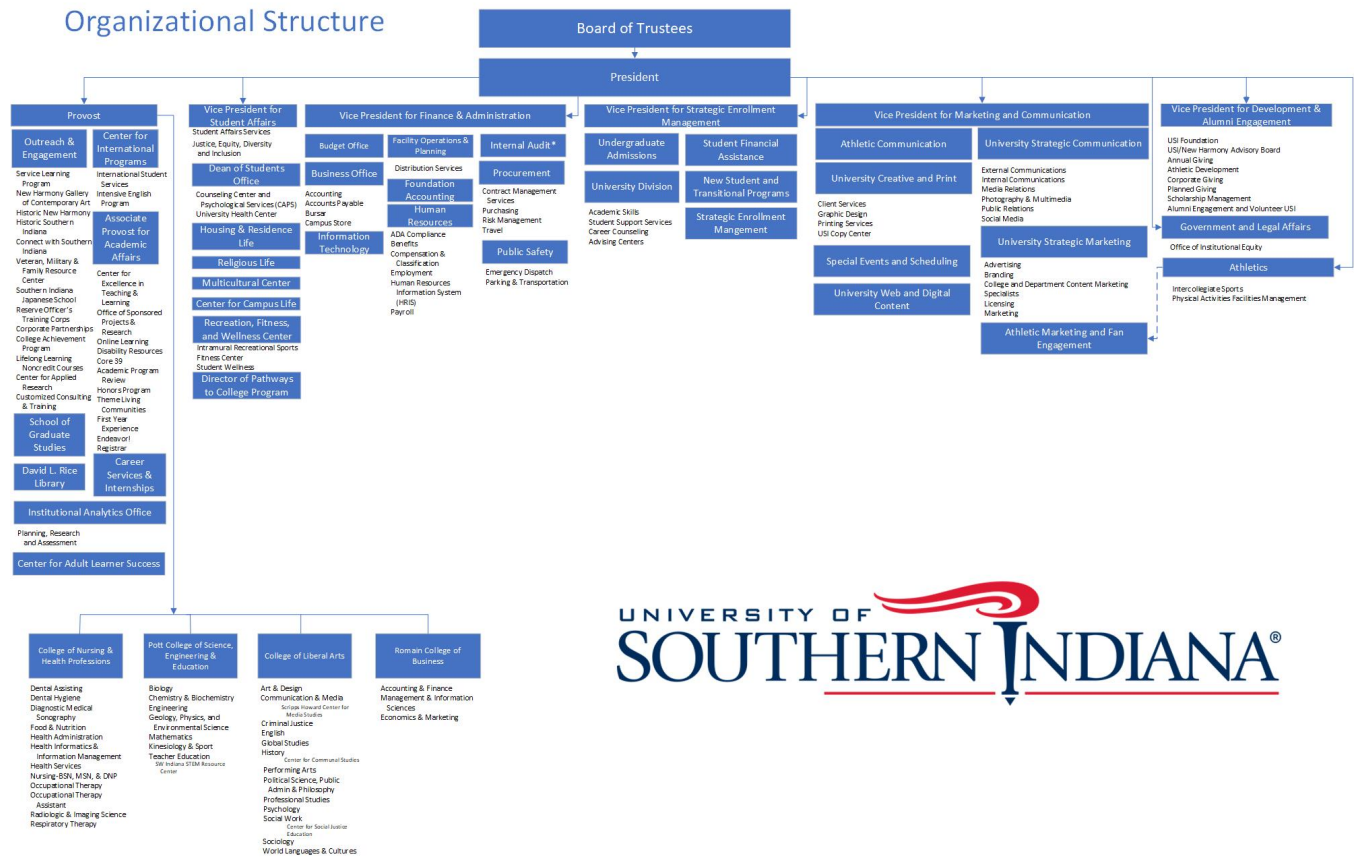
educated citizenry that can successfully engage in a community with diverse thought and ideas. We prepare our students to lead and make positive contributions to our state, their communities, and to be lifetime learners in a diverse and global society.

1. test
2. test

## Organizational Chart

Date  
5/23  
Item  
A.2

### Organizational Structure



\*Internal Audit reports functionally to the Board of Trustees and administratively to Vice President for Finance and Administration.

[Download Image](#)

## Administrative Organization

Date  
8/19  
Item  
A.3

## Office of the President

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

## Office of the Provost

The provost is responsible for the general administration, organization, and development of the academic and instructional services of the University. The Office of the Provost is responsible for coordinating and supervising the administration of the Colleges of Business, Liberal Arts, Nursing and Health Professions, and Science, Engineering, and Education, Registrar, the Division of Outreach and Engagement, School of Graduate Studies, David L. Rice Library, Institutional Analytics Office, Career Services and Internships, Center for Adult Learner Success, Center for Excellence in Teaching & Learning, Office of Sponsored Projects & Research, and Center for International Programs.

## Office of the Vice President for Finance and Administration

The vice president for Finance and Administration administers all business and financial affairs of the University, including budget control, financial accounting, information technology, purchasing, operation and maintenance of facilities, property/casualty and general insurance coverage, public safety, campus store, food services, rental properties, and supervision of new construction on the campus. The vice president also coordinates and supervises the administration for the human resources department, which includes the following areas: Equal Employment Opportunity and Americans with Disabilities Act, Employee Benefits, Compensation, and Payroll. 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 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: Dean of Students, University Health Center, Center for Campus Life, Counseling and Psychological Services (CAPS), Housing and Residence Life, Religious Life, Recreations, Fitness, and Wellness, and the Multicultural Center, Director of Pathways to College Program.

## Office of the Vice President for Development and Alumni Engagement

One of the main responsibilities of the Office of the Vice President for Development and Alumni Engagement 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 assists with 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.

## Office of the Vice President for University Marketing and Communication

The Vice President for University Marketing and Communication is responsible for leading the following areas:

University Marketing Strategy - University branding and licensing; marketing and advertising and College and department Content Marketing Specialists.

University Strategic Communication - University Communications-internal and external, including media relations, social media, public relations, and Photography and Multimedia.

University Creative and Print, including graphic design, client services, printing services and the USI copy center.



The vice president also provides oversight for Community Engagement and Special Projects, Athletic Communications, Athletic Marketing and Fan Engagement, University Web and Digital Content, and Special Events and Scheduling

## Office of the Chief Government and Legal Affairs Officer

The Office of the Chief Government and Legal Affairs Officer 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. This office also oversees the Indiana Access to Public Records Act, Title IX, and Affirmative Action.

## Office of the Vice President for Strategic Enrollment Management

The Vice President for Strategic Enrollment Management provides strategic leadership for the Offices of Undergraduate Admissions, Student Financial Assistance, New Student and Transitional Programs, and University Division which includes five academic-based, first year advising centers, Academic Skills, Career Counseling, and Student Support Services.

## State Control

### Date

7/17

### Item

A.4

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. 21-27-2. The by-laws and minutes of the Board of Trustees are available in the David L. Rice Library, in the Office of the President and on the web at [www.usi.edu/trustee](http://www.usi.edu/trustee). The Board meets in regular session bimonthly and board committee meetings are generally held prior to the regular meeting of the Board. A schedule of the meeting dates and times is available in the Office of the President and on the web at [www.usi.edu/trustee/meeting-schedule](http://www.usi.edu/trustee/meeting-schedule).

## 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 general purposes of the Commission are the following: (1) plan for and coordinate Indiana's state supported system of postsecondary education; (2) review appropriation requests of state educational institutions; (3) make recommendations to the governor, budget agency or the general assembly concerning postsecondary education; (4) perform other functions assigned by the governor or the general assembly, except those functions specifically assigned by law to the state workforce innovation council under I.C. 22-4.1-19; (5) administer state financial aid programs under I.C. 21-18.5-4; (6) provide staff and office space for the board for proprietary education established by I.C. 21-18.5-5-1. In addition, the Commission is authorized to approve new graduate-degree programs and may review (with the power to approve or disapprove) new associate, baccalaureate, graduate 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.

**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.

# Ohio Valley Conference (OVC)

**Date**

12/22

**Item**

A.5

The University has been participating in intercollegiate athletics as a member of the National Collegiate Athletic Association (NCAA) Division I level since August 2022, but in athletics at the NCAA level since September 1976. The OVC currently sponsors baseball, men's and women's basketball, men's and women's cross country, men's and women's golf, men's and women's indoor track & field, men's and women's outdoor track & field, men's and women's soccer, softball, women's tennis, and volleyball. Men's tennis plays in the Horizon League which is a joint sponsorship with the OVC while men's and women's swimming and diving compete in the Summit League. OVC members are Eastern Illinois University, Lindenwood University, University of Arkansas Little Rock, Morehead State University, Southeast Missouri University, Southern Illinois University Edwardsville, Tennessee State University, Tennessee Tech University, and the University of Tennessee Martin. The University offers nine men's and ten women's sports at the intercollegiate level.

The sports offered as NCAA sanctioned are:

<b>Men's Sports</b>	<b>Women's Sports</b>
Baseball	Basketball
Basketball	Cross Country
Cross Country	Golf
Golf	Indoor Track and Field
Indoor Track and Field	Outdoor Track and Field
Outdoor Track and Field	Soccer
Soccer	Softball
Swimming & Diving	Swimming & Diving
Tennis	Tennis
	Volleyball

# Campus Map

**Date**

12/19

**Item**

A.6

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

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## Councils and Committees

**Date**

3/23

**Item**

A.7

### 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 <https://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 Relations and Volunteer USI.

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 director of University Art Collections 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 vice president for Development/president of the USI Foundation, who serves as chair, the dean of the College of Liberal Arts, a staff member of the New Harmony Gallery of Contemporary Art, the director of the Kenneth P. McCutchan Art Center and Palmina f. and Stephen S. Pace Galleries, the chair of the Art Department, a community representative, an art historian or studio artist, and the director of University Art Collections. Two professors emeriti serve as ex officio members.

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 Information Technology. The committee reports to the provost and vice presidents.

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

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

Center for Excellence in Teaching and Learning (CETL) Advisory Board. Appointed by the provost, the Center for Excellence in Teaching and Learning Advisory Board supports and advises CETL in its mission to promote excellence in faculty activities and educational endeavors; serves as an advocate and liaison regarding CETL programming and services with faculty and staff in colleges/units; and provides feedback to help CETL align with the needs and goals of the faculty, academic staff, students, and the University. The chair is selected from its membership. Membership consists of representatives from each academic college; a representative of Library Services; a representative of University Division; a representative of the Council of Department Chairs and Program Directors; a representative of Faculty Senate; and a representative from OSPR/OPRA. Ex-Officio members are chair of Council of Department Chairs and Program Directors, Graduate Studies Director, Online Learning Executive Director, a representative from each college Dean's office, and the CETL Director.

Data Governance Committee. The Data Governance Committee establishes University practice relative to matters of institutional data, including but not limited to data definitions, data collection, data editing and integrity, data reporting and data security. Data Governance is led by a Data Governance Strategic Team, co-chaired by the University's chief data officer and the chief information officer and the committee consists of the vice president for Finance and Administration, vice president for Student Affairs, dean of students, director of Internal Audit, chief government and legal affairs officer, provost and representatives from Informational Technology, Planning Research and Assessment, and Risk Management. Reporting to the Strategic Team is the Data Governance Tactical Team, co-chaired by a representative of Information Technology and Planning, Research and Assessment. Representatives from Admissions; Business Office; Information Technology; Development/Foundation; Human Resources; Planning, Research & Assessment; Student Affairs; Registrar; and Student Financial Assistance are members of the Tactical Team.

Development Council. This council is responsible for determining the funding needs of the University to be underwritten by private gifts to the USI Foundation. This council also assists in planning solicitation of funds from private sources. The Development Council, appointed by the president, is composed of the Vice President for Development (chair); Associate Provost for Academic Affairs; the deans of the academic colleges; Dean of Students; Administrative Senate Chair; Council of Chairs Chair; Faculty Senate Chair (or designee); Staff Council Chair; Student Government Association President; directors of Alumni Relations and Volunteer Services; Athletics; Development; Graduate Studies; Historic New Harmony; International Programs; Library Services; Student Development Programs; Student Financial Assistance; Executive Director of Enrollment; Specialist of Student Financial Success Center; USI Board of Trustees Student Member; and USI Foundation Student Advisory Board Member. The Provost, Vice President for Finance and Administration, Vice President for Marketing and Communications, and Vice President for Student Affairs are ex officio members.

Endeavor Awards Program Committee. The Endeavor! Awards Program Committee, is chaired by a committee member selected by the associate provost for Academic Affairs. Voting members of the committee consist of one representative from each academic college, a representative of the Honors Council, the director of Endeavor Awards Program, an at-large member, and a chair (eight members total). The dean from each college will choose a member to serve on this committee and one alternate. The provost will select the at-large member. The committee will be responsible for reviewing proposals submitted for funding and recommending to the provost which proposals should be funded. Members of the committee from each college and the at-large member will serve two-year terms. The chair selected by the associate provost and director of Endeavor Awards Program serve continuous terms.

Endowment for New Harmony Studies Committee. The Endowment for New Harmony Studies was established in the USI Foundation to fund scholarly work that makes a significant and enduring contribution to the knowledge of New Harmony's history. The committee, appointed by the president, reviews requests for funds and makes recommendations for the provost's approval. Annual funding from the Endowment for New Harmony Studies is determined by the USI Foundation Spending Policy.

Equity, Diversity, and Inclusion Council (formerly Diversity Committee). The council was formed in 2018 and replaced the Diversity Committee. The council is an educative and advisory group composed of faculty, staff and students from

different racial/ethnic, social status, genders, sexual orientations, abilities, veteran status, and religions that reflect the diversity within the university community, as well as advocates for those groups. Thirteen termed members make up the Council Executive Committee, who shall report directly to the USI President. The council will prepare the annual Diversity Report to the USI Board of Trustees.

Executive Enrollment Management Committee. The Executive Enrollment Management Committee (EEMC), will establish collaboration and communication across USI's campus on all issues related to student recruitment and retention. The committee's primary goal is to create a seamless, supportive experience for students from admissions to graduation. The EEMC consists of the Provost (chair), vice president for Finance and Administration, Vice president for Development, vice president for Marketing and Communications, vice president for Student Affairs, chief government and legal affairs officer, chief data officer, chief information officer, associate provost for Academic Affairs, executive director of Enrollment, director of Graduate Studies, and college deans.

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 executive director of Online Learning, the registrar, a representative of Library Services, and the provost are ex officio members. The director of Graduate Studies serves as the chair.

Honorary Degree Committee. The *Honorary Degree Policy and Process* describes the appointment of the Honorary Degree Committee, which includes the provost (permanent membership and chair); two faculty members (at full professor rank) selected by Faculty Senate; one member of the Alumni Council selected by the Council; and the president of the USI Foundation (permanent membership). The faculty members serve staggered three-year terms. The Alumni Council representative serves a two-year term. The Committee follows the guidelines outlined in the Honorary Degree Policy and Process.

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 two representatives 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.

Information Technology Advisory Committee. Appointed by the president, the Information Technology Advisory Committee advises the chief information officer on issues related to technology needs and instructional technology. Chaired by the chief information officer, the committee consists of a representative from each academic college and Outreach and Engagement; a representative of each of the four Management Information Systems modules; a representative of Library Services; and a member recommended by the Student Government Association. Ex officio members are the vice presidents. Members of the Information Technology staff may be invited to attend by the chief information officer as appropriate.

Institutional Review Board for the Protection of Human Subjects of Research (IRB). A federally mandated committee of faculty, administrators, and community representatives, which is charged to review and approve all research protocols involving humans as participants and created by anyone affiliated with the University of Southern Indiana. See the Institutional Review Board By-Laws on the USI website for a complete description of the committee.

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 vice president for Marketing and Communications (chair), director of Creative and Print Services, vice president for Finance and Administration, director of Athletics, marketing manager, Campus Store manager, Business Office controller and director of Procurement.

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

Online Learning Council. The mission of the Online Learning Council is to discuss initiatives that advance the goals and objectives for developing and implementing the online strategy for the University. The Online Learning Council, appointed by the president and chaired by the executive director of Online Learning, is comprised of each academic dean or designee, faculty from each academic college, Library Services, Outreach and Engagement, Marketing and Communications, University Division, Enrollment Management, Graduate Studies, Disability Resources, and Information Technology. Faculty are recommended by the deans with one faculty representative per college serving on three-year terms.

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 Religious Life, two students recommended by the Student Government Association, 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.

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 Development; the vice president for Marketing and Communications; the vice president for Student Affairs; the college deans; the dean of students; the athletic director; the chief government and legal affairs officer; the chief data officer; the chief information officer; the associate vice president for Finance and Administration; the associate provost for Academic Affairs; the executive director for Enrollment; the executive director of Outreach and Engagement; the director of Graduate Studies; the director for International Programs; the executive director of Human Resources; the senior executive assistant to the President; the executive assistant to the President; the chairs of Administrative Senate, Faculty Senate, Staff Council, and Council of Department Chairs and Program Directors; 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; vice president for Student Affairs; associate provost for Academic Affairs; executive director of Online Learning; executive director of Outreach and Engagement; chief data officer; director of Graduate Studies; registrar; dean of students; director of Library Services; assistant vice president for Academic Success; interim director for International Programs; director of Center for Excellence in Teaching and Learning; assistant director of Veteran, Military and Family Resource Center; chair of Faculty Senate; the provost's senior administrative associate; and the provost as chair.

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 vice president for Student Affairs, the assistant director of Risk Management and Safety, the director of Public Safety, a representative of Facility Operations and Planning, a representative of Housing and Residence Life, a representative of Human Resources, a representative of Staff Council, a representative of 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 Facility Operations and Planning and is comprised of the provost and vice presidents. Non-voting members of the committee include the associate provost for Student Affairs; the associate provost of Outreach and Engagement; the associate provost for Academic Affairs; the registrar; the chief information officer; the assistant treasurer; the director of Procurement Services; the director of Special Events; and the University 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 Disability Advisory Committee. This committee, appointed by the president, was established to aid disabled students in their college experiences. It advises the manager of Disability Resources 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 manager of Disability Resources (chair), the coordinator of Disability Resources, the University architect, two administrators, two faculty members, and two students recommended by the Student Government Association. Additional University staff and students may be asked to serve upon the recommendation of the manager of Disability Resources.

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 their 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 FishHook advisor, the director of the Scripps Howard Center for Media Studies, and a representative from Finance and Administration 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 Public Safety; 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.

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 Academic Affairs, 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. The University Athletics Council shall consist of the chair, one faculty representative from each academic college, one faculty member appointed by the Faculty Senate, the Faculty Athletics Representative (FAR), the Director of Admissions (or appointee), the Registrar (or appointee), the Director of Student Financial Assistance (or appointee), one appointee from Business Office, one alumnus/alumna, one USI Varsity Club representative, and two student-athletes, one male and one female. All of these appointees will be voting members. The Chair of the Council will be appointed by the President. Ex officio, non-voting members: the Director of Athletics (AD), the Senior Woman Administrator (SWA), the NCAA Compliance Coordinator, the past Faculty Athletic Representative (FAR), and the Director of Development (or appointee).

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, Engineering, and Education who serve two-year staggered terms. A student member and alternate will be selected each spring to one-year renewable terms by the associate provost for Academic Affairs upon nominations submitted by the Student Government Association. The associate provost for Academic Affairs serves as an ex officio member. 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 program coordinator of Recreation, Fitness, and 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, including Medical Withdrawals. This committee consists of the vice president for Enrollment Management (chair), the associate provost of Student Affairs, the director of Graduate Studies, 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.

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 78 – 80 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

### Date

1/22

### Item

A.8

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.

<b>Academia</b>	Place of formal instruction or, more generally, the academic environment.
<b>Academic</b>	Relating to education or an institution of scholarly learning, as a college or university which offers formal or theoretical instruction beyond technical training.
<b>Academic Year</b>	Two 16-week semesters (Fall and Spring).
<b>Academic Year Appointment</b>	Appointment for Fall and Spring Semester (9 or 10 months).
<b>Adjunct Faculty Members</b>	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.
<b>Alumni</b>	Individuals who have attended or graduated from a particular college or university.
<b>APB</b>	Activities Programming Board, the organizing board for student activities.
<b>Associate Degree</b>	The designation granted upon completion of an educational program of at least two but less than four years of college work.
<b>Bachelor's Degree</b>	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)].
<b>Board of Trustees</b>	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.
<b>Budget</b>	A financial plan which provides a framework within which the University funds its various activities.
<b>Calendar Year</b>	The full year running from January 1 to December 31.
<b>Credit Hours</b>	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.
<b>Curriculum</b>	A program of study covering the entire undergraduate or graduate career and designed to satisfy the requirements for an associate, baccalaureate or advanced degree.
<b>Dean</b>	The highest administrative member of a particular school or discipline; may be assisted by associate and assistant deans.
<b>Degrees</b>	Either associate, bachelor's, master's or doctoral. Degrees are awarded upon completion of a given program of study.
<b>Department Head</b>	The highest administrative member of a particular department, assisted by associate and assistant department heads.
<b>Distinguished Professor</b>	An individual recognized for unique contributions through scholarship, research or leadership or a combination of these.
<b>Director</b>	The highest administrative member of a particular organizational unit, assisted by associate and assistant directors.
<b>Doctor</b>	An individual who has been awarded an advanced degree—PhD (Doctor of Philosophy), MD (Doctor of Medicine) or EdD. (Doctor of Education), etc.
<b>Emeritus</b>	The title granted to a retired staff member who made significant contributions to the University of Southern Indiana through teaching, research or other services.
<b>Equal Employment</b>	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 (including pregnancy), age, disability, genetic information, sexual orientation, gender identity or veteran's status.

<b>Faculty Member</b>	Professors, associate professors, assistant professors, instructors, and postdoctoral associates engaged in instruction, research or public service.
<b>Federal Funds or Funding</b>	Money budgeted by the federal government, normally for a specific purpose within the University.
<b>Fiscal Year</b>	A full year beginning July 1 and ending June 30 for budgetary/accounting purposes.
<b>Gifts</b>	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.
<b>Graduate Assistant</b>	A graduate student who performs professional duties commensurate with his educational background and experience and is paid a stipend for these services.
<b>Grant</b>	An award of funds with which to perform prescribed services such as research.
<b>Instructor</b>	Academic rank within the teaching classifications below assistant professor. Remaining classifications are professor, associate professor and assistant professor.
<b>IFC</b>	Interfraternity Council, the governing body for men's social fraternities.
<b>Lecturer</b>	A person appointed to instruct a specific course who is not a voting member of the faculty.
<b>Major</b>	The primary subject area a student pursues.
<b>Master's Degree</b>	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.
<b>Minor</b>	The secondary subject area a student pursues.
<b>Nondiscrimination</b>	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.
<b>PC</b>	Panhellenic Council, the governing body for women's social fraternities.
<b>Professor</b>	The highest professorial rank.
<b>Proposal</b>	A document submitted to business, industry or the government requesting a grant or contract award.
<b>Semester Hours</b>	Total number of credit hours taken by a student in a given semester.
<b>SGA</b>	Student Government Association, the student governing body.
<b>SHA</b>	Student Housing Association, the student governing body of students living in Student Housing.
<b>The Shield</b>	The University's weekly student newspaper.
<b>State Funds or Funding</b>	Money appropriated by the state legislature for personal services, capital improvements, new facilities and other operating expenses incurred by the University.
<b>Vita</b>	Summary of an individual's employment record and professional accomplishments.
<b>Visiting Instructor</b>	A temporary teaching appointment of a faculty member normally on leave from another institution and hired for a temporary term.
<b>More Information</b>	More information on University terms and style can be found in the <a href="#">Editor's Manual</a>

## Employment

### Equal Opportunity Statement

#### Date

6/21

#### Item

B.1

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, color, religion, sex, pregnancy or marital status, national origin, age (40 or older), disability, genetic information, sexual orientation, gender identity, veteran status, or any other category protected by law or identified by the University as a protected class 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, color, religion, sex, pregnancy or marital status, national origin, age (40 or older), disability, genetic information, sexual orientation, gender identity, veteran status, or any other category protected by law or identified by the University as a protected class. 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

### Date

9/01

### Item

B.2

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

### Date

8/20

### Item

B.3

University employees are grouped by type and function. There are five categories of employees at the University: faculty, administrative, support, casual and seasonal.

### 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

### Date

8/20

### Item

B.4

### Regular Full-Time Faculty (75% ≥)

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's regular full-time 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 (9) or ten (10) month basis (with specific dates indicated in their appointments) for teaching in the fall and spring semesters--the academic year; and fiscal-year employees are hired on a twelve (12) month, fiscal-year basis (July 1 through June 30) and are subject to provisions of employee policies applicable to any fiscal-year employee. Regular Full-Time Faculty appointed for less than a twelve (12) month fiscal-year period are not eligible to accrue paid vacation.

### Librarians (75% ≥)

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

### Regular Annual Appointment Faculty (75% ≥)

Regular full-time non-tenure track faculty hired on one, two, and three-year rolling appointments of at least seventy-five percent (75%) of full-time employment are eligible to receive, but not entitled to expect, renewal of appointments. Within the University's regular annual appointment 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 (9) or ten (10) month basis (with specific dates indicated in their appointments) for teaching in the fall and spring semesters; and fiscal-year employees are hired on a twelve (12) month, fiscal-year basis (July 1 through June 30) and are subject to provisions of employee policies applicable to any fiscal-year employee. Regular Annual Appointment Faculty appointed for less than a twelve (12) month fiscal-year period are not eligible to accrue paid vacation.

### Temporary Full-Time Faculty (75% ≥)

A temporary full-time faculty member is scheduled to work for a specific, limited academic period, usually for one (1) academic year.

Faculty appointed to temporary full-time assignments on a semester or one (1) academic year contractual basis are eligible to receive, but not entitled to expect, renewal of appointments.

Temporary full-time faculty are in exempt, salaried positions that are planned for a period of at least one (1) semester but no more than two (2) years, and have no hours-per-week limitations, in which case they are eligible for some benefits. A temporary full-time faculty member who receives a full-time assignment for a third consecutive year shall

no longer be considered a temporary employee but shall be considered a Regular Annual Appointment Faculty member, for all intents and purposes including but not limited to benefits eligibility (although funding for the position may continue to be temporary).

Within the University's temporary full-time faculty there are semester length employees, academic year employees, and fiscal year employees. Semester length employees are those faculty employed for one (1) academic semester (usually four (4) to six (6) months); academic year employees are, for the most part, those faculty hired on an annual appointment basis employed on a nine (9) or ten (10) month basis (with specific dates indicated in their appointments) for teaching in the fall and spring semesters; and fiscal-year employees are hired on a twelve (12) month, fiscal-year basis (July 1 through June 30) and are subject to provisions of employee policies applicable to any fiscal-year employee. Temporary Full-Time Faculty appointed for less than a twelve (12) month fiscal-year period are not eligible to accrue paid vacation.

## Regular Part-Time Faculty (50-74%)

Part-time faculty are employed on an academic year basis and carry a teaching load equivalent of fewer than twelve (12) semester hours and work fewer than twenty-nine (29) hours per week. Individuals employed on a part-time basis will receive the appropriate title, and appointment letters will designate one-semester appointments. Salaries for these positions will reflect teaching loads.

## Adjunct Faculty

Adjunct faculty are employed by the University on a limited, special, or provisional basis for limited or special teaching-only assignments but are not required to perform other regular duties of a full-time faculty member (i.e., scholarly activity or service). Adjunct faculty are employed on a semester-to-semester basis and carry a teaching load equivalent of fewer than ten (10) semester hours for specific courses and/or sections, and work fewer than twenty-nine (29) hours per week. Individuals employed on an adjunct basis will receive the appropriate title, and appointment documents will designate one-semester appointments. Salaries for these positions will reflect teaching loads. Pay rate schedules are available in the Office of the Provost.

***(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 Associate Provost for Outreach and Engagement or designee 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 Outreach and Engagement.

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.

# Employee Groups: Administrative/Support Staff

## Date

8/20

## Item

B.5

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

### Regular Full-Time (75% ≥)

Administrators (exempt) and support (non-exempt) staff members are considered regular full-time if they are scheduled to work on a regular annual basis at least nine continuous months or for at least 1,462 hours (at least an average of 28.12 hours/week). Such employment is normally not limited to a specified time or by position funding.

### Regular Part-Time (50-74%)

Administrators and support staff members are considered regular part-time if they work a schedule of less than 1,462 hours annually (less than an average of 28.12 hours/week). Such employment is normally not limited to a specified time or by position funding. Regular part-time employees who work a schedule of less than 1,462 hours annually (less than an average of 28.12 hours/week) but more than 975 annually (more than an average of 18.75 hours/week) are eligible for partial benefits (see section C). Employees who work less than 975 hours annually (less than an average of 18.74 or fewer hours/week) on a fiscal year basis do 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. The limited length of time may be due to temporary funding or the position may only be needed temporarily.

#### Temporary Administrators

Temporary full-time administrators are in exempt, salaried positions that are planned for a period of not more than two (2) years and have no hours-per-week limitations, in which case they would ordinarily be eligible for some benefits. Occasionally, temporary administrators may be in part-time positions, which are limited to working no more than twenty-eight (28) hours per week, in which case they may be eligible for partial benefits. Temporary administrators in part-time positions which are limited to working no more than 18.74 hours per week are not eligible for benefits.

A temporary administrator who receives an assignment for a third consecutive year shall no longer be considered a temporary employee but shall be considered a Regular Full-Time Administrator or Regular Part-Time Administrator, as applicable based upon the number of hours worked, for all intents and purposes including but not limited to benefits eligibility (although funding for the position may continue to be temporary).

#### Temporary Support Staff

Temporary full-time support staff employees are in non-exempt (overtime eligible, hourly paid) positions that are planned for a period of six (6) months or less. Occasionally, temporary support staff employees may be in part-time positions planned for less than six (6) months, in which case they ordinarily do not earn benefits and are limited to working no more than twenty-eight (28) hours per week. Temporary support staff in part-time positions which are limited to working no more than 18.74 hours per week are not eligible for benefits.

A temporary support staff member who receives an assignment for more than six (6) months shall no longer be considered a temporary employee but shall be considered a Regular Full-Time Support Staff member or Regular Part-Time Support Staff member, as applicable based upon the number of hours worked, for all intents and purposes, including but not limited to benefits eligibility (although funding for the position may continue to be temporary).

## 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 and may not average more than 28 hours per week. Casual employees are not eligible for benefits.

## Seasonal

A seasonal employee performs services on a seasonal basis of the kind exclusively performed in certain seasons or periods of the year, and which, from its nature, may not be continuous or carried on throughout the year. Seasonal employees must not have been employed by USI in the last six (6) months and must not be re-hired by USI in the six (6) months following their seasonal employment, unless hired in a full-time position. Human Resources must confirm eligibility for seasonal employment; if eligible, the employee may work full-time hours. Seasonal employees are not eligible for benefits.

<b>NOTE:</b>	Student Workers and Graduate assistants are not considered employees for purposes of handbook sections B, C and D, except as required by provisions of the Affordable Care Act. For additional information refer to Section B.7 and B.8, Administrative Procedures for Student Workers and Administrative Procedures for Graduate assistants, respectively.
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## Process for Filling New and Vacant Positions

### Date

8/19

### Item

B.6

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 [www.usi.edu/jobs](http://www.usi.edu/jobs). 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. Only under exceptional circumstances may a waiver of the posting requirement be granted.

### A. Selection of Faculty and Administrative Appointments

Faculty positions must remain vacant for at least 30 days, while administrative positions must remain vacant for at least 21 days in order to permit interested persons time to apply. Faculty and administrative positions will be posted on the University web site at [www.usi.edu/jobs](http://www.usi.edu/jobs). 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.

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

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 should be made to the job description, unless approved by the Human Resources department. 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 may 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 will typically 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.

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 [www.usi.edu/jobs](http://www.usi.edu/jobs) 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 designated Human Resources representative who 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, the 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

### **Date**

7/16

### **Item**

B.7

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 Internships 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/her on-campus employers of his/her 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 Internships 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 executive director of Human Resources before action is taken.

# **Administrative Procedures for Graduate Assistants**

## **Date**

7/05

## **Item**

B.8

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

### Date

8/20

### Item

B.9

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 may be required to have a work permit (issued by an accredited school in the school district where he/she resides) on file in the Human Resources Department before they may be permitted to work. Please contact Human Resources for more information.

Employers of minors are required by law to post the Teen Work Hour Restrictions poster.

<b>NOTE:</b>	High school graduates (or equivalent) under the age of 18 are not required to have work permits. However, the individual must provide proof of graduation.
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**EXCEPTION:** No work permit is required regardless of age for performers, actors and/or models so long as the performance is not detrimental to the safety, health or well-being of the minor. Provisions must be made for education equivalent to full-time school attendance in the public schools for children less than 16 years of age working as a performer, actor, or model.

Any department interested in hiring a minor should contact Human Resources for guidance.

## "Ghost" Employment

**Date**

1/95

**Item**

B.10

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

**Date**

8/20

**Item**

B.11

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 immediate supervisor.

## Nepotism (Employment of Relatives)

**Date**

7/21

**Item**

B.12

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

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

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.

Situations of nepotism that arise in existing employment situations due to a change in relationship, must be reported promptly.

A supervisor may prepare a written proposal for an exception to this policy because of the best interests of the University to employ a person in a specific position.

Situations of nepotism that are approved, as a result of such proposal or a change to an existing employment situation, must be addressed by an approved Management Plan.

The Management Plan must address reporting relationships, supervision, and evaluation to ensure there will be no decision making based upon family relationships regarding promotion, wages, hours, or other conditions of employment. The Management Plan must address the management of the approval and review process for expenditures and travel to sufficiently mitigate or preclude any potential of favoritism, conflict of interest, or negative impact. The Management Plan should include a description of any necessary reallocation of duties, modifications to the chain of reporting, or other alterations to the position description. A review of the approved Management Plan must take place in the event of any change in reporting relationships and on an annual basis.

Exceptions to the nepotism policy, including review and approval of a Management Plan, may only be granted by the Vice President overseeing the functional area in consultation with the Executive Director of Human Resources.

## Immigration Reform and Control Act

### **Date**

8/17

### **Item**

B.13

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. In the case of a re-hired individual, contact the Human Resources Department for assistance.

A list of acceptable documents that establish identity and employment eligibility is available in the Human Resources Department and on the USCIS website at <https://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.

## Sponsored Employment-Based Nonimmigrant and Permanent Residence Policy

### **Date**

8/20

## Item

B.14

### Overview:

Under current U.S. immigration law, when University of Southern Indiana (USI) chooses to make an offer of employment to a foreign national without independent work authorization, USI must proactively pursue legal employment authorization, which may be temporary or permanent. These rules are proscribed in the Immigration and Nationality Act (INA) and the process is controlled by the U.S. Citizenship and Immigration Services (USCIS) and the U.S. Department of Labor (DOL). This includes hires directly from universities and colleges, as certain student-authorized employment now requires attention to prevailing wages and contract documentation requirements for USCIS and DOL.

Temporary\* nonimmigrant work status, such as H-1B or F-1 CPT/OPT, does not automatically provide a basis for a future pathway to permanent residence. Due to the complex, challenging and time-consuming nature of immigration casework, USI outsources the legal portion of this work to legal counsel.

### Decision Making Process:

A number of issues affecting clarity can be presented by immigration cases, including: (a) US government required wages can create perceived inequity; (b) start dates may be compromised by government processing times; (c) application and processing fees may be higher for some cases due to timing issues; (d) positions are subject to a technology review as related to federal export control regulations; (e) USI must maintain Public Access Files to document wages and intent to employ H-1B employees; (f) USI must periodically reevaluate policies when the immigration regulations or laws change significantly; and (g) unique circumstances can be reviewed for exceptions.

### Types of Positions USI may support:

#### Temporary Employment

Tenure-track faculty

Visiting faculty

Research

Professional (non-faculty)

*\* Temporary Employment may be available for certain nonimmigrants. The most common categories for USI include yet are not limited to F-1 Student OPT or CPT and H-1B.*

#### Permanent Employment

Tenure-track faculty (Special Handling)

Research

Professional (non-faculty)

### General Policy:

1. Permanent Residency processing is complex, lengthy, and inherently uncertain; therefore, the hiring department should never indicate that US permanent residency is a guarantee.
2. A request to pursue employment-based permanent residency must be approved by the department chair, director, or dean.
3. The timing to start work on a case is dependent on variables including, yet not limited to: the nonimmigrant status of the employee, the salary offered, the availability of Department of Labor prevailing wage tables, dates and placement of advertising documentation, the date of offer of employment, or the absence of qualified US workers,

4. An appointed individual from Human Resources is the responsible University Official for coordinating the process of obtaining legal employment authorization. New hires are expected to cooperate fully with the collection of necessary information and documentation to allow for appropriate filings. Personal and family preferences will be considered and accommodated whenever possible.
5. Assistance with personal history, family matters, travel considerations, and other non-employment issues which may impact the employer process of obtaining US employment authorization are the financial obligation of the employee.
6. For qualifying faculty positions: whenever possible we will use an existing national job search as the basis for the first step toward establishing a basis for permanent residency. If Special Handling<sup>1</sup> is available, USI will begin the process within the first year of employment and no later than one year after the date of the offer letter.<sup>2</sup>
7. Professional positions may require considerable effort and cost to complete the required market test of potential US workers and may require re-advertising; in some cases additional recruitment steps are needed. For this reason, it is not possible to identify a reliable specific time period to complete the process.
8. Human Resources, individual employees and/or departments currently work with the University's counsel for immigration work.
9. Employees in positions defined as temporary or visiting are not eligible for an employment based petition for permanent residency.
10. All documentation associated with the DOL Permanent Application for Alien Labor Certification (PERM) must be maintained for a period of five (5) years from the date of filing the petition. This includes all application materials submitted in response to a labor test. Currently this documentation is maintained at no addition charge by counsel.

## Timing:

In general, USI moves forward to have a new employee history reviewed immediately upon receipt of a signed offer. The timing of when a government petition is filed depends on a variety of conditions including, yet not limited to: employee ability to provide all of the required documents; current nonimmigrant status; pending applications filed by the employee and any family members; planned travel outside the US; and government processing times.

Government processing times are also carefully reviewed to ensure that employment authorization is uninterrupted. Personal decisions regarding travel outside the US may impact the processing and expediting fees may be paid by the employee should personal circumstances require requesting faster processing.

Renewals for temporary nonimmigrant employment begin about eight (8) months before the ending date, depending on the situation, government processing times, personal plans of the employee, and a variety of other variables. Employment authorization will be extended beyond the current authorization as long as USI has a properly filed Petition pending with the USCIS.

Permanent Residency generally follows a three-step process<sup>3</sup>:

Stage	Preparation Time	Processing Time
Labor Certification	Six months	one-year; up to 2-3 years if audited
Immigrant Petition	2-6 months	6-12 months; subject to longer
Permanent Resident	1-2 months	8-12 months; subject to longer

## Fees:

The University will pay all legal and filing fees for H-1B filings and PERM Labor Certification. Currently, USI pays for the Immigrant Petition filing (I-140) as well. Individual employees are responsible for expenses related to personal documentation, travel, and family matters. Premium Processing fees are paid by USI when necessary to obtain employment authorization due to the timing of an offer and government processing delays. Employees may choose

to pay the USCIS expedite fee for personal reasons. Finally, currently individual employees are responsible for the expenses related to the final step, Permanent Resident (Adjustment of Status). Employees are eligible to use the University's attorney.

1. To meet the conditions for Special Handling, the position must have been advertised in compliance with DOL policies for an advertisement in a national journal which includes at least the position title, duties, and qualifications. A Search and Screen committee report must be provided in the supporting materials.
2. The offer letter starts an 18-month window for processing qualifying Special Handling PERM Applications. In general, we also want to have the employee working in a nonimmigrant classification that recognizes the legal concept of "Dual Intent".
3. USI may choose not to move forward with sponsorship at the start of any stage. Preparation and processing times are subject to wide variation.

## Personnel Records

### **Date**

8/17

### **Item**

B.15

#### **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. 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 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. 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.

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.

# **Introductory Period**

## **Item**

B.16

## **A. New Employees**

Regular support employees must initially serve a 90 day introductory period upon employment. The introductory 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 introductory period, a New 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 executive director of Human Resources. However, if the employee does not meet the job requirements of the position, the employee may be eligible to apply for another vacant position for which the employee 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 introductory period that the employee has not had sufficient time to

satisfactorily complete the introductory period, the dean or department head may request in writing that the period be extended for up to an additional 90 days with the approval of the executive director of Human Resources. During the extension period, all conditions of the introductory period will continue.

During the introductory 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 introductory period. Staff members may use accrued vacation, accrued compensatory time, and accrued sick time during the introductory period, subject to the terms of those policies (D.5, D.6 and E.8). The introductory period may be extended if time off is incurred during this period.

## **B. Current Employees**

Support staff changes involving both lateral transfers and promotions are subject to an introductory period of 45 days, with a supervisory option to extend up to 90 days.

# **Promotion or Transfer**

## **Date**

8/20

## **Item**

B.17

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 posted on the Human Resources Web site at [www.usi.edu/jobs](http://www.usi.edu/jobs) 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, go to the USI employment page, [www.usi.edu/jobs](http://www.usi.edu/jobs), to create an account and submit your application and application materials.

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**

## **Date**

7/16

## **Item**

B.18

The purpose of a performance evaluation is to evaluate an employee's past performance and to guide the employee to maintain and/or improve 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 has the opportunity to make written comments on the evaluation form regarding the evaluation. The employee will be asked to acknowledge the evaluation by signing the evaluation form. The evaluation form will be sent to the Human Resources Department for review and 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

### **Date**

8/17

### **Item**

B.19

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 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**

### **Item**

B.20

### **Health Insurance**

The medical, dental, and vision 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 medical, dental, and/or vision coverage upon termination of employment. COBRA information and rates are sent to the terminating employee by the Human Resources Department or their designee

### **Retirement Plans**

For faculty and staff members eligible for and participating in any of the University retirement plans, distributions of vested benefits may be available upon termination of employment. Additional information is available from PERF or TIAA-CREF; contact information is available at <https://www.usi.edu/hr/benefits/retirement>.

### **Tuition Fee Waivers for Credit Courses**

If an employee has received a tuition fee waiver and terminates employment after the first day of class, 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 and portability privilege if executed within 31 days of 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. An exiting employee must be physically present at their assigned duty on the final day of employment, unless approved in writing by the Executive Director of Human Resources, or designee.

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 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.

Salary adjustments for part-time faculty and for nine- or ten-month faculty on summer appointment will be computed on a teaching-day basis if the faculty member must leave his assignment before the end of the contract. All other faculty, administrative and support staff salaries at termination 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
- Long-Term Disability Insurance
- Retirement Plan
- Fee Waiver on Classes

## **Exit Interview**

### **Date**

8/20

### **Item**

B.21

Full-time and part-time employees who voluntarily resign their position with the University may schedule an exit interview with the Human Resources Department. If possible, the interview is scheduled on the employee's last working day. Payroll deadlines may require earlier scheduling. 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, laptop, 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)**

### **Date**

12/15

### **Item**

B.22

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 introductory period.

# Uniforms and University Logo Wear Items

**Date**

7/16

**Item**

B.23

## 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.

- Public Safety (Officers)
- Facility Operations and Planning (All Support Positions)
- Special Events and Scheduling Services (Student Workers Only)
- Campus Store (All Positions)
- Distribution Services (All Support Positions)
- Creative and Print Services (Press Operators 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.
- 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

### **Date**

12/04

### **Item**

B.24

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

### **Date**

12/04

### **Item**

B.25

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

### **Date**

12/04

### **Item**

B.26

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

### **Date**

12/04

### **Item**

B.27

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 <https://indianasheriffs.org/>.

## Benefit Programs

### Benefit Programs and Eligibility

**Date**

8/21

**Item**

C.1

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 the plan documents or the insurance policies, the text of the plan documents or the insurance 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 informational 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 plan documents or the insurance policy language. However, the plan documents and the insurance policy language stand alone and are not considered as supplemental or amended in any way by the explanations or examples included in this ***University Handbook***.

### Faculty Employee Benefits Summary

<b>Benefit</b>	<b>Regular FT (75%≥ Appt includes RAAF)1</b>	<b>Regular PT (50%-74% Appt)</b>	<b>Temporary FT (75%≥ Appt)</b>	<b>Adjunct (&lt;50% Appt)</b>
Employee Assistance Plan	Eligible	Eligible	Eligible	Not Eligible
Paid Vacation	Eligible*	Eligible*	Eligible*	Not Eligible
Paid Sick	Eligible	Eligible	Eligible	Not Eligible
Paid Holidays	Eligible	Eligible	Eligible	Not Eligible
Paid Bereavement	Eligible	Eligible	Eligible	Not Eligible
Paid Jury Duty	Eligible	Eligible	Eligible	Not Eligible
Recreation, Fitness & Wellness Center	Eligible	Eligible	Eligible	Eligible
Supplemental Retirement Plans	Eligible	Eligible	Eligible	Eligible
Medical Insurance	Eligible	Not Eligible	Eligible	Not Eligible
Dental Insurance	Eligible	Not Eligible	Eligible	Not Eligible
Vision Insurance	Eligible	Not Eligible	Eligible	Not Eligible
Group Life Insurance	Eligible	Not Eligible	Eligible	Not Eligible
Tuition Fee Waiver	Eligible	Not Eligible	Eligible	Not Eligible
Defined Contribution Retirement Plan	Eligible after 1Y	Eligible after 1Y	Not Eligible	Not Eligible
Additional Life Insurance	Eligible	Not Eligible	Not Eligible	Not Eligible
Flexible Spending Accounts	Eligible	Not Eligible	Not Eligible	Not Eligible
Short Term Disability	Eligible	Not Eligible	Not Eligible	Not Eligible
Long Term Disability	Eligible after 3Y	Not Eligible	Not Eligible	Not Eligible
Voluntary Hospital Indemnity	Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Accident	Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Critical Illness	Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Parental Leave	Eligible	Not Eligible	Not Eligible	Not Eligible

## 1. Regular Annual Appointment Faculty

\* Faculty appointed for less than a twelve (12) month fiscal-year period are not eligible to accrue paid vacation.

**All benefits are subject to provisions of the benefit policies and contracts, including employee's continued satisfaction of eligibility requirements.**

### -Administrative Employee Benefits Summary

Benefit	Regular FT (75%≥ Appt)	Regular PT (50%-74% Appt)	Temporary (75%≥ Appt)	Temporary (50-74% Appt)	Temporary (<50% Appt)
Employee Assistance Plan	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Vacation	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Sick	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Holidays	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Bereavement	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Jury Duty	Eligible	Eligible	Eligible	Eligible	Not Eligible
Recreation, Fitness & Wellness Center	Eligible	Eligible	Eligible	Eligible	Eligible
Supplemental Retirement Plans	Eligible	Eligible	Eligible	Eligible	Eligible
Medical Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Dental Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Vision Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Group Life Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Tuition Fee Waiver	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Defined Contribution Retirement Plan	Eligible after 1Y	Eligible after 1Y	Not Eligible	Not Eligible	Not Eligible
Additional Life Insurance	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Flexible Spending Accounts	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Short Term Disability	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Long Term Disability	Eligible after 3Y	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Hospital Indemnity	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Accident	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Critical Illness	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Parental Leave	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible

**All benefits are subject to provisions of the benefit policies and contracts, including employee's continued satisfaction of eligibility requirements.**

### Support Staff Employee Benefits Summary

Benefit	Regular FT (75%≥ Appt)	Regular PT (50%-74% Appt)	Temporary (75%≥ Appt)	Temporary (50-74% Appt)	Temporary (<50% Appt)
Employee Assistance Plan	Eligible	Eligible	Eligible	Eligible	Not Eligible
Paid Vacation	Eligible	Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Sick	Eligible	Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Holidays	Eligible	Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Bereavement	Eligible	Eligible	Not Eligible	Not Eligible	Not Eligible

Paid Jury Duty	Eligible	Eligible	Not Eligible	Not Eligible	Not Eligible
Recreation, Fitness & Wellness Center	Eligible	Eligible	Eligible	Eligible	Eligible
Supplemental Retirement Plans	Eligible	Eligible	Eligible	Eligible	Eligible
Medical Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Dental Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Vision Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Group Life Insurance	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Tuition Fee Waiver	Eligible	Not Eligible	Eligible	Not Eligible	Not Eligible
Defined Contribution Retirement Plan	Eligible after 1Y	Eligible after 1Y	Not Eligible	Not Eligible	Not Eligible
Additional Life Insurance	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Flexible Spending Accounts	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Short Term Disability	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Long Term Disability	Eligible after 3Y	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Hospital Indemnity	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Accident	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Voluntary Critical Illness	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible
Paid Parental Leave	Eligible	Not Eligible	Not Eligible	Not Eligible	Not Eligible

**All benefits are subject to provisions of the benefit policies and contracts, including employee's continued satisfaction of eligibility requirements.**

## Health Insurance Programs

**Date**

8/20

**Item**

C.2

### A. Coverage and Eligibility for Active Employees

The University offers several health insurance plans. The University pays a portion of the premium cost for eligible employees enrolled in the medical and dental plans. The University offers optional vision coverage to eligible employees; vision premiums are fully paid by the employee. Premium rates are determined on an annual basis.

Married, eligible employees may enroll a spouse. Proof of marriage will be required. Additional 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, and stepchildren. Disabled dependents are covered under special plan provisions.

Additional coverage information is available in the Human Resources Department. Comparisons of the University sponsored health insurance plans are available both in the Human Resources Department and on the University website at <https://www.usi.edu/hr/benefits/medical-insurance/>.

Due to federal regulations associated with the Section 125 Flexible Benefit Plan, employees can only change coverage or participation in the health 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, 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, 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, or any similar circumstance;
- change in the place of residence of employee, employee's spouse, or dependent; and
- 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.

Employees enrolling in health insurance will have premiums automatically deducted from their paychecks. 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. Current rate information is available in the Human Resources Department.

Information regarding the Health Insurance Portability and Accountability Act (HIPAA) is available on the University website at <https://www.usi.edu/hr/benefits/annual-notice>.

## **B. Enrollment**

Eligible staff members interested in health insurance coverage must enroll in the program within 31 days of the employment date. 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 and is reported. Marital status changes and the addition of dependents must be reported within 31 days of such change in order for coverage to be effective on the date of change.

## **C. Benefit Continuation Upon Termination**

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 provided upon plan enrollment and is available both in the Human Resources Department and on the University website at .

Some employees hired before July 1, 2014, may be eligible for continued insurance benefits upon retirement. Such eligibility is described in Retirement Policy, Section C6.

# **Flexible Benefit Plan**

**Date**

1/15

**Item**

### C.3

A Flexible Benefit Plan is offered to those employees who are eligible to participate in the University's medical/dental/vision insurance program. The Plan allows for the payment of eligible health 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 regular (non-temporary) employees 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 eligible 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;
- change in the place of residence of employee, employee's spouse, or dependent; and,
- Significant cost or coverage changes.

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.

Employees who enroll in medical, dental or vision coverage are automatically enrolled in the Section 125 Flexible Benefit Plan and premiums are withheld on a pre-tax basis. Employees who wish to opt out of the Section 125 Flexible Benefit Plan for these premiums must do so by submitting the completed required form making that election to a Benefits representative in the Human Resources Department. 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 must re-enroll each year.

Copies of the Flexible Benefit Summary Plan Description are available in the Human Resources Department.

## Life Insurance

**Date**

8/20



## Item

### C.4

#### 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 \$100,000, rounded up to the nearest \$1,000. 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, offered coverage of two times annual salary with maximum coverage of \$100,000. For employees who elected to continue this original plan, 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. Effective January 1, 2016, the University will pay the full premium for those active employees who remain in this original plan as of that date.

Both plans include accidental death and dismemberment coverage which doubles the coverage in case of accidental death. Benefits may also be provided in cases of accidental dismemberment.

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 January 1 following the attainment of age 66. Coverage will end on the last day of employment. The life insurance program provides for both a conversion and portability within 31 days of termination of employment.

Information about Group Term Life Insurance is available in the Human Resources Department.

#### B. **Additional Term Life Insurance Plan**

The University offers additional term life insurance to eligible employees. Coverage is available for employees, spouses, and dependents. The entire cost of the insurance is paid by the employee. When an employee or spouse 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 eight times annual salary. New employees are eligible for up to \$200,000 without providing satisfactory evidence of good health, if application is made within 31 days of eligibility.

Coverage is available to spouses of eligible employees in increments of \$5,000 to \$200,000, not to exceed fifty percent of the employee's additional term life insurance coverage amount. Spouses of new employees are eligible for up to \$50,000 (effective January 1, 2016) 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 \$5,000 to \$10,000. Coverage is available for all dependents from live birth, and continues to age 26, if unmarried. 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. Coverage will end on the last day of the month in which the employee works. The life insurance program provides for both conversion and portability 31 days of termination of employment.

Information about the Additional Term Life Insurance is available in the Human Resources Department.

# Disability Benefits

**Date**

8/20

**Item**

C.5

## 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 is received, time served under consecutive temporary one-year appointments may be counted toward the three-year waiting period.

Waiver of the three (3) year waiting period is available in full or in part if the newly hired eligible employee was covered by his/her former employer under a similar group long-term disability policy through an insurance company which was in effect within 90 days prior to his/her employment at the University, and the eligible employee provides acceptable documentation of such coverage to the University's Human Resources Department within 60 calendar days of the first day of employment. If the prior group coverage was in place for at least three (3) years, USI's waiting period will be waived; if for less than three years, service credit (in months) will be applied toward and reduce USI's three (3) year waiting period.

The full cost of this program is paid by the University, except for senior administrators who pay 100% of their LTD premium, effective January 1, 2016. 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 \$6,000 less the sum of the benefits from other offsetting 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. For certain employees hired before July 1, 2014, participation in the health and life insurance programs may be continued. Otherwise, all University-provided and voluntary benefit programs will be discontinued as of the disability eligibility date.

Information about the University sponsored Long Term Disability plan is available in the Human Resources Department.

## B. **Disability Benefits Under Social Security**

Disability benefits are provided under the provisions of the Social Security Act. To determine benefits payable, employees should consult the Social Security website ([www.ssa.gov](http://www.ssa.gov)), call the Social Security toll-free number (800-772-1213) or contact the local Social Security office.

## C. **Disability Benefits Under Indiana Public Retirement System for Support Staff Hired Before July 1, 2014**

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. For other conditions and terms, employees should consult INPRS. Estimates of benefits payable are secured at the time of disability.

## D. **Insurance Benefits During Disability**

Some employees hired prior to July 1, 2014, may have some continued insurance coverages available upon disability. See Retirement Policy, Section C6.

#### **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 reaches the Maximum Benefit Period as outlined under the LTD contract, 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;" any benefits associated with retirement, if applicable, will end at that time. The individual may reapply for employment with the University for those positions open at the time of application for which the individual is qualified.

#### **F. Optional Group Short Term Disability**

The University offers optional short term disability insurance to eligible employees. The entire cost of the insurance is paid by the employee. When an employee reaches 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. Premiums are deducted on a post-tax basis. Benefits are payable subject to the short term disability plan provisions.

Information about the Optional Short Term Disability plan is available in the Human Resources Department.

## **Retirement Policy**

### **Date**

8/21

### **Item**

C.6

Make Changes

#### **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 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**

**Regular Retirement Plan:** A retirement option available to benefit- eligible faculty, administrators, and support staff employees who are at least 60 years of age with ten years of consecutive service.

**Early Retirement Plan:** Original Plan for benefit-eligible faculty and administrators hired in eligible positions prior to January 1, 1999: A retirement option for eligible employees with at least 15 or more consecutive years of service. Plan not available to any employee hired on or after January 1, 1999.

**Early Retirement Date:** Any July 1 or January 1 following age 60 and no later than July 1 following the attainment of age 65 for full-time faculty and administrators 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 member or administrator may request a leave of absence equivalent to one semester (faculty) or one-half year (administrator) with full pay.

**Early Retirement Benefit Period:** The time period following the early retirement date during which the University will continue contributions to the retirement plan. The early retirement benefit period may not start earlier than July 1 or January 1 following the attainment of age 60 or later than July 1 following the attainment of age 65. The University retirement plan contribution beyond retirement will end at the earlier of: the end of the fiscal year in which the retiree reaches age 66 or five years.

**Rule of 85:** Effective January 1, 1999, a retirement option available to benefit-eligible faculty, administrators, and support staff 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. The final ten years of service at the University must be consecutive.

**Revised Retirement Plan (Effective January 1, 1999):** A retirement option available to eligible faculty members and administrators who are at least 60 years of age with 20 years of service, of which the last 10 years must be consecutive.

**Consecutive Service:** The period of time during which the employee was either working, on an approved sabbatical or on an approved leave of absence under University policy with written confirmation of such approval. In the event of the employee's termination of employment (on either a voluntary or involuntary basis) the employee must, at that time of termination, begin to receive all benefits that employee is eligible to receive.

#### C. **Regular Retirement Plan**

Regular full-time faculty, administrators, and support staff employees who are at least 60 years of age with ten years of consecutive service are eligible to retire under the Regular Retirement Plan.

#### D. **Early Retirement—Original Plan**

Regular full-time faculty members and administrators 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 must be arranged at least (12 months) one year before the requested early retirement date.
2. The early retirement benefit period may not start earlier than July 1 or January 1 following the attainment of age 60 or later than July 1 following the attainment age 65 and will end at the earliest of: June 30 (the end of the fiscal year) following the attainment of age 66 or five years.
3. During the final year of full-time employment, immediately before the early retirement effective date, the faculty member or administrator may request a leave of absence equivalent to one semester (six months for administrators) with full pay. As mutually arranged by the faculty member or administrator and the University, the leave may be used either as a one semester or six months' leave with pay or as one-half assignment for the final academic or fiscal year with full pay.  
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.

4. The early retiree shall qualify for 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 full-time, benefits-eligible service to a maximum of 25 percent. Retirement service payment shall be paid with the final payment for active service.
5. Early retirement may begin with any fiscal, academic or calendar year following attainment of age 60. Reduced employment may be arranged, by mutual agreement of the faculty member or administrator 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.
6. During the period of early retirement or reduced employment, the University will continue contributions to the USI Defined Contribution Plan for Faculty and Administrators based on the faculty or administrator's full-time equivalent base salary and the retirement plan contribution schedule. The University retirement plan contribution beyond retirement will end at the earlier of: the end of the fiscal year in which the retiree reaches age 66 or five years.
7. The Early Retirement Plan-Original Plan is not available to any employee hired on or after January 1, 1999, nor to any eligible employee who chose the revised retirement option during the special enrollment session conducted during the 1998/99 academic year.

**E. Rule of 85**

Full-time faculty, administrators, and support staff members are eligible to retire from the University of Southern Indiana at age 55, if the employee'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.

Retirement must be arranged at least one year (12 months) before the requested retirement date.

**F. Revised Retirement Plan**

This plan was established on January 1, 1999, for all new eligible faculty and administrators hired on or after this date. Full-time faculty and administrators employed prior to January 1, 1999, may elect to retire under the Revised Retirement Plan.

Full-time faculty and administrators 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 must be arranged at least one year (12 months) before the requested retirement date.
2. During the final year of full-time employment, immediately before the revised retirement effective date, the faculty member or administrator may request a leave of absence equivalent to one semester (six months for administrators) with full pay. As mutually arranged by the employee and the University, the leave may be used either as a one semester (six months for administrators) leave with pay or as one-half assignment for the final academic or fiscal year with full pay.
3. During the final year of full-time employment prior to the retirement effective date, the University will continue contributions to the USI Defined Contribution Plan for Faculty and Administrators based on the faculty or administrator's full-time equivalent base salary and the retirement plan contribution schedule. The University shall make no contributions to this plan beyond the date of retirement.

4. Any accrued vacation accumulation will be paid with the final payment for active service. Additional vacation time shall not accrue during the leave of absence period.
5. 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 full-time, benefits-eligible service to a maximum of 25 percent. The retirement service payment shall be paid with the final payment for active service.
6. Retirement may begin with any fiscal, academic or calendar year following attainment of age 60.

#### **G. 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 Eligibility**

Employees hired on or after July 1, 2014, are not eligible to continue life insurance coverage beyond retirement. Conversion or portability may be available. Employees should contact the Human Resources Department for information about this benefit.

Employees hired in a full-time, benefits-eligible position prior to July 1, 2014, are eligible for post-retirement life insurance. This benefit is subject to age-based reduction. Please see your life insurance certificate for details. Employees hired on or after February 1, 1988, or hired earlier but who did not remain in the old life insurance plan by continuing to pay the associated premium receive a \$5,000 life insurance benefit. Employees hired prior to February 1, 1988, who elected to remain in the old life insurance plan and pay the premium receive a \$20,000 life insurance benefit or half of the face amount, whichever is lower. Retiree life insurance premiums are paid by the University.

##### **2. Health and Dental Insurance Eligibility**

Employees hired July 1, 2014, and later are not entitled to continue medical and dental insurance benefits beyond the retirement date except as provided for under COBRA regulations.

Employees hired before July 1, 2014, in a full-time, benefits-eligible position:

Employees whose age plus years of full-time, benefits-eligible service (as reflected by the Adjusted Service Date) total less than 57 as of July 1, 2014, and who have fewer than 10 years of full-time, benefits-eligible service (as reflected by the Adjusted Service Date) as of July 1, 2014, are not entitled to continue medical and dental insurance benefits beyond the retirement date except as provided for under COBRA regulations.

Employees hired before July 1, 2014, in a full-time, benefits-eligible position:

Employees whose age plus years of full-time, benefits-eligible service (as reflected by the Adjusted Service Date) equal 57 as of July 1, 2014, or who have 10 years of full-time, benefits-eligible service (as reflected by the Adjusted Service Date) as of July 1, 2014, are entitled to continue medical and dental insurance benefits during the period of retirement by paying premiums based on the following premium contribution schedule:

<b>Years of Service</b>	<b>University</b>	<b>Employee/Dependents</b>
10-14	25%	75%
15-19	50%	50%
20+	75%	25%

Retirees hired prior to 1993 were provided University medical/dental benefits at the 75% level regardless of years of service. Adjusted Service Date is the date that represents the employee's total years of full-time benefits-eligible service.

Dependent eligibility and level of subsidy (25%, 50% or 75%) is based on the retiree eligibility as illustrated. Generally, the dependents listed at the time of the employee's retirement date are eligible to elect retiree coverage for as long as they are the retiree's dependent. Coverage must continue from the retirement date without a lapse in coverage.

Dependents at the time of a retiree's death may remain in the plan at the same premium subsidy (25%, 50% or 75%). If the eligible dependent is an active, benefits-eligible USI employee, the employee will continue with active coverage until the employee is no longer an active, benefits-eligible employee. At that time the dependent's coverage will resume under the retiree's coverage and align with the retiree's earned benefit.

1. **Unused Sick Leave**

Upon retirement, support staff members who are official retirees under a University plan will be paid one-half of their unused sick leave up to a maximum of 60 days. Faculty and administrative staff are not eligible to receive payment of their unused accumulated sick time.

2. **Other Benefits**

Faculty and staff retirees are eligible to maintain their USI email address, and 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, fee waivers for University credit classes, and special rates for University theatre productions. Retirees also are invited to University events classes, reduced rate for non-credit University and receive University publications and mailings throughout the year. By mutual agreement, office space, secretarial assistance, research grant application assistance, use of selected Information Technology Department services, and continued information of departmental activities may be provided.

3. **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 qualify for the continuation of health insurance under COBRA (See Section C2 Health Insurance Programs).

Information about the retirement plans and insurance benefits for retirees is available in the Human Resources Department.

## Retirement Plans

**Date**

8/20

**Item**

C.7

A. **USI Defined Contribution Retirement Plan for Faculty and Administrative Staff through TIAA**

Eligible employees may participate in the USI Defined Contribution Plan for Faculty and Administrators ("DC Plan for Fac/Admin") upon the completion of one year of employment. The plan was first effective July, 1996, and was renamed July, 2014. The DC Plan for Fac/Admin is eligible for tax-deferred employer contributions under Section 403(b) of the IRS code. Effective November 2003, participation in this plan may begin upon employment if the employee was a participant in TIAA or in a university-sponsored retirement plan for at least one year with contributions directed to a company other than TIAA (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 Executive Director of Human Resources or the Benefits Manager within 60 calendar days of the first day of employment. University contributions to the DC Plan for Fac/Admin are based upon the appointment salary for the academic/fiscal year. If earnings are less than the appointment salary, contributions to the DC Plan for Fac/Admin are based on actual earnings.

Faculty members on temporary appointments or part-time faculty are not eligible to participate in the DC Plan for Fac/Admin. 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. Visiting professors, who are not eligible to receive qualified plan contributions from their current employer during the visiting assignment, may participate in the DC Plan for Fac/Admin, subject to plan eligibility.

Information about the USI Defined Contribution Plan for Faculty and Administrators is available in the Human Resources Department.

#### **B. Indiana Public Retirement System (INPRS) for Support Staff**

Certain support staff members who work at least 975 hours per fiscal year are eligible at the time of employment to participate in the Indiana Public Retirement System, subject to the following conditions:

- Employee must be hired in a INPRS-eligible position on or before June 30, 2014; or
- Employee must be re-hired in a INPRS-eligible position on or after July 1, 2014, and have also been in a INPRS-eligible position during a previous period of employment at USI.

The Indiana Public Retirement System, formerly known as Public Employee's 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 eligible employee's gross earnings to the annuity portion of the plan ("annuity savings account") and to the pension portion of the plan ("pension"). Participation in the fund is at no cost to the employee. Contributions to the annuity savings account are forwarded to the Public Employees' Retirement Fund of Indiana and are deposited into an account in the employee's name. Interest and earnings are credited to the account each year and statements of the balance are provided by INPRS.

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 on a post-tax basis.

University contributions go to the pension portion of INPRS and fund pension, disability and death benefits. INPRS provides retirement annuity and pension benefits at age 65 with ten or more years of creditable service and at age 60 with 15 or more years of service. For earlier, reduced benefit information, please contact INPRS. Disability income benefits and death benefits are also provided. INPRS benefit information is available online at the INPRS website [www.in.gov/inprs/](http://www.in.gov/inprs/).

Support staff who accept appointments as administrators may no longer participate in the INPRS 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 INPRS plan. The additional service credit and the salary earned in the administrator position shall not be included in the computation of benefits from the INPRS plan.

Employees who terminate employment with the University and are ineligible for retirement or disability benefits under INPRS may be entitled to receive a refund of the amount in the employee's Annuity Savings Account plus accumulated interest and/or earnings.

Information about the Public Employee's Retirement Plan is available on-line at [www.in.gov/inprs/](http://www.in.gov/inprs/).

#### **C. USI Defined Contribution Plan for Support Staff through TIAA**

Support Staff in regular assignments with a 50 percent or greater schedule hired on or after July 1, 2014, with no prior INPRS-eligible employment with the University of Southern Indiana, may participate after one year of service in the USI Defined Contribution Plan for Support Staff ("DC Plan for Support Staff"). The DC Plan for Support Staff is eligible for tax-deferred employer contributions under Section 403(b) of the IRS code.



Participation in the DC Plan for Support Staff may begin upon employment if the employee was a participant in TIAA or in a university-sponsored retirement plan for at least one year with contributions directed to a company other than TIAA (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 Executive Director of Human Resources or the Benefits Manager within 60 calendar days of the first day of employment. University contributions to the DC Plan for Support Staff are based upon the employee's actual earnings.

Information about the USI Defined Contribution Plan for Support Staff is available in the Human Resources Department.

#### **D. 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 and some foreign nationals. The contribution rate accords with federal law. Additional information may be secured through any local Social Security Office or by visiting the Social Security Website at [www.ssa.gov/](http://www.ssa.gov/).

#### **E. USI Supplemental Retirement Plan (SRP) through TIAA**

Eligible employees may participate in the Supplemental Retirement Plan (formerly the tax-deferred retirement annuity). Section 403(b) and Section 402(g) of the Internal Revenue Code contain guidelines which govern such tax-deferred contributions. There is no waiting period before eligibility. Beginning January 1, 2020, the University is offering a post-tax 403 (b) Roth option. The University does not contribute to this supplemental program.

Individuals requesting tax-deferred salary reductions must complete a Salary Reduction Agreement Form available in the Human Resources Department. Deductions will then be forwarded to TIAA. Prior to January 1, 2009, the University honored an individual's contract with a company other than TIAA if the contract was active and had been in effect for at least 90 days prior to employment with the University; however, no contributions are allowed to vendors other than TIAA beyond December 31, 2008.

## **Worker's Compensation**

**Date**

7/15

**Item**

C.8

#### **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 <https://www.usi.edu/media/vt4jksy/accident-injury-investigation-form.pdf> and is available in the Human Resources Department.

## **B. Medical Care for Injuries**

The University 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 University Health Center. If an employee needs treatment during the hours in which the University Health Center is closed, the employee should be referred to Deaconess Comp Center located at 329 W. Columbia Street. However, if the injury or illness is such that hospital treatment is needed immediately, or during hours in which the University Health Center and Deaconess Comp Center 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 the 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)**

## **Date**

7/16

## **Item**

C.9

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 and on the University website at <https://www.usi.edu/hr/benefits/employee-assistance>.

# **Banking Options**

## **Date**

8/20

## **Item**

C.10

## **A. Credit Union**

Credit Union membership is available through Liberty 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. Further information is available in the Human Resources Department or by calling the Credit Union at (812) 422-8204 or (800) 800-9271 or visiting its website at <https://libertyfcu.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**

**Date**

7/22

**Item**

C.11

## **A. Fee Waiver Policy for Credit Courses**

The following are applicable to all eligible groups:

- The fee waiver is not applicable for courses in which a student enrolls as an “auditor”.
- The fee program includes a percentage waiver for the following lab and miscellaneous fees:
  - a. All Mandatory Fees
  - b. All Program Fees
  - c. All Lab Fees
  - d. Transportation and Parking Fees
  - e. Student Activity Fees
  - f. Counseling Service Fees
  - g. Online Learning Fees
- If fee is not listed above, then it is not eligible for the fee waiver.
- Consistent with the policies of Indiana’s Division of Student Financial Aid, 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.
- Section 117 of the Internal Revenue Code authorizes educational institutions to provide qualified tuition reductions for its employees, eligible retirees, and certain associated individuals (spouses and dependent children). Section 117 allows fee waivers for undergraduate level courses taken by eligible employees and retirees (along with spouses and dependent children) to be excluded from taxable income.
- Section 117 allows fee waivers for graduate level courses taken for credit toward an undergraduate degree to qualify for the exclusion.
- Section 117 allows fee waivers for graduate level courses taken by an eligible employee who is a teaching or research assistant to be excluded from taxable income.
- Section 127 of the Internal Revenue Code authorizes employers to provide educational assistance programs for employees and retirees. Section 127 allows an eligible employee or retiree to receive fee waivers of up to \$5,250 per calendar year for graduate level courses not taken for credit toward an undergraduate degree to be excluded from taxable income. Fee waivers above the \$5,250 limit are treated as taxable income.

- Section 127 educational assistance is an employee/retiree benefit; therefore, fee waivers for graduate level courses taken by a spouse or dependent child of an eligible employee or retiree are treated as taxable income to the associated employee or retiree, unless the graduate level course is taken for credit toward an undergraduate degree.
- The above tax treatment is only applicable to courses taken at University of Southern Indiana.
- Application instructions for fee waivers are available online at <https://www.usi.edu/hr/benefits/tuition-fee-waiver>. The application is subject to approval by the appropriate personnel. In accepting a fee waiver, the employee/student grants to the executive 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 academic year is defined as fall semester through the final summer session.

## **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 (as listed in a-g above) for undergraduate and graduate courses.
- The fee waiver applies to not more than 15 credit hours per academic year with a maximum of six credit hours per fall semester, six credit hours per spring semester and six credit hours per summer term, up to a maximum of 12 summer credit hours.
- 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 (including disabled retirees) of the University and continues during the period of retirement. Retirees are eligible for Fee Waivers and receive comparable benefits to active employees.
- In certain limited situations, part-time regular (non-temporary) employees may be eligible for fee waivers for individual job-related courses or for all courses that lead to a USI undergraduate degree, if such courses or degree are required by external regulatory bodies. Such special circumstances require approval of the applicable dean and provost or vice president, in coordination with the executive director, Human Resources.

## **Spouses of Faculty and Staff**

Spouses of eligible employees may receive:

- A waiver of 75 percent of student fees (as listed in a-g above) for undergraduate and graduate courses.
- Eligibility is extended to the spouse of those employees considered as official retirees (including disabled retirees) of the University and continues during the period of retirement.
- 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 the first degree is awarded but not to exceed 132 credit hours attempted.

## **Dependent Children of Faculty and Staff**

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 (as listed in a-g above) for undergraduate and graduate courses. 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.
- Eligibility is extended to dependent children of those employees considered as official retirees (including disabled retirees) of the University and continues during the period of retirement.
- Eligibility also is extended to children of a deceased employee if the dependent children were enrolled at the time of the employee's death.
- The fee waiver will continue until the first degree is awarded but not to exceed 132 credit hours attempted.
- The College Achievement Program (CAP) courses are eligible for fee waivers as described in this section C.11 of the Handbook. Hours earned in the CAP program will count towards the fee waiver maximum for the first degree awarded but not to exceed 132 credit hours.

## **B. Charges for Noncredit Courses**

Effective July 1, 1996, full-time employees are charged no or reduced fees for fitness/wellness and other noncredit continuing education courses which include most leisure activity courses (e.g., foreign language, crafts, etc.). Effective January 1, 2014, official retirees (including disabled retirees) of the University may also participate in this benefit. Existing policies related to break-even points, space availability and employee/retiree responsibility (or employee's department for certain eligible job-related courses) for certain direct expenses of the course (supplies, food, etc.) will continue to apply. When noncredit courses are offered through third-party providers, the university will ordinarily forego only its portion of the fee. Travel/study programs and most other courses conducted off campus do not qualify for a reduced fee, regardless of type of course.

An application form for noncredit fee reduction may be obtained from the Division of Outreach and Engagement. The application is subject to approval by the appropriate personnel.

## **Unemployment Insurance**

### **Date**

1/95

### **Item**

C.12

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.

## **Time Off**

## **Attendance/Punctuality**

### **Date**

7/16

### **Item**

D.1

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 for 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.19, 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 Schedule

**Date**

1/95

**Item**

D.2

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)

**Date**

7/16

**Item**

D.3

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

**Date**

7/22

**Item**

D.4

Sample content

The University observes the following holidays:

New Year's Day	Juneteenth
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Good Friday	Labor Day
Memorial Day	Thanksgiving Day and the day preceding and following
Fourth of July	Christmas plus two working days

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. Employees who are required to work on a University recognized holiday will receive an alternate day off to use within the same week or be paid for the holiday in lieu of a day off, at the University's discretion.

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

### Date

8/17

### Item

D.5

**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:

### Vacation Earned During Hours Per Pay Period

0-3 years	2.88
4-6 years	3.46
7-10 years	4.32
11 years or more	5.77

## Vacation Policy Guidelines

- a. Vacation allowance will be computed on the basis of hours per pay period in regular pay status and years of service.
- b. 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.
- c. Vacation time will be available for use upon accrual. Vacation periods must be arranged in advance with the appropriate supervisor.
- d. 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.
- e. 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. An exiting employee must be physically present at their assigned duty on the final day of employment, unless approved in writing by the Executive Director of Human Resources, or designee.
- 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 provost.
- 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

### Date

7/19

### Item

D.6

### 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. Members of the faculty and administrators on academic year nine- or ten-month assignments are eligible for sick time with pay only during the appointment period.

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 form will be requested 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 Section D.7, Leaves of Absence Policy, for information regarding absences qualifying for coverage.

Sick time with pay may be used during any applicable Short-Term and Long-Term Disability income benefits waiting period. However, only a limited portion of sick time with pay, as required by the insurer, may be used during the period of Short-Term Disability payments (if any). Sick time with pay ends at commencement of Long-Term Disability benefit payments (if any).

3. **Sick Time Use for Family Illness.** Effective July 1, 2019, a maximum of 20 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 domestic partner, children, parents, siblings, relatives who live with the employee, and relative (in-laws) of the same degree of the spouse/domestic partner who are dependent on the employee for emergency care. As of September 1, 2013, covered family members also include grandchildren and grandparents. 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:** Faculty and administrative staff are not eligible to receive payment of their unused, accumulated sick time at termination, retirement or death.

#### 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. Sick time will not be claimed during the probationary period; however, sick time will be earned and accumulated during probation to be available for use after successful completion of the probationary period.

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 Family and Medical Leave Act, a leave of absence form will be requested prior to the leave. Refer to 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 Section D.7, Leaves of Absence Policy, for information regarding absences qualifying for coverage.

Sick time with pay may be used during any applicable Short-Term and Long-Term Disability income benefits waiting period. However, only a limited portion of sick time with pay, as required by the insurer, may be used during the period of Short-Term Disability payments (if any). Sick time with pay ends at commencement of Long-Term Disability benefit payments (if any).

3. **Sick Time Use for Family Illness.** Effective July 1, 2019, a maximum of 20 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 domestic partner, children, parents, siblings, relatives who live with the employee, and relative (in-laws) of the same degree of the spouse/domestic partner who are dependent on the employee for emergency care. As of September 1, 2013, covered family members also include grandchildren and grandparents. 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:** Eligible support employees, who retire from the University with ten or more years of service under Regular Retirement or Rule of 85 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 described above.

## Leaves of Absence Policy

### Date

1/20

### Item

D.7

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 to Human Resources a medical certification from a health care provider within the designated timeframe (either under Family and Medical Leave Act requirements below or under the University's Personal Leave of Absence described in section F of this policy). If an employee is hospitalized in-patient for any length of time or if the employee is absent due to illness or injury for five or more consecutive days, the employee must also, before returning to work, submit a medical release (also called fitness-for-duty certificate) from a medical provider to the Human Resources Department. 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 or as a Personal Leave of Absence.

#### 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. 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 consecutive and completed within 12 months of the birth, adoption, or placement.

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. For information regarding the University Parental Leave Policy, please refer to Handbook Section D.13.

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 (or written) notice to their immediate supervisor 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 request documentation is subject to approval by the executive director of Human Resources or designee.

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. Unless otherwise required by law, the anticipated time off is at least five days, the employee must submit a written request for the leave of absence. The employee may also be required to submit other requested documentation (e.g., medical certificate) to Human Resources. 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 not ordinarily 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

### **Date**

7/19

### **Item**

D.8

An employee utilizing a bereavement benefit under this policy must provide the relationship information of the deceased.

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, domestic partner, 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. Up to two (2) days travel time may be utilized when the funeral location is greater than or equal to 180 miles or 3 hours of travel time from the USI campus (or employee's home, whichever is closer). The employee must provide the location of the services to access this additional time.
- B. Time off with pay for a maximum of one day may be utilized for other members of an employee's family including uncle, aunt, niece, nephew, uncle-in-law, aunt-in-law, grandparent-in-law and niece- or nephew-in-law. Up to two days travel time may be utilized when the funeral location is greater or equal to 180 miles or 3 hours of travel time from the USI campus (or employee's home, whichever is closer). The employee must provide the location of the services to access this additional time.
- C. For attending funeral services of other relatives not listed in A and B above and for 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

### **Date**

8/97

### **Item**

D.9

An employee selected for jury duty will continue to receive his normal pay up to a maximum of 15 days per fiscal year. The employee is responsible for notifying his dean/departments head and the Human Resources Department of impending jury duty immediately upon receiving notice to serve. A 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 will continue to receive his normal pay up to a maximum of 15 days per fiscal year. 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

### Date

7/02

### Item

D.10

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

### Date

7/16

### Item

D.11

Employees of the University are encouraged to continue to develop skills by taking advantage of training through Human Resources, Information Technology, 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

### Date

2/17

## **Item**

### **D.12**

Classes and special events at the University of Southern Indiana are rarely cancelled or delayed, and seldom are University offices closed. When conditions warrant, USI may delay classes and/or opening the University, cancel classes (but University offices remain open) or close the University.

When the main campus is closed, all events (including those sponsored by off-campus organizations) are cancelled. Announcements about individual department or program activities will not be made.

#### **A. Announcement of Delays, Cancellations or Closings**

Information on class delays, cancellations or University closings is announced and conveyed in several ways. USI employees and students are encouraged to be familiar with the following ways to receive information.

- A RAVE Alert (email, text message and voice message options) email is automatically sent to employees and students via their USI account. However, preferred email addresses, phone and mobile phone numbers to receive voice alerts and text messages may be added. RAVEAlert accounts can be managed and tested by logging on to myUSI and clicking the RAVEAlert icon.
- Information is posted to the USI homepage at [www.usi.edu](http://www.usi.edu). This will be a primary source for announcements. As available, additional information about facility hours, food service, Rice Library, Recreational Fitness and Wellness Center, transportation and other resources will be posted at [www.usi.edu/emergency](http://www.usi.edu/emergency).
- Dial 812-464-8600 to reach USI's main switchboard. An emergency message may be recorded when there are no operators available.
- Radio and television stations and local newspapers receive delay, cancellation or closing announcements.
- Social media sites, including Facebook and Twitter will carry updates.

Preparedness initiatives offer simple steps to plan for emergencies. They include prepare, make a plan, and be informed. Make a plan today of how you will connect with announcements about cancellations, delayed openings and closings, manage your RAVEAlert options (if you have not already done so), check the emergency preparedness webpage at [www.usi.edu/emergency](http://www.usi.edu/emergency) for more details, and keep this information handy.

#### **B. Information for Faculty and Staff**

When classes are cancelled or delayed but the University remains open, employees are expected to report to work as usual.

In the event of delayed opening or campus closure, non-essential personnel should not report to work without the approval of their supervisor. Supervisors/managers of employees who still report to work have the authority to tell the employee to return home. If you are unsure of your status as either essential or non-essential, check with your supervisor/manager.

Essential personnel are required to report to work in the event of any cancellation, delayed opening or campus closing. Essential personnel are those vital to the operation of the facility, whose absence from duty could endanger the safety and well-being of the campus population and/or physical plant. Essential personnel are determined by their department heads based upon the incident, job function and level of operations to be sustained.

At the beginning of each semester, faculty and students should discuss plans for communicating class status related to University closing, class cancellation or delayed opening.

For information about leave or compensation, contact Human Resources at 812-464-1815.

# Parental Leave Policy

## Date

7/15

## Item

D.13

Effective July 1, 2015, full-time, regular (non-temporary), benefit-eligible faculty, administrators and support staff are eligible for up to ten consecutive working days of paid parental leave per fiscal year, following the birth of their child, or upon either the initial placement for adoption or the legal adoption of a child under the age of 18.

1. The parental leave must be used within the first 12 (twelve) months of the event (birth, adoption or placement for adoption). The parental leave is available only as one leave of up to 10 consecutive days. Parental leave pay is not available for intermittent or reduced schedule use.
2. The event (birth, adoption or placement for adoption) must occur during the period of employment and after the effective date of the policy. This policy does not provide a benefit for the placement of a foster child.
3. Employees are limited to one leave per fiscal year and one leave per child.
4. Employees are limited to one leave per birth or placement/adoption event; for example, a total of ten paid working days are available in the event of a multiple birth.
5. Should the University employ both of the biological or adoptive parents of the newborn or newly placed/adopted child, the parents are entitled to a combined total of ten working days of paid parental leave.
6. Parental leave and the associated pay are only available and only need to be used for normally scheduled work days. For example, employees do not need to use parental leave pay for days off for which that employee is otherwise qualified to be paid – e.g., a holiday, winter recess, or, for faculty, spring break. Academic year employees such as nine or ten-month faculty and administrators shall not receive parental leave pay outside their regular academic year appointment period.
7. Available paid parental leave shall be utilized in conjunction with other paid time off (such as sick pay, family sick pay, compensatory time for support staff, or vacation) for which the employee is eligible, in the order of the employee's discretion.
8. Leave granted under this policy will run concurrently with Family Medical Leave (FML) in cases where an employee is eligible for FML. When the employee is not eligible for FML, the parental leave will run concurrently with the University's Personal Leave of Absence (PLOA) policy.
9. Employees must communicate proactively and at the earliest possible date with their respective departments/colleges regarding the timing and coordination of the leave. Faculty members must review plans for coverage of responsibilities with their chair and dean and receive dean approval.
10. Employees must complete and submit a Leave Request Form to Human Resources with supporting documentation at least 30 days in advance of the expected event date in order to access this benefit. If the need for parental leave is not foreseeable, the employee must contact both Human Resources and the employee's supervisor as soon as practicable.

# Compensation and Payroll Procedures

## Salaries and Compensation

### Date

8/20

### Item

E.1

#### 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, the vice president for Finance and Administration, 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

For promotions effective July 1, 2014, or later, the University will preserve the promotion amount when contract terms are subsequently reduced (e.g., from 12 months to 10 months or 10 months to 9 months).

**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 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 provost or 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 be paid for any credit hours taught over 12 in a semester. Teaching assignment shall not exceed 16 credit hours per semester. Pay rate schedules are available in the Office of the Provost.

It is University practice to allow qualified support and administrative staff to teach graduate or undergraduate courses. However, internal employees are not given preference for teaching appointments based on their current employee status. A full-time staff member shall not teach more than 6 credit hours per semester, unless Provost and respective Vice President approval is granted.

**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, unless otherwise stated.

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.

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 (Adjunct) Faculty**

Faculty members on limited assignments (part-time, temporary) are given part-time, adjunct faculty status. The adjunct pay levels reflect different levels of education, training and experience among faculty members employed on a limited basis.

Individuals employed on a part-time basis will receive the appropriate pay level, 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.

#### **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.

#### **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 salary notification letters from Human Resources.

A support employee may receive a fiscal salary increase based on annual established guidelines.

Any regular support staff member who has completed a post-secondary degree before or during the course of employment with USI from an institution of higher education, subject to receipt of official transcripts in Human Resources, is eligible to receive a base rate adjustment for the highest degree earned at an hourly equivalent to the rates 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 financial manager 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 executive director of Lifelong Learning 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 Lifelong Learning.

#### **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**

### **Date**

8/17

### **Item**

E.2

#### **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**

Payroll is 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. When a payday falls on a holiday or weekend, pay 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 must 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

**Date**

8/17

**Item**

E.3

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 Payroll in 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.

### B. **Support Employees and Student Workers**

Wage and hour laws require an accurate record be kept of all time worked by non-exempt employees. Time Report forms are available, complete with instructions on the back of the form, from Payroll in the Human Resources Department.

Support staff and student workers report hours worked as well as any absences in quarter-hour 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 Payroll in 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

**Date**

8/17

**Item**

E.4

The University uses a paper-less pay disbursement system. For employees without a bank account, or those who prefer to not use a regular bank account, a paycard is the other pay disbursement option. An enrollment form for the selected method of disbursement is available in the Human Resources Department. All employees are encouraged to use direct deposit. For direct deposit a voided check or bank document containing employee's name and Social Security number, bank account and routing numbers, and type of account, must accompany the completed enrollment form.

## Social Security

### **Date**

7/16

### **Item**

E.5

All employees of the University (except student workers as noted below and certain non-resident aliens) 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

### **Date**

8/17

### **Item**

E.6

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, Kentucky, Illinois, Massachusetts, or Oregon 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, and forward the applicable withholding to the corresponding agency.

# Call Back Time

## Date

1/95

## Item

E.7

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

## Date

7/16

## Item

E.8

### 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). For the purpose of computing overtime compensation, all holiday hours, vacation or sick hours, inclement weather hours, admin closure hours and compensatory time will be counted as time worked. 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 pay period. The University allows a maximum compensatory time accrual of 52.5 hours effective January, 2011. 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

### Date

8/17

### Item

E.9

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 by selecting myUSI on the USI homepage at [www.usi.edu](http://www.usi.edu). To access the services mentioned above, employees will need a User Name and a myUSI password.

## Salary Schedules and Position Classifications

### Date

7/16

### Item

E.10

#### 1. 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.

#### 2. 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 Finance and Administration. 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

### Date

9/01

**Item**

E.11

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

**Date**

3/04

**Item**

E.12

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 work shift, 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.

## DoD Voluntary Education Partnership Incentive Compensation and Marketing

### **Date**

8/21

### **Item**

E.13

The purpose of this policy is to provide guidelines related to the Recruiting and Marketing, as well as the Payment of Incentive Compensation for the delivery of educational services to Service members, military retirees, and other personnel covered in the DoD Voluntary Education Partnership Memorandum of Understanding (MOU) between the DoD Office of the Under Secretary of Defense for Personnel and Readiness and the University. As part of its efforts remain compliant with program integrity requirements of the MOU, the University will:

- Refrain from high-pressure recruitment tactics such as making multiple unsolicited contacts (3 or more), including contacts by phone, email, or in-person, and engaging in same-day recruitment and registration for the purpose of securing enrollments.

- Refrain from providing any commission, bonus, or other incentive payment based directly or indirectly on securing enrollments or federal financial aid (including TA funds) to any persons or entities engaged in any student recruiting, admission activities, or making decisions regarding the award of student financial assistance.

## General University Policies and Procedures

### Sexual Harassment Policy

**Date**

8/22

**Item**

F.1

#### Scope

##### 1.1 Introduction

The University of Southern Indiana (“University” or “USI”) embraces and celebrates the many differences that exist among the members of a dynamic, intellectual, and inclusive community, and strives to maintain an environment that respects differences and provides a sense of belonging and inclusion for everyone. In accordance with Title IX of the Educational Amendments Act of 1972 and its implementing regulations, the University prohibits discrimination on the basis of sex, including Sexual Harassment (as defined below), in its education programs or activities. This prohibition on sex discrimination includes, but is not limited to, admission and employment.

For discrimination or harassment that is not on the basis of sex, does not meet the definitions of Prohibited Conduct in this Policy, or does not meet the jurisdictional requirements for Title IX, the University will utilize the University Handbook, specifically the [Equal Opportunity and Non-discrimination Policy](#) or the [Student Rights and Responsibilities](#) or other appropriate University policies.

##### 1.2 Scope and Jurisdiction of Policy

This Policy prohibits sexual harassment including sexual assault, domestic violence, dating violence, stalking, and also sexual exploitation. It applies to conduct that occurs on University property or at University-sponsored activities. The University may also address “Non-Title IX” complaints that occur off-campus, at study abroad programs, and/or online when the conduct affects a substantial University interest.

All actions by a member of the University community that involve the use of the University’s computing and network resources from a remote location, including but not limited to accessing email accounts, digital platforms, and computer hardware or software owned or operated by USI will be deemed to have occurred on campus. On-line and/or social media conduct may violate this Policy if it meets the definition of Prohibited Conduct. These postings may subject an individual to allegations of Prohibited Conduct or other misconduct, including violations of the [Data Communication and Computer Use Policy](#).

This Policy applies to all University students, employees, or program participants at the University of Southern Indiana as well as affiliated vendors and volunteers. Other third parties are both protected by and subject to this Policy. However, the University’s response may be impacted by the status of the parties involved and their relationship with the University. Under federal law, universities are required to distinguish between Prohibited Conduct that meets the definition and jurisdiction as outlined in the Title IX regulations and behaviors that do not meet that threshold but are otherwise prohibited by codes of conduct. Under Title IX, the University must dismiss a Formal Complaint or the part of the allegations in a Formal Complaint, if applicable, where Sexual Harassment is alleged and where:

1. The Respondent is not a current student or employee;
2. The Complainant is not a current student or employee;
3. The conduct alleged does not meet the definition of Sexual Harassment;
4. The alleged conduct did not occur in the University's education program or activity; or
5. The alleged conduct did not occur in the United States.

These Complaints may still be adjudicated, however, through the grievance processes provided for in this Policy. However, Complainants alleging discrimination based on pregnancy, different treatment based on sex, or other forms of sex discrimination will be adjudicated under a separate process. Specifically, such complaints involving Respondents who are students will be addressed by the **Students Rights and Responsibilities**, and by the **University Handbook** for Complainants involving Respondents who are employees.

Because of the distinction between conduct "under Title IX" and other Prohibited Conduct, the University does not have a single adjudication mechanism for all complaints of sexual harassment. As a result, the procedures applicable to the adjudication of a complaint will depend on whether the complaint meets the Title IX definition and jurisdictional threshold and the status of the parties. Additionally, the University will decide, on a case-by-case basis, which grievance procedures will be applied for incidents involving multiple policies.

Even if the Respondent is unknown or is not a member of the University community, USI will assist the Complainant in identifying appropriate campus and local resources and support options and/or, when criminal conduct is alleged, in contacting local or campus law enforcement if the individual would like to file a police report. In addition, the University may take other actions as appropriate to protect the Complainant against third parties, such as barring individuals from University property and/or events. When the Respondent is enrolled in or employed by another institution, the University can assist the Complainant in liaising with the appropriate individual at that institution.

This Policy distinguishes between reporting sexual harassment incidents to University officials and filing Formal Complaints. Reporting sexual harassment incidents informs USI of the incident, which allows the University to provide support and resources to the Complainant while not necessarily resulting in the initiation of the investigation and adjudication procedures described in the Policy.

## Prohibited Conduct and Definitions

### 1.3 Definitions of Prohibited Conduct

As outlined above, the University prohibits conduct as defined under Title IX, but also behaviors that fall outside of the scope of conduct prohibited by Title IX. If a report constitutes Prohibited Conduct under this Policy, the University will determine which adjudication process to utilize to resolve the complaint.

For purposes of this Policy, all of the following definitions constitute conduct to be "on the basis of sex." The University will treat attempts to commit any Prohibited Conduct as if those attempts had been completed.

**Hostile Environment Sexual Harassment** means unwelcome verbal, written or physical conduct based on sex, sexual orientation and/or gender identity, that is severe, persistent, or pervasive and has the purpose or effect of unreasonably interfering with an individual's work or education (including living conditions) or that creates an intimidating, hostile or offensive environment.

To meet the threshold for Title IX, the unwelcome conduct must be determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University's education program or activity.

**Quid Pro Quo Sexual Harassment** is a form of harassment that consists of unwelcome sexual advances, requests for sexual favors, or other verbal, written, or physical conduct of a sexual nature when a person affiliated with the University conditions the provision of an aid, benefit, or service of the University on an individual's participation in the unwelcome sexual conduct.

To meet the threshold for Title IX, an employee of the University must condition the provision of an aid, benefit, or service of the University on an individual's participation in the unwelcome sexual conduct.



**Sexual Assault** is defined as any sexual act directed against another person, without consent of the Complainant, including instances where the Complainant is incapable of giving consent because of their age or because of temporary or permanent incapacitation. Violations of this policy shall include one or more of the following:

**Sexual Assault—Rape** is defined as penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the Complainant. This definition includes any gender of the Complainant or Respondent.

**Sexual Assault—Fondling** is defined as the touching of the private body parts, including but not limited to breasts, buttocks, or groin of another person, for the purpose of sexual gratification, without the consent of the Complainant.

**Sexual Assault—Incest** is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law in Indiana.

**Sexual Assault—Statutory Rape** is sexual intercourse with a person who is under the statutory age of consent which is 16 years of age in the state of Indiana (which means the victim must be under 16); however, 14- and 15-year-olds may consent if the offender is less than four years older than the victim.

**Dating Violence** encompasses a wide range of behaviors including sexual assault, physical abuse, and other forms of violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the Complainant. The existence of such a relationship shall be determined based on the Complainant's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. For the purposes of this definition, dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence.

**Domestic Violence** encompasses a wide range of behaviors including sexual assault, physical abuse, and other forms of violence committed by a current or former spouse or intimate partner of the Complainant; by a person with whom the Complainant shares a child in common; by a person who is cohabitating with or has cohabitated with, the Complainant as a spouse or intimate partner; by a person similarly situated to a spouse of the Complainant, or by any other person against an adult or youth Complainant protected from those acts by domestic or family violence laws of Indiana. For the purposes of this policy, incidents involving roommates who are not in a relationship as defined under this section will not be considered "domestic violence."

**Stalking** is defined as engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for the person's safety or the safety of others or suffer substantial emotional distress. A course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property. A reasonable person means a reasonable person under similar circumstances and with similar identities to the Complainant. Substantial emotional distress means significant mental suffering or anguish that may but does not necessarily require medical or other professional treatment or counseling.

Sexual Exploitation means taking non-consensual or abusive sexual advantage of another person for one's own advantage or benefit or for the advantage or benefit of anyone other than the person being exploited. Examples include but are not limited to non-consensual photography, video-, or audio- recording of sexual images or activity, distributing images of sexual activity without consent, and observing a consensual sexual act without the prior knowledge or consent of all involved parties. In some circumstances, Sexual Exploitation may also meet the definition of hostile environment harassment and may be adjudicated under Title IX adjudication procedures.

## 1.4 Definition of Consent

Consent is defined as an affirmative indication by words and/or actions of a voluntary agreement to engage in the particular sexual act or conduct in question. Consent for one sexual act or conduct does not constitute consent to all sexual acts or conduct. Consent can be withdrawn at any time, and once withdrawal of consent has been expressed, sexual activity must cease. Consent cannot be obtained through the use of force, threat, intimidation, or coercion.

Silence or absence of resistance on the part of an individual does not constitute their consent. Consent cannot be given by someone who is incapacitated due to consuming drugs or alcohol or for any other reason (including but not limited to being unconscious, asleep, or otherwise unaware that sexual activity is occurring).

Incapacitation is a state where someone cannot make rational, reasonable decisions because they lack the capacity to give knowing consent (e.g., to understand the “who, what, when, where, why, or how” of their sexual interaction). While incapacitation may result from the use of alcohol and/or drugs, incapacitation is a state beyond drunkenness or intoxication. Incapacitation may also exist because of a physical, mental, or developmental disability. The question of incapacitation will be examined objectively from the perspective of the Respondent i.e. whether a reasonable, sober person in place of the Respondent should have known the condition of the Complainant based on the apparent indications of incapacitation, which may include, but are not limited to, acting confused or incoherent, difficulty walking or speaking, and/or vomiting.

## 1.5. Policy Definitions

**Advisor** means any person who accompanies a Complainant or Respondent to any meetings, interviews, and/or hearings related to the Policy. A party may choose an advisor of their choice. Except for conducting cross-examination at a hearing following the Title IX Adjudication Proceedings, the advisor’s role is limited to providing support and guidance to their advisee and the advisor may not speak or otherwise represent their advisee throughout the process. If a party does not have an advisor present at a hearing required under the Title IX Adjudication Proceedings, or is removed by the University for being disruptive, the University will provide, without fee or charge to that party, an advisor of the University’s choice to conduct cross-examination on behalf of that party. A party is not required to have an advisor except for hearings utilizing the Title IX Adjudication Proceedings.

For both Title IX and Non-Title IX meetings, interviews and disciplinary proceedings, the advisor may talk quietly with the student or pass notes in a non-disruptive manner. In addition, while advisors may provide guidance and assistance throughout the process, all written submissions must be authored by the student.

**Appellate Decision-maker** refers to the individual(s) authorized to hear appeals of findings or dismissals. The appellate decision-maker may be an employee or may be a person external to the University. The appellate decision-maker will not be the same person as the decision-maker in a case.

**Complainant** means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.

**Days** means business days.

**Decision-maker** refers to the individuals authorized to determine findings and sanctions. For student Respondent cases, the decision-makers at any hearings will be a three-person panel and could be comprised of both internal and external members. The University utilizes both internal and external decision-maker for employee cases. The decision-maker will not be the same person as the Title IX Coordinator or the investigator.

**Education program or activity** means locations, events, or circumstances where the University exercises substantial control over both the Respondent and the context in which the sexual harassment occurs and also includes any building owned or controlled by a student organization that is officially recognized by the University.

**Formal Complaint** means a document filed and signed by a Complainant or signed by the Title IX Coordinator alleging Prohibited Conduct and requesting to proceed utilizing an Informal or Formal Resolution process.

**Investigator(s)** means the person assigned to conduct the investigation upon the signing of a Formal Complaint that is proceeding under the Formal Resolution process. The investigator may be an employee or may be a person external to the University.

**Parties** include the Complainant(s) and Respondent(s), collectively.

**Preponderance of the Evidence** is a standard of proof where it is more likely than not that a policy violation occurred.

**Respondent** means an individual who has been reported to be the perpetrator of conduct that could constitute Prohibited Conduct under this Policy.

**Title IX Coordinator** is at least one official designated by the University to ensure compliance with Title IX and the University's Title IX program. References to the Title IX Coordinator may also encompass Title IX Deputy Coordinator for specific roles and tasks, and all persons mentioned herein are used interchangeably within the Policy.

**Witness** is anyone with relevant information about an incident. Character witnesses who do not have relevant information about the incident are not considered witnesses.

## Reporting

Any member of the USI community who believes that they have experienced sexual harassment, including sexual assault, domestic violence, dating violence, stalking, or sexual exploitation in violation of this Policy is encouraged to report the incident(s) as soon as possible. While reporting is encouraged, Complainant's have the right to report or not report the incident to the University and/or to law enforcement.

### 1.6 Reporting to Law Enforcement

The University encourages any student or employee who has experienced domestic violence, dating violence, sexual assault, or stalking to report the incident to law enforcement and encourages students who experience these behaviors to additionally consult their parents/guardians. Those in Public Safety or the Title IX Coordinator can assist the Complainant in contacting appropriate law enforcement officials and in working with these officials to pursue criminal charges against the Respondent. Complainants also have the option to decline to notify law enforcement authorities.

Please note that reporting options are not mutually exclusive; both internal (University) and external (Law Enforcement) reporting options may be pursued at the same time. The local law enforcement office with jurisdiction over the University's geographic location is the Vanderburgh County Sheriff's Office. Allegations of criminal misconduct occurring within the Evansville city limits can be reported to the Evansville Police Department. Additionally, the Indiana State Police (ISP) has state-wide jurisdiction.

#### Public Safety (Available for Emergency or After-Hours Reporting)

From your cell phone or outside line: 812-492-7777

From campus phones: Ext 7777

#### Vanderburgh County Sheriff's Office Operation Center

5607 Highway 41 North

Evansville, IN 47711

Non-emergency telephone: 812-421-6201

Emergency telephone: 911

#### Evansville Police Department

15 Northwest Martin Luther King Jr. Boulevard Evansville, IN 47708

Non-emergency telephone: 812- 436-7896

Emergency telephone: 911

#### Indiana State Police (ISP) District 35 Police Post

19411 Highway 41 North

Evansville, IN 47725

Telephone: 812-867-2079 or 800-852-3970

While not required, the University strongly encourages anyone who becomes aware of behavior that may constitute a crime to report the incident to local law enforcement. However, Campus Security Authorities (CSAs) must report certain crimes reported to them to the appropriate reporting structure. The University can provide support, resources, and assistance to those who do so. Regarding the involvement of law enforcement in matters involving Sexual Harassment, the Complainant has several options, including to: (1) notify law enforcement authorities; (2) be assisted by campus authorities in notifying law enforcement authorities if the Complainant chooses; or (3) decline to notify such authorities. The University will comply with the Complainant's request for assistance in notifying law enforcement in these matters to the extent legally permitted. The Complainant's choice to report to law enforcement will not impact the implementation of supportive measures if applicable.

Regardless of whether a Complainant chooses to notify law enforcement, it is important for a Complainant who has experienced sexual assault, dating violence, or domestic violence to seek medical attention and to preserve evidence potentially by obtaining a forensic medical exam. Additionally, Complainants are encouraged to preserve text messages, instant messages, social networking pages, or other communications, and keeping pictures, logs, or other copies of documents. Preserving evidence may assist in proving that an alleged criminal offense occurred or may be helpful in obtaining a protective order. The University will provide written information on where to obtain forensic examinations. Obtaining a forensic examination does not require the Complainant to file a police report, but a forensic examination can help preserve evidence in cases where the Complainant decides to file a police report at a later date.

Protective orders and peace orders may be sought through the court system. A Complainant interested in a mutual no-contact order at USI may contact the Title IX Coordinator.

Reports of violations under this Policy may also constitute violations of state and local law. University officials are required to document certain reports of sexual harassment for Clery Act reporting purposes. There will be no personally identifiable information about the Complainant shared in that report. If the University is required to notify the community of the incident, including recording the assault in the Daily Crime Log or through the issuance of a Timely Warning Notice, no identifying information will be included to the extent permissible by law.

In certain instances, the University may need to report potential criminal misconduct to law enforcement authorities even when the Complainant has decided not to do so. Such circumstances include those in which there is clear and imminent danger or risk to the Complainant and/or the University community, in which a weapon was involved with the incident, child abuse, or in which the allegations involve sexual harassment, and the Complainant is under the age of consent. The necessity to report an incident to law enforcement will be shared with the Complainant.

The University's Formal Complaint Resolution Process and the legal system work independently from one another, and the University will proceed with its process as applicable, regardless of action or inaction taken by outside authorities. If a law enforcement investigation is initiated, the University may pause its procedures briefly at the request of law enforcement to facilitate their initial evidence gathering. Decisions made or sanctions imposed through the Formal Complaint Resolution Process are not subject to change if criminal or civil charges arising from the same misconduct are dismissed, reduced, or rejected in favor of or against the Respondent.

## 1.7 Medical Assistance

Complainants are encouraged to seek medical assistance in any instance of sexual harassment where physical or sexual assault is being alleged. Public Safety can help facilitate transportation to Deaconess Midtown Hospital, designated as one of the city's sexual assault and domestic violence treatment centers. Deaconess Midtown Hospital has trained nurses who perform the Sexual Assault Nursing Exam (SANE) and will provide victim services, including treatment of injuries and steps to address concerns of pregnancy (if applicable) and/or sexually transmitted infections.

- **Deaconess Midtown Hospital**

600 Mary St  
Evansville IN 47710  
812-450-5000

Students may also schedule appointments at the Student Health Center. While the SANE program is not available at Student Health, they can provide non-emergency and on-going medical assistance from a healthcare provider on campus. All appointments are confidential

- **University Health Center**

Lower level Health Professions Building  
Room HP 00091  
812-464-1862 (office)

It is recommended that the Complainant not take a shower or wash or discard clothing they were wearing at the time of the assault. All clothing (including underwear) should be put into a paper bag and brought to the hospital. Additionally, preservation of any related or electronic communications (e.g., pictures, videos, texts, social media posts, etc.) if recommended.

A Complainant does not have to decide whether or not to file criminal charges before obtaining a forensic exam. The exam is free, and the evidence will be kept in a secured locker indefinitely. There is no statute of limitations on filing a criminal complaint. If a Complainant wishes to remain anonymous, she/he can have the exam listed as a Jane Doe/ John Doe for confidentiality. Having a forensic exam is an important step to preserve evidence for a criminal offense if criminal charges are filed.

## 1.8 Confidential Reporting – Confidential Employees

If a student has experienced sexual harassment but does not want to report it to a University official, the student may meet with a confidential resource. All of the persons and organizations listed below are confidential for purposes of reporting sexual harassment. Reports made to a licensed counselor or a treating health care provider are confidential and will not be reported to University officials without the student's permission unless an imminent threat exists. Confidential resources may be required to report statistical information, without personally identifiable data, for Clery Act reporting.

- **USI Health Center**

Health Professions 0091  
Telephone 812-465-1250

- **USI Counseling Center**

Orr Center 1051  
Telephone: 812-464-1867

- **Employee Assistance Program (EAP)**

The Standard  
<https://www.usi.edu/media/5617755/eap-ee-flyer.pdf>

- **Albion Fellows Bacon Center**

P.O. Box 3164  
Evansville, IN 47731  
Telephone for Domestic Violence: 812-422-5622  
Telephone for Sexual Assault: 812-424-7273  
Toll-free: 800-339-7752

- **YWCA Evansville**

118 Vine Street  
Evansville, IN 47708  
Telephone: 812-422-1191 or 866-367-9922

- **Holly's House**  
750 North Park Drive  
Evansville, IN 47710  
Telephone: 812-437-7233
- **Lampion Center**  
655 South Hebron Avenue  
Evansville, IN 47714  
Telephone: 812-471-1776
- **Southwestern (Behavioral Health)**  
415 Mulberry Street  
Evansville, IN 47713
  - Telephone: 812-423-7791
  - 24 Hour Suicide Hotline: 812-422-1100
- National confidential resources (available 24/7) include, but are not limited to: **RAINN (Rape, Abuse & Incest National Network)** which operates the **National Sexual Assault Hotline** at 1-800-656-HOPE (4673) and an online chat with a trained staff member; and **National Domestic Violence Hotline** at 1-800-799-7233 or TTY at 1-800-787-3224 with an online chat option.

## 1.9 Reporting to Title IX

Anyone who believes they have been subjected to sexual harassment is encouraged to report these incidents to the Title IX Coordinator or Title IX Deputy Coordinator. Additionally, be aware that most USI employees are Responsible Employees and must report known incidents of sexual harassment to the Title IX Coordinator.

### Title IX Coordinator and Deputy Coordinator

Reports may also be made directly to the Title IX Coordinator or a Deputy Coordinator.

- **Title IX Coordinator for the University:**  
Chelsea Givens, Title IX Coordinator and Affirmative Action Officer  
Wright Administration Building, Forum Wing, Room 171A  
8600 University Boulevard  
Evansville, Indiana 47712  
812-464-1703  
[Title.IX@USI.edu](mailto:Title.IX@USI.edu) or [cckeaton@usi.edu](mailto:cckeaton@usi.edu)

## 1.10 Online and Anonymous Reporting Options

Reports may also be made anonymously or identified using the methods outlined below. It should be noted that the University's ability to investigate or act upon anonymous reports may be limited. Anonymous reports that provide sufficient information to constitute certain criminal offenses will be reported without personally identifiable information for purposes of Clery Act reporting purposes.

*Reports related to sexual harassment, submitted through the reporting options below, do not constitute a Formal Complaint under this Policy.*

- **Sexual Misconduct/Harassment Report** (these reports can also be submitted anonymously). Found here: [https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout\\_id=1](https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout_id=1)

## 1.11 Additional Reporting Options

Filing a complaint under this Policy does not preclude an employee from filing a charge of employment discrimination with the EEOC, or the Indiana Civil Rights Commission, within the time frames established by those agencies. Complaints with the EEOC should be filed within 180 calendar days from the day the discrimination took place.

Filing a complaint under this Policy does not preclude a student from filing a written complaint with the U.S. Department of Education's Office for Civil Rights. Complaints should be filed within 180 calendar days of the date of the alleged discrimination.

#### **EEOC (Indianapolis District Office)**

101 West Ohio St, Ste 1900  
Indianapolis, IN 46204  
United States  
Phone: 1-800-669-4000  
Fax: 317-226-7953  
<https://www.eeoc.gov/field-office/indianapolis/location>

#### **Indiana Civil Rights Commission**

100 North Senate Avenue  
Indiana Government Center North, Room N300  
Indianapolis, IN 46204  
1800-457-8283 or 317-232-2600  
<https://www.in.gov/icrc/>

#### **U.S. Department of Education, Office for Civil Rights (OCR)**

John C. Klczynski Federal Building  
230 S. Dearborn Street, 37th Floor  
Chicago, IL 60604  
Phone: 312-730-1560  
[www2.ed.gov/ocr](http://www2.ed.gov/ocr)

### **1.12 Responsible Employees**

The University has classified Responsible Employees as any employee who is not a Confidential Employee. Responsible Employees include, but are not limited to, faculty and staff, those with supervisory responsibilities, advisors to student organizations, Public Safety officers and staff, the Dean of Students Office, those in USI Housing and Residence Life including resident assistants, Athletics staff, and all employees serving as Campus Security Authorities (CSAs) when any disclosures to them are made in their capacity as an employee. Additionally, assigned deputies from the Sheriff's office are also considered Responsible Employees. In limited circumstances, a Confidential Employee may be considered a Responsible Employees if they receive details about an incident of sexual harassment outside of their role as a Confidential Employee.

The above persons are not confidential and must immediately report to the Office of Institutional Equity all relevant details about an incident of sexual harassment that involves any community member. These details include the names of the Complainant and Respondent, witnesses, dates, times, locations of the incident. All reports involving sexual harassment, sexual assault, domestic violence, dating violence and stalking made to Responsible Employees will be referred to the Title IX Coordinator so that Supportive Measures may be offered, and rights and options can be explained.

Generally, disclosures in climate surveys, classroom writing assignments, discussions, or group presentations, in conversations heard indirectly among students in a hallway, human subjects research, or at events such as "Take Back the Night" marches or speak-outs do not provide notice that must be reported to the Title IX Coordinator by employees, unless the Complainant clearly indicates that they desire a report to be made or seek a specific response from the University.

### **1.13 Time Limits on Reporting**

There is no time limitation on reporting incidents and/or filing complaints to the University. However, if the Respondent is no longer subject to the University's jurisdiction and/or significant time has passed, the ability to

investigate, respond, and provide remedies may be limited. Regardless of the passage of time, the University will continue to offer Supportive Measures. When a report or Formal Complaint is affected by significant time delay, the University will typically apply the policy in place at the time of the complaint was filed.

## Supportive Measures and University Response to Reports

### 1.14 University Response to Reports

Upon receipt of a report, the Title IX Coordinator will promptly contact the Complainant to discuss the availability of Supportive Measures, consider the Complainant's wishes with respect to Supportive Measures, explain to the Complainant the process for filing a Formal Complaint as outlined in this Policy, and respect the Complainant's wishes with respect to whether to investigate unless the Title IX Coordinator determines it is necessary to pursue the complaint in light of a health or safety concern for the community. The Complainant will also be provided with a written explanation of rights and options.

### 1.15 Supportive Measures

Upon receiving a report or a Formal Complaint, the Title IX Coordinator will promptly offer Supportive Measures to the parties designed to restore or preserve access to the University's education program, activity, or work environment. Supportive Measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge and can include actions deemed necessary to protect the well-being of the individuals involved in cases of sexual harassment, as well as the educational environment of the University community. These Supportive Measures may include but are not limited to:

- counseling,
- mutual no contact orders,
- relocating residence hall assignments,
- restricting access to certain campus buildings,
- changes to class schedules, assistance with rescheduling an academic assignment (paper, exam, etc.),
- tutoring support, changes to work schedules/situations,
- changes to work locations,
- leaves of absences,
- transportation assistance and escorts to and from campus locations,
- increased security and monitoring of certain areas,
- and other measures for safety as necessary.

Additionally, the University may act to remove a Respondent entirely or partially from its education program or activities on an emergency basis as outlined in "Emergency Removal" and "Administrative Leave" in this Policy.

The University will maintain the privacy of the Supportive Measures, provided that privacy does not impair the University's ability to provide the Supportive Measures. The University will act to ensure as minimal an academic impact on the parties as possible. The University will implement measures in a way that does not unreasonably burden the other party.

### 1.16 Emergency Removal

The University can act to remove a student Respondent entirely or partially from its education program or activities on an emergency basis when an individualized safety and risk analysis has determined that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment justifies removal and provides the Respondent with notice and an opportunity to challenge the decision immediately following the removal.

### 1.17 Administrative Leave

The University retains the authority to place an employee Respondent, including a student-employee, on administrative leave, consistent with the [University Handbook](#).



## 1.18 Amnesty

Reporting suspected Sexual Harassment is important. The University recognizes that an individual who reports Sexual Harassment may be engaged in under-age drinking or drug use or other prohibited conduct at or near the time of the incident reported. To encourage reporting under these circumstances, the University will not take disciplinary action against a student reporter, student witness, student Complainant, or student Respondent for their personal use of alcohol or drugs or for other prohibited conduct at or near the time of the incident reported if such violations do not or did not subject other people to harm. Depending on the circumstances, similar consideration may be given to employee reporters, employee witnesses, employee Complainants, and employee Respondents.

The University may initiate an educational discussion or pursue other educational remedies regarding the alcohol and/or other drugs. Amnesty for any other policy violations will be considered on a case-by-case basis.

## 1.19 Disability Accommodations and Interpretive Services

Those with a disability who desire an accommodation regarding this Policy, including parties and witnesses, may request reasonable accommodations for disclosed disabilities to the Title IX Coordinator. It is the individual's responsibility, and not that of a university official, to request an accommodation. The Title IX Coordinator will not affirmatively provide disability accommodations that have not been specifically requested by the parties, even where the parties may be receiving accommodations in other University programs and activities. Similarly, those that are in need of interpretive services, should contact the Title IX Coordinator.

## 1.20 Prohibition on Retaliation

The University prohibits retaliation against any individual who makes a report, testifies, assists, participates, or refuses to participate in any manner in an investigation, proceeding, or hearing under this Policy. Specifically, no person may intimidate, threaten, coerce, harass, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX or this Policy, or because the individual has made a report or complaint, testified, assisted, participated, or refused to participate in any manner in an investigation, proceeding, or hearing under Title IX or this Policy.

Allegations of retaliation against students are handled in accordance with the normal rules and procedures of the student conduct process, and students alleged to have violated this policy may be charged with 16.7A Interfering with the discipline procedures or outcomes or 16.7B. Intimidation or retaliation. Any employee who is alleged to have violated this provision may also be subject to disciplinary action under the Whistleblower Policy.

Those found to have violated this policy's prohibition on retaliation will be subject to disciplinary action, up to and including termination of employment for employees and expulsion for students. Any person who believes that someone has been subjected to retaliation should promptly contact the Title IX Coordinator.

## Formal Complaints

### 1.21 Filing a Formal Complainant

The grievance process begins with a Formal Complaint, which is a document filed and/or signed by the Complainant or signed by the Title IX Coordinator alleging a violation of Prohibited Conduct under this Policy and requesting that the University investigate the allegation(s). A Formal Complaint may be filed with the Title IX Coordinator in person, by mail, or by electronic mail. The Title IX Coordinator will assist the Complainant to ensure that the Formal Complaint is filed correctly.

### 1.22 When a Complainant Does Not Wish to Proceed

The University understands that some Complainants may seek confidentiality with respect to a report of sexual harassment, including requesting that they not be identified to the Respondent. Due to the usually private nature of these actions and the need to ensure a fair process for all involved, the University may not be able to pursue charges of sexual harassment unless the Complainant is willing to be identified. However, in cases where there is a witness to the alleged violation, or in cases where pursuing the case is necessary to protect the University community, the University reserves the right to pursue a case to its conclusion. If the Complainant requests confidentiality or that a report not be pursued, the University will evaluate the request for confidentiality considering its obligation to maintain

a safe campus environment for all. While rare, the University may determine that the Complainant's request for confidentiality cannot be complied with fully. The goal is to provide the Complainant with as much control over the process as possible, while balancing the University's obligation to protect its community. The Title IX Coordinator, in consultation with other University officials, will make the determination.

When the Title IX Coordinator executes the Formal Complaint, they do not become the Complainant. Under these circumstances, the Complainant may have as much or as little involvement in the process as they wish. The Complainant retains all rights under this Policy irrespective of their level of participation.

In cases in which the Complainant requests confidentiality or no formal action and the circumstances allow the University to honor that request, the University will offer Supportive Measures to the Complainant and the community but will not otherwise pursue formal action.

If the Complainant elects to take no action, they can change that decision if they decide to pursue a Formal Complaint at a later date.

### 1.23 Dismissals of a Formal Complaint

If the Complainant files a Formal Complaint, the Title IX Coordinator will review the complaint. The Title IX Coordinator must dismiss the Formal Complaint for the following reasons:

1. The Respondent is not a current student or employee;
2. The Complainant is not a current student or employee;
3. The conduct alleged does not meet the definition of Sexual Harassment;
4. The alleged conduct did not occur in the University's education program or activity; or,
5. The alleged conduct did not occur in the United States.

However, while the Formal Complaint will not proceed under the Title IX Adjudication Proceedings it may proceed under either the Non-Title IX Adjudication Proceedings (Students) or Non-Title IX Adjudication Proceedings (Employees). Formal Complaints that do not on their face state Prohibited Conduct (for example complaints alleging discrimination based on pregnancy, different treatment based on sex, or other forms of discrimination or harassment), will not be adjudicated using this Policy but will be referred for review under the [Student Rights and Responsibilities](#) or the [University Handbook](#).

At the University's discretion, the Title Coordinator may dismiss a Formal Complaint or any allegations therein if, at any time during the investigation or hearing:

1. a Complainant notifies the Title IX Coordinator in writing that they would like to withdraw the Formal Complaint;
2. the Respondent is no longer enrolled at the University; or
3. Specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint or allegations therein.

Upon any dismissal, the University will promptly send written notice of the dismissal and the rationale for doing so simultaneously to the parties.

The dismissal determination of a Formal Complaint or any included allegations may be appealed following the appeals process outlined in this Policy. A Complainant who decides to withdraw a complaint may later request to reinstate it or refile it.

### 1.24 Consolidation of Complaints

The University may consolidate Formal Complaints as to the allegations of sexual harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other party where the allegations of sexual harassment arise out of the same facts or circumstances. For complaints involving other University policies, a case-by-case determination will be made regarding adjudication proceedings which will be used in resolving the complaints and whether the complaints should be consolidated.

## 1.25 Resolution Timeline

Upon the signing of a Formal Complaint, the University will make a good faith effort to complete the resolution process within a 60 day period, excluding appeal. The timeline may be extended for good cause. The University will notify the parties when a delay is anticipated and the rationale for any extensions or delays as appropriate, as well as an estimate of how much additional time will be needed to complete the process. While the University works with all parties involved in scheduling meetings throughout the process, repeated delays in the process, including requests to reschedule meetings or hearings, and scheduling conflicts with advisors and/or support persons may not always be accommodated.

In cases where law enforcement directs the University to suspend its investigative efforts while criminal proceedings are pending, the University will cooperate with all investigative efforts and will promptly resume its own investigation or adjudication of the case when permitted to do so.

## 1.26 Confidentiality and Privacy

“Confidentiality” refers to the circumstances under which information will or will not be disclosed to others. “Privacy” refers to the discretion that will be exercised by the University in the course of any investigation or disciplinary processes under this Policy or a separate grievance procedure.

All actions taken to investigate and resolve concerns raised under this Policy shall be conducted in a way that respects the privacy of those involved, to the extent reasonably possible. The investigator will not discuss the matter with persons other than those involved in, affected by, or having information about the matter, or those necessary to implement the investigative process or the disciplinary procedures under this Policy.

Medical and counseling records, as well as those with a recognized legal privilege are confidential documents that parties will not be required to disclose. If one party chooses to provide written consent regarding disclosure, all parties will have access to those records.

Each party may disclose information to persons who need to know to participate in or administer the process, and/or to provide support and assistance. Parents or guardians of students will not be contacted by the University except if the student is a minor, at the student’s request, or in the case of a health and safety emergency or with written permission from the student.

All participants are expected to maintain confidentiality regarding the proceedings, except that the Complainant and the Respondent may not be required to maintain confidentiality as to the outcome of the proceedings and any directives regarding confidentiality shall not impede the parties’ ability to obtain and present evidence or otherwise support or defend their interests, to communicate with law enforcement, to communicate with legal counsel or another advisor under this Policy, or to seek counseling or support.

Students and employees may request that directory information on file be removed from public sources by request, in writing, and on an annual basis, to the Registrar (for students) or Human Resources (for employees).

Questions regarding confidentiality in a particular case should be directed to the Title IX Coordinator.

## 1.27 Rights of the Parties

In the event that a Formal Complaint is filed, the Complainant and the Respondent will receive a written notification of their rights regarding the adjudication process, to include the following:

- Complainants and Respondents will be treated equitably by the University which includes providing remedies to a Complainant where a determination of responsibility for sexual harassment has been made against the Respondent, and by following a grievance process that complies with this Policy.
- The University’s procedures provide for a prompt, fair, equitable, and impartial investigation and resolution that begins promptly and is completed within reasonably prompt timeframes.
- Participants will be treated with dignity, respect, and sensitivity.
- A Respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the applicable adjudication proceeding.

- The decision-makers will conduct an objective evaluation of all relevant evidence, including both inculpatory and exculpatory evidence, and provide that credibility determinations may not be based on a person's status as a Complainant, Respondent, or witness.
- The University will use a resolution process that is consistent with University policies, transparent to the Complainant and Respondent, and in which the burden of proof and of gathering evidence rests with the University and not the parties.
- The parties will have the right to an advisor of the party's choosing during the grievance process. If a party does not have an advisor present at any Title IX Hearing per this Policy, the University will provide without fee or charge, an advisor of the University's choice for purposes of conducting cross-examination.
- Both the Respondent and Complainant have a right to similar and timely access to information that will be used at the hearing or adjudication process.
- The parties have the right not to be retaliated against for filing a Formal Complaint and/or for participating in an Informal or Formal Resolution process.
- Any false statements or knowingly submitting false information during the grievance process, constitutes a violation of Student Rights and Responsibilities Section 5.10A. False Information/Obstruction or the University Handbook which will result in a referral for disciplinary action that is separate and independent from the grievance process in this Policy. A finding of not responsible is not the same as a false report.

## Informal Resolution

### 1.28 Overview

Informal resolution is available only after a Formal Complaint has been filed, the Complainant and Respondent have been sent the Notice of Allegations, prior to a determination of responsibility, and if the Complainant and Respondent voluntarily consent to the process in writing. Informal resolution is not available in cases in which an employee is alleged to have sexually harassed a student.

The Title IX Coordinator will determine whether it is appropriate to offer the parties informal resolution in lieu of a formal investigation of the complaint. In the event that the Title IX Coordinator determines that informal resolution is appropriate, the parties will be provided written notice disclosing: the allegations, the requirements of the informal resolution process including the circumstances under which it precludes the parties from resuming a Formal Complaint arising from the same allegations, provided, however, that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the Formal Complaint, and any consequences resulting from participating in the informal resolution process, including the records that will be maintained or could be shared. Both parties must provide voluntary, written consent to the informal resolution process.

With the voluntary consent of the parties, informal resolution may be used to agree upon disciplinary sanctions. Disciplinary action will only be imposed against a Respondent where there is a sufficient factual foundation and both the Complainant, and the Respondent have agreed to forego the additional procedures set forth in this school's policy and accept an agreed upon sanction.

Any person who facilitates an informal resolution will be trained and free from conflicts of interest or bias for or against either party.

Informal Resolutions may include, but are not limited to;

- Placing a Respondent on notice that, if such behavior has occurred or is occurring, such conduct should cease immediately;
- A written warning;
- Education and/or training for a Respondent and/or department;
- Permanent Supportive Measures for Complainant;
- Mediation or other informal communication between the Complainant and Respondent;
- Messaging to the campus community;
- Events and/or trainings offered to the campus community or particular departments;

- Referral and/or collaboration with another District department in order to address the allegations and eliminate any potential sexual misconduct; and/or other forms of resolution that can be tailored to the needs of the parties

## Formal Resolutions

### 1.29 Initial Assessment

Once a Formal Complaint is filed, the Title IX Coordinator will initiate a prompt review of the Formal Complaint to determine the next steps in the grievance process.

If a formal grievance process is preferred, the Title IX Coordinator determines which adjudication proceedings to follow, as outlined in “Scope and Jurisdiction” and “Dismissals of a Formal Complaint” sections of this Policy. If Informal Resolution is preferred, the Title IX Coordinator will determine whether the complaint is suitable for Informal Resolution and seek to determine if the Respondent is also willing to engage in an informal process.

### 1.30 Notice of Allegations

Once a Formal Complaint has been filed, the Title IX Coordinator shall provide the Complainant and Respondent with timely written notice of the allegations, including identities of the parties involved in the incident, if known, the date, time, and location of the alleged violation, if known, and the conduct allegedly constituting the violation.

Amendments and updates to the notice may be made as the investigation progresses and more information becomes available regarding the addition or dismissal of various charges.

### 1.31 Investigation

Following notice to the parties, the Title IX Coordinator will designate an impartial investigator(s) and coordinate the logistics of the investigation process. Investigations involve interviews with all relevant parties and witnesses; obtaining available, relevant evidence; and identifying sources of expert information, as necessary. No unauthorized audio or video recording of any kind is permitted during investigation meetings. The Title IX Coordinator will provide regular status updates to the parties throughout the investigation. The Complainant and Respondent will be notified of the date, time and location of each hearing, meeting, or interview that they are required or permitted to attend and shall have the right to be accompanied by their advisor and/or support person.

The Complainant and Respondent shall have the right to submit to the investigator evidence, witness lists, and suggested questions for the other party and witnesses. Evidence that is readily available, but not provided during the course of the investigation, is not considered to be new information and will not be allowed to be submitted at the hearing or as a basis for appeal.

Evidence regarding a party’s medical history, including mental health counseling, treatment, or diagnosis, may not be considered without that party’s written consent.

### 1.32 Evidence Inspection and Review Period

Prior to the conclusion of the investigation, the Complainant and Respondent will be given the opportunity to inspect and review all evidence that is directly related to the Formal Complaint. The parties will have 10 days to submit a written response. If a written response has been submitted, the investigator(s) will evaluate the information from the parties and may need to conduct further interviews to gather relevant evidence in the case. The investigator(s) will incorporate relevant elements of the parties’ written responses and additional relevant evidence into the final investigation report, make any necessary revisions, and finalize the report.

### 1.33 Investigative Report

Following the evidence inspection and review period, the investigator(s) shall prepare a written report summarizing and analyzing the evidence, including both evidence indicating the alleged behavior occurred and that it did not occur. The Title IX Coordinator will provide the final investigation report to the parties. The parties will have 10 days to provide a written response to the final investigative report.

### 1.34 Assignment to Adjudication

At the conclusion of the investigation, if not previously determined, the Title IX Coordinator will make a final determination as to the appropriate adjudication procedures, specifically whether it will proceed under the Title IX Adjudication Proceedings, the non-Title IX Adjudication Proceedings for students, or non-Title IX Adjudication proceedings for employees.

At the hearing, the decision-maker have the authority to hear and make determinations on all allegations under this Policy and may also hear and make determinations on any additional alleged policy violations under other University policies that have occurred in concert with the Prohibited Conduct, even though those collateral allegations may not specifically fall within this Policy. The decision-maker will answer all questions of procedure and the parties will be notified in writing of what University policy violations will be heard at a consolidated hearing and the procedures that will be followed for each alleged policy violation.

At the time it is assigned to adjudication, both the Complainant and Respondent will be notified of the identity of the appointed decision-makers will be given an opportunity to request the removal or recusal of a decision-maker due to a bias or conflict of interest. A request for removal must state with specificity the grounds for removal. The Title IX Coordinator, or other appropriate university official will make the determination regarding removal.

## Adjudication Procedures

### 1.35 Title IX Adjudication Proceedings (Students and Employees)

All hearings described in this section apply to the adjudication of Formal Complaints alleging Prohibited Conduct under this Policy that meets the definitional and jurisdictional thresholds of sexual harassment as prescribed by Title IX.

For cases that have been determined to meet the threshold to be adjudicated under the Title IX Adjudication Proceedings, hearings are typically scheduled no less than 10 days following the sending the investigative report to the parties and their advisors.

While the hearing is not intended to be a repeat of the investigation, the parties will be provided with an equal opportunity for their advisors to conduct cross-examination of the other party and of relevant witnesses. A typical hearing may include: brief opening remarks by the decision-maker; questions posed by the decision-maker to one or both of the parties; cross-examination by either party's advisor of the other party and relevant witnesses; and questions posed by the decision-maker to any relevant witnesses.

#### ***Pre-Hearing Conference***

In order to promote a fair and expeditious hearing, The Title IX Coordinator may request that the parties and their advisors attend a pre-hearing conference. The pre-hearing conference assures that the parties and their advisors understand the hearing process and allows for significant issues to be addressed in advance of the hearing.

#### ***Hearing Procedures***

All hearings will be conducted in a live hearing format which means all parties and the decision-maker may be physically present in the same geographic location, or at the request of either party or the University, the parties may be located in separate rooms with technology enabling the decision-maker and parties to simultaneously see and hear the party or the witness answering questions.

At the hearing, the decision-maker is responsible for maintaining an orderly, fair, impartial, and respectful hearing. Participants at a live hearing are expected to abide by the Decision-maker's directions and determinations, maintain civility, and avoid emotional outbursts and raised voices. The Decision-Maker has broad authority to respond to disruptive or harassing behaviors, including taking a break in the hearing, the length of which will be determined by the Decision-maker. Additionally, the Decision-maker may exclude any offending person.

All hearings are closed to the public. A recording will be made by the University, but all other recordings are prohibited.

### ***Evidentiary Considerations at the Hearing***

Any evidence that the decision-maker determines is relevant may be considered. The parties will have the opportunity to present the evidence they submitted, subject to any exclusions determined by the decision-maker. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the decision-maker has discretion to accept or exclude additional evidence presented at the hearing. In addition, the parties are expected not to spend time on undisputed facts or evidence that would be duplicative.

Questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. The decision-maker will not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

### ***Cross-examination and the Advisor***

The Parties may have an advisor of their choice at the hearing. The advisor is responsible for conducting the cross-examination which includes asking the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. The advisor is not to represent a party, but only to relay the party's cross-examination questions that the party wishes to have asked of the other party and witnesses. Advisors may not raise objections or make statements or arguments during the live hearing. If a party does not have an advisor, the University will appoint one on behalf of the party free of charge. In this capacity, the advisor will be appointed for the sole purpose of conducting cross examination of the other party and witnesses.

When a party's advisor is asking questions of the other party or a witness, the decision-maker will determine whether each question is relevant before the party or witness answers it and will exclude any that are not relevant or unduly repetitive and will require rephrasing of any questions that violate the rules of conduct. If the decision-maker determines that a question should be excluded as not relevant, they will explain their reasoning.

If a party's advisor of choice refuses to comply with the University's established rules of decorum for the hearing, the University may require the party to use a different advisor. If an advisor refuses to comply with the rules of decorum, the University will provide that party with University appointed advisor of the University's choosing.

### ***Participation***

If the Complainant, the Respondent, or a witness informs the school that they will not attend the hearing (or will attend but refuse to be cross-examined), the Title IX Coordinator may determine that the hearing may still proceed. The decision-maker may be allowed to rely on any statement or information provided by a non-participating individual in reaching a determination regarding responsibility. The decision-maker shall not, however draw any adverse inference in reaching a determination regarding responsibility based solely on the individual's absence from the hearing (or their refusal to be cross-examined).

Moreover, the decision-maker may reach a determination regarding responsibility based on evidence that does not constitute a statement by that party. The decision-maker may also consider evidence created by the party where the evidence itself constituted the alleged prohibited conduct. Such evidence may include, by way of example but not limitation, text messages, e-mails, social media postings, audio or video recordings, or other documents or digital media created and sent by a party as a form of alleged sexual harassment, or as part of an alleged course of conduct that constitutes stalking.

## 1.36 Non-Title IX Adjudication Proceedings (Students)

All hearings described in this section apply to the adjudication of Formal Complaints alleging Prohibited Conduct under this Policy that do not meet the definitional or jurisdictional threshold for Title IX cases in which the Respondent is a student. For example, cases involving behaviors that occur off-campus may be adjudicated in accordance to these proceedings.

### ***Pre-hearing Conference***

In order to promote a fair and expeditious hearing, the Title IX Coordinator may request that the parties and their advisors attend a pre-hearing conference. The pre-hearing conference assures that the parties and their advisors understand the hearing process and allows for significant issues to be addressed in advance of the hearing.

### ***Hearing Procedures***

All hearings will be conducted in a live hearing format which means all parties and the decision-maker may be physically present in the same geographic location, or at the request of either party or the University, the parties may be located in separate rooms with technology enabling the decision-maker and parties to simultaneously see and hear the party or the witness answering questions.

At the hearing, the decision-maker is responsible for maintaining an orderly, fair, impartial, and respectful hearing. Participants at a live hearing are expected to abide by the Decision-maker's directions and determinations, maintain civility, and avoid emotional outbursts and raised voices. The Decision-Maker has broad authority to respond to disruptive or harassing behaviors, including taking a break in the hearing, the length of which will be determined by the Decision-maker. Additionally, the Decision-maker may exclude any offending person.

All hearings are closed to the public. A recording will be made by the University, but all other recordings are prohibited.

### ***Evidentiary Considerations at the Hearing***

Any evidence that the decision-maker determines is relevant may be considered. The parties will have the opportunity to present the evidence they submitted, subject to any exclusions determined by the decision-maker. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the decision-maker has discretion to accept or exclude additional evidence presented at the hearing. In addition, the parties are expected not to spend time on undisputed facts or evidence that would be duplicative.

Questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. The decision-maker will not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

### ***Advisor role at hearing***

The parties may have an advisor of their choice at the hearing. The advisor is not allowed to address the hearing panel or question witnesses. Advisors that refuse to comply with the University's established rules of decorum for the hearing will be removed from the process, and the process will continue.

### ***Participation***

No party or witness is required to attend a hearing. However, the decision-maker will be allowed to rely on any statement or information provided by that non-participating individual in reaching a determination regarding responsibility.



### 1.37 Non-Title IX Adjudication Proceedings (Employees)

Formal Complaints alleging Prohibited Conduct under this Policy that do not meet the definitional or jurisdictional threshold for Title IX in cases in which the Respondent is an employee will be adjudicated in accordance with the policies and procedures outlined in the University Handbook <https://handbook.usi.edu/>, including, when applicable, the Equal Opportunity and Non-Discrimination Policy. <https://handbook.usi.edu/equal-opportunity-and-nondiscrimination-policy>

### 1.38 Deliberations, Decision-Making, and Standard of Proof

The decision-makers will deliberate in closed session to determine whether the Respondent is responsible or not responsible for the policy violation(s) in question. The decision-makers will make findings of fact and determinations using a preponderance of evidence standard. The decision-makers will reach a decision by majority vote. If the Respondent is found responsible, the decision-makers will determine the appropriate sanctions.

If the decision-makers determine that Respondent is responsible for Sexual Harassment, they will deliberate further to determine appropriate sanctions. The University may implement any of the Supportive Measures outlined above at any time before or after any finding of responsibility. However, disciplinary sanctions and remedies may only be implemented after a finding of responsibility. Such sanctions and remedies may range from verbal warnings or mandatory trainings to employment termination for faculty, administrators, and support staff, and from verbal warnings or mandatory trainings to expulsion for students. The Title IX Coordinator is responsible for effective implementation of any remedies.

When a Respondent is found responsible for the prohibited behavior as alleged, sanctions account for the nature and severity of the violation, as well as the Respondent's discipline history (if any). Disciplinary actions or consequences can range from a conference with the Respondent and a school official through suspension or expulsion. When a Respondent is found responsible for the prohibited behavior as alleged, remedies must be provided to the Complainant. Remedies are designed to maintain the Complainant's equal access to education and may include supportive measures or remedies that are punitive or would pose a burden to the Respondent.

### 1.39 Remedies

Remedies, including sanctions, are designed to restore or preserve equal access to the recipient's education program or activity. Such remedies may include Supportive Measures however, remedies need not be non-disciplinary or non-punitive and need not avoid burdening the Respondent. The Title IX Coordinator is responsible for effective implementation of remedies.

### 1.40 Sanctions

Violations of this Policy are serious and the sanctions will take into account the nature and severity of the violation, as well as the Respondent's discipline history (if any) and may include one or more of the sanctions described below. Please note that this is not an exhaustive lists of sanctions.

#### Student Sanctions

- Warning (written): A student may be given a written warning. A written warning is a letter that makes a matter of record any incident of the Policy.
- Probation: Probation is a specified period of review and observation during which the student must demonstrate the ability to comply with University policies, and any other sanctions as outlined above and/or conditions which have been imposed in writing. The specific terms of the probation will be determined on a case-by-case basis. Notification may be given to other University officials as necessary. Probation may be supervised or unsupervised. Further inappropriate behavior may result in additional sanctions to be assigned, including suspension or expulsion.
- Suspension: A written notification of the termination of student status and exclusion from further enrollment for a specific period of time not less than one academic semester and not to exceed two academic years.
- A student who has been suspended must vacate campus within the time frame established.

- The notice will include the conditions for readmission which must be met prior to application for readmission. An interview with the Dean of Students or his/her designee will be required prior to acceptance of the student's application for readmission.
- The student's eligibility for any refund of tuition/fees will be subject to the University's normal withdrawal policy.
- The student must leave University residences and may not be on University-owned or -controlled property or attend University events.

Suspension is a matter of permanent record. A permanent record indicates that student behavior files may be retained indefinitely.

- **Expulsion:** A written notification that the student is permanently ineligible to return to the University. The student must leave University residences and may not be on University owned or -controlled property or attend University events. Petitions for re-enrollment will not be accepted. The expulsion will be recorded on the student's transcript as "May Not Register" and is a matter of permanent record.
- **Additional Sanctions:** The University reserves the right to issue additional sanctions including: loss of privileges, restitution, educational projects, parent/guardian notification, and assessments as appropriate.

### Employee Sanctions

If the decision-maker finds an employee responsible, the determination of sanctions and remedies will be made in consultation with Human Resources. As outlined in the [University Handbook](#), disciplinary action may include, but do not necessarily have to include, the following:

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

### 1.41 Notice of Outcome

The Complainant and Respondent will be informed concurrently in writing of the outcome normally within ten (10) days after the conclusion of the adjudication process. Both parties will receive written notice of any sanctions imposed on the Respondent, except that in cases of non-violent sexual harassment, the Complainant will only receive notice of any sanctions that relate directly to the Complainant. The written determination shall include the following:

- identification of the allegations allegedly constituting sexual harassment;
- a description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
- findings of fact supporting the determination, conclusions regarding the application of the University's Prohibited Conduct to the facts;
- a statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
- procedures and permissible bases for the Complainant and Respondent to appeal the determination.

## Appeals

### 1.42 Grounds for Appeal

Appeals are available after a complaint dismissal or after a final determination is made. Appeals can be made based on the following:

- Procedural irregularities in the investigation affecting the outcome;
- New evidence that could affect the outcome but was not reasonably available at the time the determination or dismissal was made; or

- The Title IX Coordinator, investigator, or decision-maker had a bias or a conflict of interest that affected the outcome.

### 1.43 Process for Appeals

Parties will be given an opportunity to submit a written statement in support of or against the final determination made by the decision-makers. Appeals must be submitted in writing to the Title IX Coordinator or designee within 7 days of receipt of written determination or dismissal. If an appeal is submitted it will be provided to the other party who will have 7 days to submit an appeal response for review by the appellate decision-maker.

### 1.44 Appeal Determinations and Written Outcome

An appellate decision-maker will issue the final decision at the same time to each party.

The appellate decision-maker that hears the appeal can take the following actions: affirm the original decision; affirm the original decision of responsibility for some or all of the charges and change the sanction (sanction may be reduced or increased); reverse the original decision of responsibility for some or all of the charges; or remand the matter to the original or new decision-maker for further consideration. Upon remand, if the original decision-maker affirms its prior decisions regarding responsibility and sanctions, the appellate decision-maker shall continue its review and render a decision on the original appeal(s). If the original decision-maker reverses or modifies its original decisions regarding responsibility and/or sanctions, each party shall have a right to submit a new appeal.

Except in cases involving the discovery of new evidence, the appellate decision-maker may consider, as appropriate given the grounds for appeal, the hearing record, the appeal letter and response, and the decision and rationale of the hearing panel. In cases where the appeal is based in whole or in part on a claim of newly discovered evidence, the appellate decision-maker will first determine if the offered evidence was not known at the time of the hearing and if it might impact the decision of responsibility or determination of sanction. If the appellate decision-maker determines that the evidence was not known at the time of the hearing and that it might impact the decision of responsibility or determination of sanction, the appellate body will remand the case to the original decision-maker for review and then will issue a new decision letter taking into account the newly discovered evidence.

The appellate decision-maker's decision will be communicated concurrently in writing to both the Respondent and the Complainant, normally within five (5) days the appeal was due and will include the rationale for the decision. The appellate decision is final, and no further appeal is permitted by either party.

## Additional Considerations

### 1.45 Resources, Education, and Prevention

Members of the University community are expected to respect the rights, dignity, and personhood of others. Any individual who experiences or is affected by discrimination or harassment, whether as a Complainant or a Respondent, may benefit from access to care and support resources through the University and the local community.

The University encourages all individuals to seek the support of and use all available internal and external resources, regardless of when or where any alleged incident occurred. The following is a non-exhaustive list of such resources available to the members of the University community.

Resources Specifically for USI Students:

- USI Counseling Center  
Orr Center 1051  
Telephone: 812-464-1867
- USI Religious Life Residence Life Resource Center  
Telephone: 812-464-1871
- USI Housing & Residence Life  
Your Resident Assistant or Area Coordinator  
Telephone: 812-468-2000

- USI Dean of Students  
Office University Center East 1229  
Telephone: 812-464-1862

#### Resources Specifically for Benefits-Eligible Faculty and Staff:

- Deaconess Concern Employee Assistance Program  
445 Cross Pointe Boulevard, Suite 330  
Evansville, IN 47715  
Telephone: 812-471-4611 or 800-874-7104
- EAP resources for employees through EAPComplete Anytime  
Flyer for more information: <https://www.usi.edu/hr/benefits/employee-assistance>

Educational programs to promote the awareness of rape, acquaintance rape, domestic violence, dating violence, sexual assault, and stalking are offered at New Student Orientation, in new employee orientation, in the residence halls/apartments, and on campus throughout the academic year. Such prevention and awareness programs include a statement that the University prohibits all forms of sexual harassment, definitions of various types of sexual harassment and of consent, safe and positive options for bystander intervention, and information on risk reduction to recognize warning signs of abusive behavior and how to avoid potential sexual violence.

### 1.46 Training of Officials

Investigations and hearings will be conducted by officials who have received annual training on a number of areas including, but not limited to, the definitions of sexual harassment, domestic violence, dating violence, sexual assault, and stalking; the scope of the University's education program or activity; how to conduct an investigation and grievance process, including hearings, appeals and Informal Resolution processes; how to serve impartially, including avoiding prejudgment of the facts at issue, conflicts of interest, and bias. Decision-makers will also receive training on any technology to be used at a live hearing and on issues of relevance of questions and evidence, including when questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant. Investigators will also receive training on issues of relevance to create an investigation report that fairly summarizes relevant evidence. Any materials used to train these individuals will not rely on sex stereotypes and will promote impartial investigations and adjudications of Formal Complaints for Prohibited Conduct under this section. All training materials will be posted on the Title IX website.

### 1.47 Title IX Independence and Conflict of Interest

The Title IX Coordinator oversees the implementation of the Title IX process and acts with independence and authority free from bias and conflicts of interest. The Title IX Coordinator, Deputy, and Title IX Officials receive annual training and are trained to ensure they are not biased for or against any party in a specific case, or for or against Complainants and/or Respondents, generally. To raise any concern involving bias or conflict of interest by the Title IX Coordinator, contact the Chief Government and Legal Affairs Officer. Concerns of bias or a potential conflict of interest by the Title IX Deputy Coordinator should be raised with the Title IX Coordinator. Upon receiving a concern of bias or conflict of interest, the Chief Government and Legal Affairs Officer may designate an appropriate person to review and respond regarding the concerns raised, including recommending action to eliminate any bias or conflict of interest that might be found.

Title IX Coordinator may appoint external, independent parties with appropriate training to fill any of the defined roles within this Policy or related procedures. Any external parties retained under this section will agree to abide by all confidentiality provisions set forth within this Policy or related procedures and applicable law.

### 1.48 Recordkeeping

The University will maintain for a period of seven years records of its Title IX Grievance Process, including:

1. Each sexual harassment investigation including any determination regarding responsibility and any audio or audiovisual recording or transcript required under federal regulation;
2. Any disciplinary sanctions imposed on the Respondent;

3. Any remedies provided to the Complainant designed to restore or preserve equal access to the University's education program or activity;
4. Any appeal and the result therefrom;
5. Any Informal Resolution and the result therefrom; and
6. Any actions, including any supportive measures, taken in response to a report or Formal Complaint of sexual harassment, including:
  1. The basis for all conclusions that the response was not deliberately indifferent;
  2. Any measures designed to restore or preserve equal access to the University's education program or activity; and
  3. If no supportive measures were provided to the Complainant, document the reasons why such a response was not clearly unreasonable in light of the known circumstances.
7. All materials used to train Title IX Coordinators, investigators, decision-makers, hearing panel members, and any person who facilitates an Informal Resolution process. The University will make these training materials publicly available on the Title IX website.

The University will also maintain any and all records in accordance with state and federal laws.

### 1.49 Miscellaneous

This policy is not a contract. The University reserves the right to modify the application of these procedures consistent with applicable law to provide, in its discretion, equitable treatment of Complainant and Respondent.

Inquiries about the application of Title IX and its implementing regulations may be referred to USI's Title IX Coordinator and/or the Assistant Secretary for the Department of Education's Office of Civil Rights.

## Amorous Relationship

**Date**

7/22

**Item**

F.2

### I. Statement of Policy

#### Amorous Relationships

The University of Southern Indiana ("University" or "USI") is committed to maintaining an environment in which learning, discovery and engagement take place in a professional atmosphere of mutual respect and trust. Actions of faculty or supervisors that jeopardize this atmosphere undermine professionalism and hinder fulfillment of the University's mission.

The disparity of power when an Amorous Relationship is between (1) a student and a faculty member, graduate teaching or research assistant, or any other University employee who has educational responsibility over the student, (2) a supervisor and subordinate, or (3) senior and junior colleagues in the same department or unit makes the individuals involved susceptible to exploitation. Relationships between faculty and students are particularly susceptible to exploitation and the existence of voluntary consent by the student suspect. This is due to the respect and trust accorded a member of the faculty by a student, as well as the power exercised by faculty in giving evaluations or grades, granting approvals for course or clinical access, and providing necessary recommendations for internships or employment.

Those who abuse their power in the context of an Amorous Relationship where there is Educational or Employment Supervision and Evaluation violate their duty to the University community. Voluntary consent by the student or subordinate in a romantic or sexual relationship is difficult to determine given the asymmetric nature of the power structure in the relationship. Because of the complex and subtle effects of the power differential in the relationship, the individual with power may perceive the existence of consent that may not exist or not exist at the level perceived by the individual with power. The possibility exists that, if the relationship sours, these individuals may be subject to a claim of sexual harassment.

Amorous Relationships may also have an effect on others in the course, department or unit. Others may perceive that the student or subordinate in the Amorous Relationship is favored and afforded undue access and advantage above others in the same course, department or unit. These individuals may perceive the environment created as a result of the Amorous Relationship to be hostile and/or perceive forward progress and benefits are obtained through engaging in a romantic or sexual relationship with the person in power.

Therefore, USI prohibits Amorous Relationships between a student and any University employee who has educational or supervisory responsibility over the student.

Supervisors and subordinates or senior and junior colleagues in the same unit who are or were engaged in an Amorous Relationship prior to the existence of a supervisory or evaluative relationship within the educational and/or employment context, or who find themselves entering into such an Amorous Relationship, have a duty to report the existence of the Amorous Relationship to the department or unit head who must ensure that arrangements are made to sever the supervisory or evaluative relationship between the parties. The parties must further abide by the University's policy on **Nepotism (B.12)**. Individuals engaged in an Amorous Relationship in violation of this policy are subject to disciplinary action ranging from a written reprimand up to and including termination.

## II. Reason For This Policy

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. Amorous Relationships that occur in the context of educational or employment supervision and evaluation undermine professionalism and are disruptive to the educational and work environment. Ultimately, Amorous Relationships hinder the fulfillment of the University's educational mission.

## III. Individuals and Entities Affected By This Policy

All colleges, schools, departments, offices, units, faculty, staff, and students are governed by this policy.

## IV. Responsibilities

### Faculty, Staff, and Students

- Report to their department or unit head any Amorous Relationship that they are in or previously were in with an individual with whom there is or will be a supervisory or evaluative relationship at the University.

### Department and Unit Heads

- Ensure that arrangements are made to sever the supervisory or evaluative relationship between two individuals who are in or previously were in an Amorous Relationship.

### Title IX Coordinator and Affirmative Action Officer

- Interpretation and enforcement of this policy.

## V. Definitions

**Amorous Relationships** means a relationship or encounter of a romantic, intimate, sexual, or dating nature between persons who are not married to each other. The relationship may or may not involve physical contact and can include relationships conducted via electronic communications, such as text or social media platforms.

**Disparity of Power** refers to the differences in the concentration of power between the parties of an identified Amorous Relationship.

**Educational or Employment Supervision and Evaluation** means to (A) assess, determine, or influence another person's (1) academic or research performance, progress or potential, (2) employment performance, progress or potential, or (3) entitlement to or eligibility for any institutionally conferred right, benefit or opportunity; or (B) to oversee, manage or direct another person's academic, research, employment, co-curricular, athletic or other institutionally prescribed activities.

## VI. Contacts

### *Policy Clarification*

Title/Office	Telephone	Email/Webpage
Institutional Equity Office	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>
Government and Legal Affairs	812-464-1849	<a href="https://www.usi.edu/government-and-legal-affairs/">https://www.usi.edu/government-and-legal-affairs/</a>

### *Academic Adjustments and Reasonable Accommodations*

Title/Office	Telephone	Email/Webpage
Disability Resources	812-464-1961	<a href="https://www.usi.edu/disabilities/">https://www.usi.edu/disabilities/</a>
ADA Coordinator	812-465-1701	<a href="https://www.usi.edu/hr/ada/">https://www.usi.edu/hr/ada/</a>
Institutional Equity Office	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>

## VII. Related Documents, Forms and Tools

- [Sexual Harassment Policy \(F.1\)](#)
- [Equal Opportunity and Non-Discrimination Policy \(F.3\)](#)

[Institutional Equity Office](#)

[Report Flowchart](#)

[Incident Report Flowchart](#)

[Know Your Rights - Sexual Harassment, Sexual Assault, Dating Violence and Stalking](#)

[Procedures for Resolving Complaints of Discrimination and Harassment](#)

### **Regulations Governing Student Conduct:**

Dean of Students Office: <https://www.usi.edu/deanofstudents/student-conduct/>

Human Resources Office: <https://www.usi.edu/hr/>

### **Websites for governing bodies with oversight for applicable laws and regulations:**

- [Indiana Civil Rights Commission](http://www.in.gov/icrc): [www.in.gov/icrc](http://www.in.gov/icrc)
- [U.S. Department of Education Office for Civil Rights](http://www2.ed.gov/about/offices/list/ocr/index.html): [www2.ed.gov/about/offices/list/ocr/index.html](http://www2.ed.gov/about/offices/list/ocr/index.html)
- [U.S. Department of Justice, Americans with Disabilities Act](http://www.ada.gov/): [www.ada.gov/](http://www.ada.gov/)
- [U.S. Department of Labor Office of Federal Contractor Compliance Programs](http://www.dol.gov/agencies/ofccp): [www.dol.gov/agencies/ofccp](http://www.dol.gov/agencies/ofccp)
- [U.S. Equal Employment Opportunity Commission](http://www.eeoc.gov): [www.eeoc.gov](http://www.eeoc.gov)

# Equal Opportunity and Non-Discrimination Policy

Date

7/22

Item

F.3

## I. Policy Statement

The University of Southern Indiana ("University" or "USI") embraces and celebrates the many differences that exist among the members of a dynamic, intellectual and inclusive community, and strives to maintain an environment that respects differences and provides a sense of belonging and inclusion for everyone.

USI views, evaluates and treats all persons in any University-related activity or circumstance in which they may be involved solely as individuals on the basis of their own personal abilities, qualifications and other relevant characteristics. Any form of unlawful Discrimination and Harassment will not be tolerated. The University is prepared to take prompt action to prevent and correct behavior that violates this Policy and to remedy its effects.

This Policy prohibits all forms of unlawful Discrimination and related Harassment toward any University community member on the basis of race, color, religion, sex, pregnancy or marital status, parental status, national origin or ancestry, age (40 and older), disability, genetic information, sexual orientation, gender identity, gender expression, veteran status or any other category protected by law or identified by the University as a protected class. Compliance with this Policy is a term and condition of a person's employment, membership, or affiliation with the University of Southern Indiana.

This Policy is in addition to the University's Sexual Harassment Policy, which, consistent with Title IX of the Educational Amendments Act of 1972 and its implementing regulations, prohibits discrimination based on sex, including Sexual Harassment, in the University's education programs and activities, including, but not limited to, admission and employment. For information about the University's prohibition of unlawful discrimination based on sex as termed under the Title IX regulations, see the University's **Sexual Harassment Policy**.

Given the nature of this type of conduct and the serious effects such conduct can have on the target of the conduct and the one accused of the conduct, the University treats alleged violations of this policy seriously and, to the extent possible, confidentially. The University expects all employees to treat alleged violations and those affected by them in a responsible and respectful manner. Please help the University maintain a comfortable educational and work environment free from inappropriate and offensive conduct of any type irrespective of whether the conduct is unlawful.

## III. Definitions

### Definitions of Prohibited Conduct

This Policy applies to all unlawful Discrimination and related Harassment against members of any category protected by law or identified by the University as a protected class. Examples of harassment may include conduct that is verbal, written and/or physical. Each definition below is provided within this context.

**Discrimination** is the process of illegally differentiating between people on the basis of group membership rather than individual merit. *Systemic discrimination* may occur when unequal treatment results from neutral institutional practices that continue the effect of past discrimination. *Individual discrimination* may result when a person is subjected to unequal treatment on the basis of race, religion, color, sex, age (40 and older), national origin or ancestry, genetic information, disability, veteran status, pregnancy or marital status, parental status, sexual orientation, gender identity, or gender expression.



**Harassment** is unwelcomed conduct towards another person or identifiable group of persons based on a protected class status that is so severe, pervasive, or objectively offensive that it has the purpose or effect of:

1. Creating an intimidating or hostile educational environment, work environment or environment for participation in a University program or activity;
2. Unreasonably interfering with a person's educational environment, work environment or environment for participation in a University program or activity; or
3. Unreasonably affecting a person's educational or work opportunities or participation in a University program or activity.

**Sexual Misconduct** is nonconsensual conduct of a sexual nature, based on sex or gender, and that occurs off-campus, at study abroad programs, and/or online when the conduct affect a substantial University interest. Such conduct includes the following prohibited conduct:

- **Hostile Environment Sexual Harassment** means unwelcome verbal, written, or physical conduct based on sex, sexual orientation and/or gender identity, that is severe, persistent, or pervasive and has the purpose or effect of unreasonably interfering with an individual's work or education (including living conditions) or that creates an intimidating, hostile or offensive environment.
- **Quid Pro Quo Sexual Harassment** is a form of harassment that consists of unwelcome sexual advances, requests for sexual favors, or other verbal, written, or physical conduct of a sexual nature when a person affiliated with the University conditions the provision of an aid, benefit, or service of the University on an individual's participation in the unwelcome sexual conduct.
- **Sexual Assault** is defined as any sexual act directed against another person, without consent of the Complainant, including instances where the Complainant is incapable of giving consent because of their age or because of temporary or permanent incapacitation. Violations of this policy shall include one or more of the following:
  - **Rape** is defined as penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the Complainant. This definition includes any gender of the Complainant or Respondent.
  - **Fondling** is defined as the touching of the private body parts, including but not limited to breasts, buttocks, or groin of another person, for the purpose of sexual gratification, without the consent of the Complainant.
  - **Incest** is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law in Indiana.
  - **Statutory Rape** is sexual intercourse with a person who is under the statutory age of consent which is 16 years of age in the state of Indiana (which means the victim must be under 16); however, 14- and 15-year-olds may consent if the offender is less than four years older than the victim.
- **Dating Violence** encompasses a wide range of behaviors including sexual assault, physical abuse, and other forms of violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the Complainant. The existence of such a relationship shall be determined based on the Complainant's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. For the purposes of this definition, dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence.
- **Domestic Violence** encompasses a wide range of behaviors including sexual assault, physical abuse, and other forms of violence committed by a current or former spouse or intimate partner of the Complainant; by a person with whom the Complainant shares a child in common; by a person who is cohabitating with or has cohabitated with, the Complainant as a spouse or intimate partner; by a person similarly situated to a spouse of the Complainant, or by any other person against an adult or youth Complainant protected from those acts by domestic or family violence laws of Indiana. For the purposes of this policy, incidents involving roommates who are not in a relationship as defined under this section will not be considered "domestic violence."
- **Stalking** is defined as engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for the person's safety or the safety of others or suffer substantial emotional distress. A course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property. A reasonable

person means a reasonable person under similar circumstances and with similar identities to the Complainant. Substantial emotional distress means significant mental suffering or anguish that may but does not necessarily require medical or other professional treatment or counseling.

- **Sexual Exploitation** means taking non-consensual or abusive sexual advantage of another person for one's own advantage or benefit or for the advantage or benefit of anyone other than the person being exploited. Examples include but are not limited to non-consensual photography, video-, or audio- recording of sexual images or activity, distributing images of sexual activity without consent, and observing a consensual sexual act without the prior knowledge or consent of all involved parties. In some circumstances, Sexual Exploitation may also meet the definition of hostile environment harassment and may be adjudicated under Title IX adjudication procedures.

### Definition of Consent

**Consent/Consensual** is defined as an affirmative indication by words and/or actions of a voluntary agreement to engage in the particular sexual act or conduct in question. Consent for one sexual act or conduct does not constitute consent to all sexual acts or conduct. Consent can be withdrawn at any time, and once withdrawal of consent has been expressed, sexual activity must cease. Consent cannot be obtained through the use of force, threat, intimidation, or coercion. Silence or absence of resistance on the part of an individual does not constitute their consent. Consent cannot be given by someone who is incapacitated due to consuming drugs or alcohol or for any other reason (including but not limited to being unconscious, asleep, or otherwise unaware that sexual activity is occurring).

The voluntary nature of Consent will be subject to heightened scrutiny in circumstances where someone who has power or authority over another person engages in a sexual relationship with that person.

**Incapacitated/Incapacitation** is a state where someone cannot make rational or reasonable decisions because they lack the capacity to give knowing consent (e.g., to understand the “who, what, when, where, why, or how” of their sexual interaction). While incapacitation may result from the use of alcohol and/or drugs, incapacitation is a state beyond drunkenness or intoxication. Incapacitation may also exist because of a physical, mental, or developmental disability. The question of incapacitation will be examined objectively from the perspective of the Respondent i.e. whether a reasonable, sober person in place of the Respondent should have known the condition of the Complainant based on the apparent indications of incapacitation, which may include, but are not limited to, acting confused or incoherent, difficulty walking or speaking, and/or vomiting.

### Other Policy Definitions

**Academic Adjustments** is an academic modification or adjustment that minimizes or eliminates the impact of a disability, allowing the individual to gain equal access and have an equal opportunity to participate in the University's courses, programs, services, activities and facilities.

**ADA Coordinator** is The Americans with Disabilities Act Coordinator.

**Reasonable Accommodations** are a wide range of modifications that allow otherwise qualified applicants or employees with disabilities to perform the essential functions of a position. Such modifications may be deemed reasonable if they do not result in an undue burden on the University or its operations.

**Responsible Employee** are all employees who the University has classified Responsible Employees. These persons are not confidential and must immediately report to the Institutional Equity Office all relevant details about an incident of sexual harassment that involves any community member.

**Retaliation** is any overt or covert act of reprisal, interference, restraint, penalty, Discrimination, intimidation, or Harassment against any person or group for reporting or complaining of Discrimination and/or Harassment, assisting or participating in the investigation of a complaint of Discrimination and/or Harassment, or enforcing University policies with respect to Discrimination and/or Harassment.

### III. Affirmative Action

As a federal contractor, University of Southern Indiana is committed to making good faith effort to eliminate employment barriers to women, minorities, veterans and individuals with disabilities. Therefore, USI will take affirmative action to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans with a set of results-oriented affirmative action programs and procedures. These programs are updated annually and are available for inspection by those affiliated with the University.

The University of Southern Indiana promotes these policies and programs to ensure that all persons have equal access to its employment opportunities and educational programs, services and activities. The principal objective of this policy is to provide fair and consistent treatment for all current and prospective students and employees of the University. The University also is committed to policies and programs that increase the diversity of the student body.

#### **Affirmative Action Officer**

The Affirmative Action Officer oversees the University's compliance with the applicable federal and state laws described above. The Affirmative Action Officer may designate other University personnel or external consultants to assist and support compliance efforts or to act as a designee in cases of conflict of interest or in other situations where a designee is deemed necessary to maintain the University's compliance under this Policy.

#### **Affirmative Action Officer:**

Chelsea Givens  
Title IX Coordinator and Affirmative Action Officer  
Wright Administration Building, Forum Wing, Room 171A  
8600 University Boulevard  
Evansville, Indiana 47712  
812-464-1703  
[cckeaton@usi.edu](mailto:cckeaton@usi.edu)

### IV. Application of this Policy to Employment and Education

All aspects of the employment relationship, including recruitment, selection, hiring, training, professional development, tenure, promotion, compensation and separation, are administered in accordance with this Policy. Notwithstanding the prohibition against Discrimination, the University may, without violating this prohibition, provide different benefit packages to employees who have a spouse and/or dependent children than are provided to other employees.

### V. Reason for this Policy

The University of Southern Indiana is committed to the principles of affirmative action and equal opportunity in education and employment. We take seriously our responsibility to provide leadership in ensuring that equal employment opportunity is the norm as opposed to a goal.

This policy helps to further the University's commitment to its compliance with state and federal laws and regulations, including but not limited to:

- Age Discrimination Act of 1975
- Age Discrimination in Employment Act of 1967
- Americans with Disabilities Act of 1990, as amended
- Executive Order 11246, as amended
- Equal Pay Act of 1963
- Genetic Information Nondiscrimination Act of 2008
- Indiana Civil Rights Act of 1971
- Pregnancy Discrimination Act
- Sections 503 and 504 of the Rehabilitation Act of 1973
- Title VI of the Civil Rights Act of 1964, as amended

- Title VII of the Civil Rights Act of 1964, as amended
- Title IX of the Education Amendments of 1972.
- Uniformed Services Employment and Reemployment Rights Act of 1994
- VEVRAA, Section 4212.

## VI. Individuals and Entities Affected by this Policy

All University of Southern Indiana community members are subject to this policy without exclusion.

### No Waiver

Nothing contained in this policy should be interpreted as a waiver by the University of Southern Indiana of its sovereign immunity, immunity pursuant to the 11th Amendment of the U.S. Constitution or any other immunity or defense available under state or federal laws.

## VII. Addressing Discrimination and Harassment

This policy seeks to encourage faculty, staff and students to report and address incidents of Discrimination and related Harassment. Complaints will be addressed promptly and consistently, using procedures that are fair and effective from the point of view of the person and the University, and be resolved at the lowest organizational level possible. The [Procedures for Resolving Complaints of Discrimination and Harassment](#), as issued and updated from time to time by the Institutional Equity Office, describe the necessary steps for filing complaints of Discrimination and Harassment.

### Violations of this Policy

Any individual or group of individuals found to have violated this policy will be subject to disciplinary or remedial action, up to and including termination of employment or expulsion from the University. Faculty and staff who are determined to have violated this policy also may be held personally liable for any damages, settlement costs or expenses, including attorney fees incurred by the University.

### False Allegations, Statements, or Evidence

This policy may not be used to bring knowingly false or malicious charges against any faculty, staff, students or Recognized Student Organizations, including fraternities or sororities. Disciplinary action will be taken against any person or group found to have brought a charge of Discrimination or Harassment in bad faith or any person who, in bad faith, is found to have encouraged another person or group to bring such a charge. In addition, individuals who knowingly provide false statements or evidence, or who deliberately mislead a University official, or designee, conducting an investigation under this policy may be subject to discipline under this policy or another University policy or process.

### Retaliation Prohibited

The University prohibits Retaliation against any individual for the purpose of interfering with any right or privilege secured by this policy, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in a investigation or proceeding.

## VIII. Accommodations

The University takes appropriate steps to provide reasonable accommodation to qualified individuals with disabilities so long as doing so does not cause an undue hardship to the University. The University also takes appropriate steps to provide reasonable accommodations upon request to employees whose religious beliefs or restrictions create a conflict with the University's policies, practices, or procedures, so long as doing so does not cause an undue hardship. Faculty and staff in need of accommodations should follow the [Faculty, Staff and Student Worker Accommodation Request Process](#). Students in need of accommodation should contact the [Disability Resource Center](#).

## IX. Reporting and Addressing Discrimination and Harassment

Any member of the USI community who believes that they have experienced or witnessed incidents of Discrimination and/or Harassment in violation of this Policy is encouraged to report the incident(s) as soon as possible.

### Reporting to Law Enforcement

The University encourages any student or employee who have been the target of a criminal offense described under the Jeanne Clery Act or Violence Against Women Act (VAWA) are encouraged to report such incidents to Public Safety and/or law enforcement. Those in Public Safety or the Title IX Coordinator can assist the Complainant in contacting appropriate law enforcement officials and in working with these officials to pursue criminal charges against the Respondent. Complainants also have the option to decline to notify law enforcement authorities.

Please note that reporting options are not mutually exclusive; both internal (University) and external (Law Enforcement) reporting options may be pursued at the same time. The local law enforcement office with jurisdiction over the University's geographic location is the Vanderburgh County Sheriff's Office. Allegations of criminal misconduct occurring within the Evansville city limits can be reported to the Evansville Police Department. Additionally, the Indiana State Police (ISP) has state-wide jurisdiction.

### USI Public Safety (Available for Emergency or After-Hours Reporting)

From your cell phone or outside line: 812-492-7777

From campus phones: Ext 7777

### Vanderburgh County Sheriff's Office Operation Center

5607 Highway 41 North

Evansville, IN 47711

Non-emergency telephone: 812-421-6201

Emergency telephone: 911

### Evansville Police Department

15 Northwest Martin Luther King Jr. Boulevard Evansville, IN 47708

Non-emergency telephone: 812- 436-7896

Emergency telephone: 911

### Indiana State Police (ISP) District 35 Police Post

19411 Highway 41 North

Evansville, IN 47725

Telephone: 812-867-2079 or 800-852-3970

While not required, the University strongly encourages anyone who becomes aware of behavior that may constitute a crime to report the incident to local law enforcement. However, **Campus Security Authorities (CSAs)** must report certain crimes reported to them through the appropriate reporting structure. The University can provide support, resources, and assistance to those who do so. Regarding the involvement of law enforcement in matters involving Sexual Harassment, the Complainant has several options, including to: (1) notify law enforcement authorities; (2) be assisted by campus authorities in notifying law enforcement authorities if the Complainant chooses; or (3) decline to notify law enforcement authorities. The University will comply with the Complainant's request for assistance in notifying law enforcement in these matters to the extent legally permitted. The Complainant's choice to report to law enforcement will not impact the implementation of supportive measures if applicable.

Protective orders and peace orders may be sought through the court system. A Complainant interested in a mutual no-contact order at USI may contact the Office of Institutional Equity or USI Public Safety.

Reports of violations under this Policy may also constitute violations of state and local law. University officials are required to document certain reports of sexual harassment for Clery Act reporting purposes. There will be no personally identifiable information about the Complainant shared in that report. If the University is required to notify the community of the incident, including recording the assault in the Daily Crime Log or through the issuance of a Timely Warning Notice, identifying information will not be included to the extent permissible by law.

In certain instances, the University may need to report potential criminal misconduct to law enforcement authorities even when the Complainant has decided not to do so. Such circumstances include those in which there is clear and imminent danger or risk to the Complainant and/or the University community, in which a weapon was involved with the incident, child abuse, or in which the allegations involve sexual harassment of a Complainant under the age of consent. The necessity to report an incident to law enforcement will be shared with the Complainant.

The University's Resolution Processes and the legal system work independently from one another, and the University will proceed with its process as applicable, regardless of action or inaction taken by outside authorities. If a law enforcement investigation is initiated, the University may pause its procedures briefly at the request of law enforcement to facilitate their initial evidence gathering. Decisions made or sanctions imposed through the Formal Complaint Resolution Process are not subject to change if criminal or civil charges arising from the same misconduct are dismissed, reduced, or rejected in favor of or against the Respondent.

## Mandatory Reporting

The University of Southern Indiana is committed to taking appropriate measures to ensure the safety and well-being of children/minors [under Indiana law, a child is anyone who is **not yet 18** years of age], participating in University-related activities and to report instances of suspected or known child abuse or neglect as required by law.

If you suspect child abuse or neglect of a minor, please refer to the [Child Protection Policy](#) and contact the following offices:

Title/Office	Telephone	Email/Webpage
Vanderburgh County Sheriff Department	812-421-6200	<a href="https://vanderburghsheriff.org/">https://vanderburghsheriff.org/</a>
Indiana Department of Child Services	800-800-5556	<a href="https://www.in.gov/dcs/">https://www.in.gov/dcs/</a>

## X. Contacts

### *Policy Clarification, Discrimination Complaints and Written Affirmative Action Programs*

Title/Office	Telephone	Email/Webpage
Institutional Equity	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>
Government and Legal Affairs	812-464-1849	<a href="https://www.usi.edu/government-and-legal-affairs/">https://www.usi.edu/government-and-legal-affairs/</a>

### *Academic Adjustments and Reasonable Accommodations*

Title/Office	Telephone	Email/Webpage
Disability Resources	812-464-1961	<a href="https://www.usi.edu/disabilities/">https://www.usi.edu/disabilities/</a>
ADA Coordinator	812-465-1701	<a href="https://www.usi.edu/hr/ada/">https://www.usi.edu/hr/ada/</a>
Institutional Equity Office	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>

## XI. Related Documents, Forms and Tools

- [Sexual Harassment Policy \(F.1\)](#)
- [Amorous Relationship Policy \(F.2\)](#)

[Institutional Equity Office](#)

Report Flowchart

Incident Report Flowchart

Know Your Rights - Sexual Harassment, Sexual Assault, Dating Violence and Stalking

Procedures for Resolving Complaints of Discrimination and Harassment

### Regulations Governing Student Conduct:

Dean of Students Office: <https://www.usi.edu/deanofstudents/student-conduct/>

### Websites for governing bodies with oversight for applicable laws and regulations:

- **Indiana Civil Rights Commission:** [www.in.gov/icrc](http://www.in.gov/icrc)
- **U.S. Department of Education Office for Civil Rights:** [www2.ed.gov/about/offices/list/ocr/index.html](http://www2.ed.gov/about/offices/list/ocr/index.html)
- **U.S. Department of Justice, Americans with Disabilities Act:** [www.ada.gov/](http://www.ada.gov/)
- **U.S. Department of Labor Office of Federal Contractor Compliance Programs:** [www.dol.gov/agencies/ofccp](http://www.dol.gov/agencies/ofccp)
- **U.S. Equal Employment Opportunity Commission:** [www.eeoc.gov](http://www.eeoc.gov)

## Procedures for Resolving Complaints of Discrimination and Harassment

**Date**

7/22

**Item**

F.4

### I. Introduction

The University of Southern Indiana (“University” or “USI”) embraces and celebrates the many differences that exist among the members of a dynamic, intellectual and inclusive community, and strives to maintain an environment that respects differences and provides a sense of belonging and inclusion for everyone. Any form of unlawful discrimination will not be tolerated. The University is prepared to take prompt action to prevent and correct behavior that violates this Policy and to remedy its effects.

Any employee, student, campus visitor or person participating in a University activity, whether on or off campus, who has experienced or witnessed Discrimination and/or Harassment is encouraged to report the incident(s) promptly. Prompt reporting of complaints is vital to the University's ability to resolve the matter.

The University has an obligation to respond to information of which it becomes aware, whether received directly or indirectly. That is, the University's obligation may be triggered by a direct disclosure by those who have experienced potential Discrimination or Harassment or by gaining indirect knowledge of such information. For this reason, the University may initiate an investigation of circumstances that involve potential Discrimination and/or Harassment even where no complaint, formal or informal, has been filed. In those circumstances, the University may elect to investigate and, if warranted, impose disciplinary sanctions pursuant to these or other established University procedures.

A Complainant may elect to invoke either the Informal or Formal Resolution Process. If the Complainant finds that initial informal efforts are unsatisfactory, the Complainant may then seek formal resolution. A Complainant is not required to proceed with informal resolution before seeking formal resolution.

## II. Scope and Jurisdiction

These Procedures outline the resolution processes that will be used to resolve and/or investigate a report of Discrimination and related Harassment committed against a student, employee, or a person participating in or attempting to participate in a program or activity of the University of Southern Indiana under the University's **Equal Opportunity and Non-Discrimination Policy (F.3)**. Additionally, these procedures will address Sexual Misconduct matters not considered a Title IX Harassment matter, including Relationship Violence, Sexual Exploitation, Sexual Harassment, Sexual Violence and Stalking as defined under the **Sexual Harassment Policy (F.1)** that occur off-campus, at study abroad programs, and/or online when the conduct affects a substantial University interest.

These Procedures apply to all complaints of Discrimination and Harassment, whether the Parties are students, recognized student organizations, employees, volunteers, campus visitors or persons participating in or attempting to participate in a University activity. Employees who are students involved in activities subject to these Procedures may be treated as students, employees or both at the sole discretion of the University.

These Procedures govern conduct that occurs on and/or off campus or that impacts the educational or work experience of a member of the USI community. In particular, off-campus conduct is subject to these Procedures if 1) the conduct occurred in the context of an education program or activity of the University, or 2) the conduct has or had continuing adverse effects on campus or in an off-campus education program or activity. However, Title IX Harassment matters are addressed under the Sexual Harassment Policy.

In matters involving alleged criminal conduct, the Complainant may notify, or decline to notify, local law enforcement at any time. The University may also make an independent determination to notify law enforcement and/or other authorities based on the nature of the complaint.

## III. Definitions

**Affirmative Action Officer** is at least one official designated by the University to ensure compliance with Title VI and Title VII and the University's Affirmative Action Programs.

**Appellate Decision-Maker** refers to the individual(s) authorized to hear appeals of findings or dismissals. The Appellate Decision-Maker may be an employee or may be a person external to the University. The Appellate Decision-Maker will not be the same person as the Decision-Maker in a case.

**Complainant(s)** is person or persons (1) employed by, consulting with or contracting with the University or (2) participating in or attempting to participate in a University of Southern Indiana program or activity who is making a complaint under the Informal Resolution Process or the Formal Resolution Process.

**Days** means business days

**Decision-Makers** refers to the individuals trained on University policies and procedures and are authorized to determine findings and sanctions.

**Eligible Designee** is an individual to whom the Title IX Coordinator and Affirmative Action Officer delegates their authority under these Procedures. All Eligible Designees must receive appropriate annual training.

**Equity Panel** refers to a meeting conducted by the Decision-Makers to review relevant information and/or hear statements provided by the parties and the Investigator prior to rendering a finding(s).

**Education program or activity** means locations, events, or circumstances where the University exercises substantial control over both the Respondent and context in which discrimination or harassment occurs. This includes any building owned or controlled by a student organization that is officially recognized by the University.



**Formal Complaint** means a document filed and signed by a Complainant or signed by the Title IX Coordinator and Affirmative Action Officer alleging Prohibited Conduct and requesting to proceed utilizing the Formal Resolution process pursuant to these Procedures.

**Formal Complaint Process** is the process for resolving complaints of discrimination and/or harassment set forth in these Procedures. The Formal Resolution Process involves the filing of a Formal Complaint, an investigation, a determination as to whether University Policy has been violated and, as appropriate, the imposition of sanctions and remedial measures.

**Informal Complaint** means a document filed by a Complainant requesting to proceed utilizing the Informal Resolution process pursuant to these Procedures.

**Informal Complaint Process** is the process for resolving complaints of discrimination and/or harassment set forth in these Procedures. The Informal Resolution Process is designed to empower the parties to an Informal Complaint to a mutually satisfactory agreement.

**Investigator(s)** means the person(s) assigned to conduct the investigation upon the signing of a Formal Complaint that is proceeding under the Formal Resolution process. The Investigator(s) may be an employee or may be a person external to the University.

**Parties** include the Complainant(s) and Respondent(s), collectively.

**Policies** refer to the University's policies on Sexual Harassment (F.1), Amorous Relationships (F.2) and Equal Opportunity and Non-Discrimination (F.3).

**Preponderance of the Evidence** is a standard of proof where it is more likely than not that a policy violation occurred.

**Procedures** refer to the procedures set forth in this document.

**Regulations Governing Student Conduct** refer to the rules and procedures that govern student conduct and disciplinary action as set forth by the Dean of Students Office.

**Respondent(s)** means an individual(s) who has been reported to be the perpetrator(s) of conduct that could constitute Prohibited Conduct under University Policy.

**Responsible Employee** refers to all faculty and staff of the University that are not deemed Confidential Resources as noted in Section V. These employees have a duty to report any and all information related to Sexual Harassment.

**Sexual Harassment Policy** is the University's policy on [Sexual Harassment \(F.1\)](#)

**University** means any campus unit, program, association or entity of the University of Southern Indiana.

**University-Initiated Investigation** means an investigation initiated by the University in the absence of a Formal Complaint submitted by a Complainant. In a University-Initiated Investigation, a Respondent will be provided with written notice of the allegations forming the basis of the University-Initiated Investigation, and these Formal Resolution Process will govern such investigations to the greatest extent practicable.

**University Investigator(s)** is a person appointed by the Affirmative Action Officer to investigate a Formal Complaint pursuant to Formal Resolution Process. Any individual designated to conduct an investigation must receive appropriate annual training. A University Investigator may be a University employee or an external professional.

**Witness** is anyone with relevant information about an incident. Character witnesses who do not have relevant information about the incident are not considered witnesses.

## IV. General Provisions

### **Presumption of Innocence and Burden of Proof**

These Procedures presume that the Respondent is not responsible for the alleged discrimination or harassment unless and until the Respondent is determined to be responsible for a violation of the **Equal Opportunity and Non-Discrimination Policy**. The University will use the Preponderance of the Evidence Standard, which means the University's Decision-Maker(s) must establish that the Respondents alleged violation of Policy "more likely than not" occurred.

### **Delegation**

The Affirmative Action Officer may delegate their authority under these Procedures to an Eligible Designee.

### **Requests for Anonymity or No Action**

Every effort will be made to protect the privacy interests of the persons involved in a manner consistent with the need for a thorough review of a report or Complaint.

The Chief Government and Legal Affairs Officer shall evaluate all requests by the Complainant that their name or other identifiable information not be shared with the Respondent or that the University take no formal action in response to a report.

The Chief Government and Legal Affairs Officer will assess requests for the University to take no formal action by examining the seriousness of the reported conduct, whether the reported misconduct was perpetrated with a weapon, the respective ages and roles of the Complainant and Respondent, whether there have been other reports of Discrimination or Harassment by the Respondent, whether the University possesses other means to obtain relevant evidence, whether the report reveals a pattern of perpetration at a given location or by a particular group, and the rights of the Respondent to receive notice and relevant information before disciplinary action is initiated. The University will honor the Complainant's request to the extent possible based on a careful balancing of the request with any legal reporting requirements, the risk of harm to any individual, and the University's duty to maintain a safe and non-discriminatory environment for all. The Affirmative Action Officer will notify the Complainant of that decision.

If the University honors the request for anonymity, the University's ability to investigate the incident and pursue disciplinary action against a Respondent may be limited. The University will take other appropriate steps to eliminate any such Discrimination or Harassment, prevent its recurrence and remedy its effects on the Complainant and the University community. Those steps may include offering appropriate remedial measures to the Complainant and/or providing targeted training and prevention programs.

If the University is unable to honor the request for anonymity or the request to take no formal action in response to a report, the University may be obligated to move forward with a University-Initiated Investigation and potential disciplinary action if there is an individual or public safety concern and sufficient independent information exists to establish that one or both of the Policies has been violated.

### **Supportive Measures**

The University offers a wide range of resources for students and employees, whether as Complainants or Respondents, to provide support and guidance throughout the initiation, investigation and resolution of a report of Discrimination or Harassment. Upon receipt of a Complaint, the University may take interim measures to address concerns regarding safety and well-being and to facilitate the Complainant's continued access to University employment or education programs and activities. These measures may be both remedial (designed to address a Complainant's safety and well-being and continued access to educational opportunities) or protective (involving action against a Respondent). Remedial and protective measures, which may be temporary or permanent, may include no-contact directives, changes in class or work schedules, academic modifications and support, changes in University-owned living arrangements, interim suspension, University-imposed leave, suspension from employment, pre-disciplinary leave (with or without pay), or any other reasonably available measures that the University deems

appropriate. Interim measures are available under both Informal and Formal Resolution Processes. Remedial measures are available regardless of whether a Complainant pursues a complaint or investigation under these Procedures. The ability to impose certain protective measures against a Respondent may require that the report be resolved through the Formal Resolution Process. The University will maintain the privacy of any remedial and protective measures provided to the extent practicable and will promptly address any violation of the protective measures.

### **Advisor or Support Person**

Both a Complainant and a Respondent are entitled to an Advisor or support person of their choice, and the Advisor or support person may accompany the Party to any meeting or proceeding under these Procedures. A Complainant may have an Advisor or support person present when reporting Discrimination and/or Harassment or at any point in these Procedures. A Respondent also may have an Advisor or support person present if and when the Respondent becomes a Party to an Informal Resolution Process or a Formal Resolution Process. An Advisor or support person may be an attorney, but an Advisor or support person may not speak for or stand in place of either the Complainant or the Respondent, act as legal counsel for a Party in the Informal Resolution Process or the Formal Resolution Process, or otherwise participate in the Informal Resolution Process or the Formal Resolution Process.

The University has the discretion to impose reasonable conditions upon the participation of an Advisor or support person. The Advisor or support person may not be a Party or Witness involved in the investigation.

### **Time Frames**

The University encourages prompt reporting. Persons who have experienced or witnessed Discrimination or Harassment are encouraged to report the incident as soon as possible.

Informal Complaints must be filed with Office of Institutional Equity within 180 days of the incident of Discrimination or Harassment or, where the Discrimination or Harassment is of an ongoing nature, within 180 days from the most recent incident.

Formal Complaints must be filed with a Office of Institutional Equity within the earlier of 10 days following the conclusion of the Informal Resolution Process or 180 days of the last incident of Discrimination or Harassment.

Notwithstanding the foregoing, a complaint relating to alleged Discrimination or Harassment occurring during a Complainant's employment by the University must be properly filed within 30 days following termination of the Complainant's employment with the University.

To file an Informal or Formal Complaint, a Complainant must complete the appropriate form online, in person or via electronic mail. To request a Complaint Form, please [click here](#).

The 180-day deadline to file a complaint does not apply to University-Initiated Investigations, and the University will accept reports of Discrimination or Harassment at any time.

When extenuating circumstances warrant, the Affirmative Action Officer has the authority and discretion to extend any of the time limits contained in these Procedures for good cause except those relating to the filing of Complaints or the filing of appeals.

In general, a Complainant and Respondent can expect that the process will proceed according to the time frames provided in these Procedures. In the event that good cause exists for the investigation and resolution to exceed this time frame, the University will notify all Parties of the reason(s) for the delay and the expected adjustment in time frames. Good cause may exist if additional time is necessary to ensure the integrity and completeness of the investigation, to comply with a request by external law enforcement for temporary delay to gather evidence for a criminal investigation, to accommodate the availability of witnesses, to account for University breaks or vacations, to account for complexities of a case, including the number of witnesses and volume of information provided by the parties, or for other legitimate reasons. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness, due process and fairness with promptness.

### **Expectations Regarding Participation**

All employees and students have an obligation to cooperate in the conduct of these Procedures. Failure to do so may result in disciplinary action. In the event that a Complainant chooses not to participate in an interview or declines to provide information requested by the University Investigator(s), the Affirmative Action Officer may dismiss the complaint if there is no independent information upon which to proceed. The Affirmative Action Officer shall provide written notice of such dismissal to the Complainant(s) and the Respondent(s). In the event that a Respondent(s) chooses not to participate in an interview or declines to provide information requested by the University Investigator(s), the University Investigator(s) may conclude that such information or interview, if provided or conducted, would be adverse to the Respondent(s). Where the complaint or the circumstances involve potential criminal conduct, however, a Party may choose to remain silent during the process, and such silence will not be held as an admission or considered to be adverse to the Party.

In the event that an impacted Party chooses not to participate in an interview or declines to provide information requested by the University Investigator(s) in connection with a University-Initiated Investigation, the Affirmative Action Officer may dismiss the University-Initiated Investigation.

All University community members are expected to provide truthful information in any report or proceeding under these Procedures. Any person who knowingly makes a false statement in connection with the initiation or resolution of a complaint or University-Initiated Investigation under these Procedures may be subject to appropriate discipline. Making a good faith report of Discrimination or Harassment that is not later substantiated is not considered a false statement.

### **Conflicts of Interests or Bias**

In the event the Complainant (or impacted party in the case of a University-Initiated Investigation) or a Respondent has concerns that a University Investigator(s) or Decision-Makers under these Procedures cannot conduct an unbiased review or render a determination free from bias, such individual may report such concerns to the Affirmative Action Officer, who will assess the circumstances and determine whether a different University Investigator or Decision-Makers ought to be assigned to the matter. Concerns must be reported promptly or will be considered waived. In reaching such decision, the Affirmative Action Officer will consider whether a reasonable person would believe bias exists.

If the reported concerns are related to the Affirmative Action Officer, concerns may be reported to the Chief Government and Legal Affairs Officer.

### **Coordination with Law Enforcement**

A Complainant may seek recourse under these Procedures and/or pursue criminal action. Neither law enforcement's determination whether or not to prosecute a Respondent, nor the outcome of any criminal prosecution, is determinative of whether a violation of University Policy has occurred. Proceedings under these Procedures may be carried out prior to, simultaneously with, or following civil or criminal proceedings off campus.

At the request of law enforcement, the University may agree to defer its fact gathering for a brief period during the evidence gathering stage of a criminal investigation. The University will nevertheless communicate with the Complainant regarding support, options for resolution and the implementation of interim remedial measures to address concerns regarding safety and well-being. The University may also take immediate and prompt steps that it deems necessary to protect the University community. The University will promptly resume its fact gathering as soon as it is informed that law enforcement has completed its initial investigation.

### **Requests by Individuals with Disabilities**

The University of Southern Indiana is committed to providing equal access under these Procedures to individuals with disabilities. Individuals who require academic adjustments, auxiliary aids and services and/or reasonable accommodations to participate in any part of the resolution process should contact the Title IX Coordinator and Affirmative Action Officer.

## V. Reporting Options and Resources for Sexual Misconduct Matters

The University is committed to treating all members of the community with dignity, care and respect. Any individual affected by Sexual Harassment, Sexual Violence, Sexual Exploitation, Stalking or Relationship Violence, whether as a Complainant, a Respondent or a third party, will have equal access to support consistent with their needs and available University resources.

A first step for any Complainant or third-party witness may be choosing how to proceed following an incident of Sexual Harassment, Sexual Violence, Sexual Exploitation, Stalking and/or Relationship Violence. The University recognizes that deciding whether to make a report and choosing how to proceed can be difficult decisions. The University encourages any individual who has questions or concerns to seek the support of campus and community resources. These professionals can provide information about available resources and procedural options and assist either party in the event that a report and/or resolution under the Policies or the Procedures are pursued. Individuals are encouraged to use all available resources, regardless of when or where the incident occurred.

### Confidential Resources

Confidentiality means that information shared by an individual with designated campus or community professionals cannot be revealed to any other individual without express permission of the individual. Those campus and community professionals include medical providers, mental health providers, ordained clergy and rape crisis counselors, all of whom have privileged confidentiality that has been recognized by the law. These individuals are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others, or the conduct involves suspected abuse of a minor under the age of 18.

### Responsible Employees

In contrast to the designated campus or community professionals described above under “Confidential Resources,” who are obligated to refrain from revealing confidential information shared within the scope of their privilege, University employees are *required* to report all sexual misconduct and Title IX Harassment directly to the Title IX Coordinator and Affirmative Action Office or a member of the Institutional Equity Office. Responsible Employees receive annual required training to ensure that they understand their obligations and the resources available to University community members who report such incidents. Responsible Employees are required to share with the Title IX Coordinator and Affirmative Action Officer all information they receive or of which they become aware, including the identities of the Parties, if known.

**DOWNLOAD TABLE TENTS - Self identify as a Responsible Employee**

### Privacy

The privacy of the Parties will be respected and safeguarded at all times. All University employees who are involved in the execution of these Procedures receive specific training and guidance about safeguarding private information. Privacy generally means that information related to a report of Discrimination and Harassment will only be shared with a limited circle of individuals. The use of this information is limited to those University employees who “need to know” in order to assist in the active review, investigation or resolution of the report. While not bound by confidentiality, these individuals will be discreet and respect the privacy of all individuals involved in the process.

### Release of Information

If a report discloses a serious and immediate threat to the campus community, the University will issue a timely notification to the community to protect the health or safety of the community. The University also may share non-identifying information about reports received in aggregate form, including data about outcomes and sanctions. At no time will the University release the name of the Complainant to the general public without the express consent of the Complainant or as otherwise permitted or required by law.

Pursuant to the Clery Act, certain anonymous statistical information must be shared with the campus Public Safety department. Annual Clery Act reporting to the U.S. Department of Education is required by educational institutions for particular offenses that have been reported at campus locations. The information contained in the Clery report

tracks the number of Clery reportable offenses occurring at campus locations and does not include the names or any other identifying information about the persons involved in the incident.

All University proceedings are conducted in compliance with the requirements of Title IX, the Clery Act, VAWA, FERPA, state and local law, and University policy. No information will be released from proceedings under the Policies or the Procedures except as required or permitted by law and University policy. The University reserves the right to notify the parents/guardians of dependent students regarding any conduct situation, particularly probation, loss of housing, suspension and expulsion.

## Reporting to Law Enforcement

In matters involving alleged criminal conduct, the Complainant may notify, or decline to notify, local law enforcement at any time. The University encourages Complainants to pursue criminal action for incidents of Sexual Harassment, Sexual Violence, Sexual Exploitation, Stalking and Relationship Violence that also may be crimes under state criminal statutes. The University will assist a Complainant, at the Complainant's request, in contacting local law enforcement and will cooperate with law enforcement agencies if a Complainant decides to pursue the criminal process.

## Online and Anonymous Reporting

Reports may be made anonymously or identified using the methods outlined below. It should be noted that the University's ability to investigate or act upon anonymous reports may be limited. Anonymous reports that provide sufficient information to constitute certain criminal offenses will be reported without personally identifiable information for Clery Act reporting purposes.

*Reports related to sexual harassment, submitted through the reporting options below, do not constitute a Formal Complaint under the Sexual Harassment Policy.*

- **Discrimination and Harassment Incident Form** (these reports can also be submitted anonymously). Found here: [https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout\\_id=1](https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout_id=1)
- **Request a Complaint Form**. Found here: [https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout\\_id=8](https://cm.maxient.com/reportingform.php?UnivofSouthernIndiana&layout_id=8)

As with all other reports, all anonymous reports will go to the Title IX Coordinator and Affirmative Action Officer for review and appropriate response and action. Where there is sufficient information, the University will ensure that anonymous reports are reviewed and included for compliance with the Clery Act.

## VI. Counseling, Advocacy and Support Services

The University is committed to providing a number of support services to University community members who experience Sexual Harassment, Sexual Violence, Sexual Exploitation, Stalking or Relationship Violence incidents. Resources available to University community members include a variety of campus and community-based service providers and professionals.

Additionally, USI provides its students with professional staff who can assist students who have been subjected to Sexual Harassment, Sexual Violence, Sexual Exploitation, Stalking or Relationship Violence with academic and support services. The Title IX Coordinator and Affirmative Action Officer and the professional staff within the Dean of Students Office are available to assist students with the imposition of interim measures, both remedial and protective. Such measures include the following:

- Coordination of services.
- Academic adjustments, including processing absence notifications.
- Housing reassignments and assistance with emergency housing needs.
- Support during the campus disciplinary process, including in-person attendance at all meetings and ongoing in-person support.
- Support during the law enforcement process, including in-person attendance at meetings with law enforcement and/or the prosecutor's office.

- Assistance in obtaining no-contact directives within the University.
- Assistance in obtaining a protective order through the local court system.

## VII. Informal Resolution Process

### Filing an Informal Complaint

To file an Informal Complaint, a Complainant must submit Discrimination and Harassment Complaint Form online, in person or via electronic mail. The form must be submitted to the Institutional Equity Office within 180 days of the incident of Discrimination or Harassment or, where the Discrimination or Harassment is of an ongoing nature, within 180 days from the most recent incident. The Institutional Equity Office can provide assistance in completing the form. To request the Discrimination and Harassment Complaint Form, [click here](#).

Participation in the Informal Resolution Process is an interactive and voluntary process. However, the Complainant may ask to conclude the process at any time. The Institutional Equity Office will take steps to ensure the privacy of the Complainant and Respondent during the Informal Resolution Process to the extent maintenance of privacy does not interfere with the University's obligation to address allegations of Discrimination and/or Harassment.

### Processing of Informal Complaints

The Institutional Equity Office may take appropriate steps to resolve the Informal Complaint. Possible resolutions by agreement of the Parties may include, but are not limited to: an apology to the Complainant; assisting the Respondent to better understand the effects of their conduct and ways in which this behavior could be changed; participation in educational programs about equal opportunity or Harassment; verbal or written reprimands; or other interventions or actions aimed at ending the Discrimination or Harassment, preventing its recurrence, and addressing its effects.

Prior to completing the Informal Resolution Process, and/or upon the Complainant's request, the Affirmative Action Officer or University Investigator(s) may determine that no purpose is served by pursuing the Informal Resolution Process and may refer the Complaint to the Formal Resolution Process.

### Conclusion of the Informal Resolution Process

The Informal Resolution Process is designed to empower the parties to an Informal Complaint to reach a mutually satisfactory agreement. The Informal Resolution Process will be concluded by one of the following: (1) a decision to stop further action on the Informal Complaint, (2) a resolution of the Informal Complaint by agreement of the parties or (3) initiation of the Formal Resolution Process.

The Institutional Equity Office will attempt to conclude the Informal Resolution Process within 30 days.

## VIII. Formal Resolution Process

### Filing a Formal Complaint

A Formal Complaint may be filed as the first course of action or following an Informal Complaint if there is no mutually acceptable resolution during the Informal Resolution Process. The University also may initiate an investigation in the absence of a Formal Complaint by a Complainant.

To file a Formal Complaint, a Complainant must complete the Discrimination and Harassment Complaint Form online, in person or via electronic mail. To request a Discrimination and Harassment Complaint Form, [click here](#). The complaint must be signed and dated by the Complainant and describe the alleged incident(s) with the relevant date(s), name(s) of the Respondent(s) and name(s) of Witness(es). The Institutional Equity Office can provide assistance in completing the that form.

### **Initial Assessment of the Formal Complaint**

As soon as practical following the receipt of the Formal Complaint, the Affirmative Action Officer will gather any clarifying information from the complainant in order to complete an initial assessment to determine (1) whether or not the allegations set forth in the Formal Complaint, if substantiated, would constitute a violation of one or both Policies and (2) whether or not there is reasonable cause to believe that the Respondent(s) has violated one or both of the Policies. If the information indicates that such allegations, if substantiated, would not constitute a violation of Policy or that there is not reasonable cause to believe that the Respondent(s) has violated the Policy, the Affirmative Action Officer may dismiss the Complaint, and that decision shall be final. The Affirmative Action Officer shall provide the Complainant with written notice of the dismissal.

In the event that the Affirmative Action Officer's initial assessment indicates that the allegations set forth in the Complaint, if substantiated, would constitute a violation of Policy and that there is reasonable cause to believe that the Respondent(s) has violated Policy, or if the Affirmative Action Officer determines that the matter should be investigated, University Investigator(s) shall be assigned to conduct a thorough fact-finding investigation.

### **Notification of Formal Complaint to Respondent**

Following an initial assessment, the Affirmative Action Officer will assign a University Investigator(s) to investigate the Formal Complaint. The University Investigator(s) must have sufficient training and/or experience to conduct a thorough and impartial investigation. In the event the Affirmative Action Officer made a determination pursuant to these Procedures to dismiss the Formal Complaint, no University Investigator(s) will be assigned and the notification as outlined below will not be sent.

The Affirmative Action Officer will provide prompt notification, including a copy of the Formal Complaint or notice of allegations, to the Complainant, the Respondent(s), to the department head or supervisor and to the appropriate Vice President, Dean or head of other major unit. The Formal Complaint or Notice of Allegations will be delivered through electronic mail. In the event the Respondent is a student or recognized student organization, the Dean of Students is the appropriate Dean. The notification to the Respondent(s) will include a copy of the Formal Complaint, or, in University-Initiated Investigations, a statement of allegations, and a copy of or link to the relevant University Policy and these Procedures.

The Respondent(s) will be requested to respond in writing to the Formal Complaint within a reasonable time, not to exceed 10 days from the date of electronic mailing of the notification of the Formal Complaint. Any extension of time must be approved by the Affirmative Action Officer. In the event that an investigation is undertaken in accordance with these Procedures, a copy of the Respondent(s)'s response will be provided to the Complainant.

### **University-Initiated Investigation**

In a University-Initiated Investigation, a Respondent will be provided with written notice of the allegations forming the basis of the University-Initiated Investigation, and these Procedures will govern such investigation to the greatest extent practicable.

A Complainant or impacted party who may have been subject to Discrimination or Harassment that forms the basis of a University-Initiated Investigation shall (1) be provided with written notice that the University has commenced a University-Initiated Investigation; (2) receive a copy of any written response submitted by the Respondent(s); (3) be afforded an opportunity to review the investigation report; (4) upon request, be afforded an opportunity to meet with the Decision-Makers in connection with the University-Initiated Investigation; (5) be provided with written notice of the determination of whether a violation of one or both of the Policies occurred and any sanction or remedial measures imposed in connection with the violation; and (6) be afforded the right to appeal such determination, sanctions or remedial measures in accordance with these Procedures.

### **Investigation of Formal Complaints**

The assigned University Investigator(s) will conduct a thorough fact-finding investigation and will meet separately with both the Complainant and the Respondent(s), interview pertinent witnesses and review relevant documents regarding the Formal Complaint. The University Investigator(s) may consider all relevant information. Both parties will be afforded the opportunity to provide information and names of witnesses to the University Investigator.



The investigation shall be completed within 45 days following the assignment of the Formal Complaint to the University Investigator(s), unless an extension of time for good cause is approved by the Affirmative Action Officer.

### **Investigation Report and Evidence**

Within 10 days following the conclusion of the investigation, the University Investigator(s) will prepare and submit a preliminary investigation report summarizing the contested and uncontested information. The preliminary report will not include any findings. The Complainant (or impacted party in the case of a University-Initiated Investigation) and the Respondent will be provided access to review the preliminary investigation report and all evidence. Each party will have 10 days to review the materials and submit comments and additional information to the University Investigator in writing. In the absence of good cause, information discoverable through the exercise of due diligence that is not provided to the University Investigator(s) during the designated review and response period will not be considered in the determination of responsibility for a violation of the Policy.

As soon as practical, following consideration by the University Investigator(s) of any information provided by the Complainant (or impacted party in the case of a University-Initiated Investigation) and/or the Respondent, the University Investigator(s) will submit a final investigation report to the Affirmative Action Officer.

### **Deliberation, Decision-making, and Standard of Proof**

Upon receipt of University Investigators' report, the Affirmative Action Officer will appoint three University members as Decision-Makers to the Equity Panel. The Decision-Makers, trained on the University Policies and Procedures, shall be furnished with a copy of the University Investigators' report and copies of any complaints or responses provided by the Parties. Within 15 days of appointment, the Decision-Makers will convene an Equity Panel meeting. At the panel meeting, the Decision-Makers will be afforded the opportunity to ask questions of the University Investigator(s). The Complainant and Respondent will also be afforded an opportunity to meet with the Decision-Makers to make a brief statement and to answer any questions that the Equity Panel may have.

No violation of University policy will be presumed unless a preponderance of the evidence standard supports the finding of a violation. This preponderance of the evidence standard requires that the facts and information supporting each finding are more convincing than the facts and information offered in opposition to such finding.

Following the Equity Panel, the Decision-Makers will deliberate in closed session to determine whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Decision-Makers will make findings of fact and determinations using a preponderance of evidence standard. The Decision-Makers will reach a decision by majority vote. If the Respondent is found responsible, the Decision-Makers will determine the appropriate sanctions. If the Respondent is a student, sanctions will be determined in conjunction with the Dean of Students. If the Respondent is a faculty or staff member, sanctions will be determined in conjunction with the Executive Director of Human Resources.

### **Notice of Outcome**

Following the Equity Panel meeting, the Decision-Makers shall make a written determination whether a violation of one or more Policies has occurred and provide a determination letter to the Affirmative Action Officer for distribution.

The determination letter shall include the following:

- identification of the allegations allegedly constituting Discrimination or Harassment under the Policy;
- a description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notification to the parties, findings of fact supporting the determination, conclusions regarding the application of the University's Policy;
- a statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, and disciplinary sanctions imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
- procedures and permissible bases for the Complainant and Respondent to appeal the determination.

The Affirmative Action Officer will provide both parties the written determination and final outcome of the matter, including sanctions, if any, by electronic mail within ten (10) days following the Equity Panel. The Complainant notice will only provide information relate directly to the Complainant.

The Affirmative Action Officer is responsible for imposing the sanction outlined by the Decision-Makers in coordination with other necessary campus offices.

In the event the charge of discrimination and/or harassment is not substantiated following the written determination of the Decision-Makers, reasonable efforts may be taken to restore the Respondent(s) to their prior status.

## IX. Sanctions and Remedies

Disciplinary sanctions and remedies may only be implemented after a finding of responsibility. If the Decision-Makers make a finding that the Respondent is responsible for a violation of University policy, they will also determine the appropriate sanctions. In the event of a disagreement on employee cases between the designated members, the disagreement will be deferred to the Executive Director of Human Resources for resolution. In the case of a student or recognized student organization, disagreements will be referred to the Dean of Students.

Sanctions will be decided on a case-by-case basis and will be in accordance with University policy. Possible sanctions for employees are outlined in the [University Handbook](#) and may include, but are not limited to, the following: verbal warning/counseling, written warning, suspension with/without pay, termination. The Decision-Makers confer with the Executive Director of Human Resources regarding sanctions for all employee and staff matters. Sanctions for students are listed in the [Student Conduct](#) and may include, without limitation, verbal/written warning, probation, suspension, and expulsion. Suspension or Expulsion is a matter of permanent record. A permanent records indicates that the student behavior files may be retained indefinitely. The Decision-Makers will confer with the Dean of Students regarding sanctions for all student matters.

Except as provided herein, sanctions imposed pursuant to these Procedures may not be appealed or made the subject of a grievance under any other University policy.

If the accused is a faculty member and the sanction is to recommend termination of employment, the procedures for termination of a faculty member will be followed; provided, however, that the report of the University Investigator and the written determination of the Decision-Makers shall be accepted into evidence at the faculty member's termination hearing without the necessity of the Complainant (or impacted party in the case of a University-Initiated Investigation) testifying as a witness.

## X. Retaliation Prohibited

Retaliation against any person for reporting or complaining of Discrimination and/or Harassment, assisting or participating in the investigation of a complaint of Discrimination and/or Harassment, or enforcing University Policies with respect to Discrimination and/or Harassment is strictly prohibited. Overt or covert acts of reprisal, interference, restraint, penalty, discrimination, intimidation or harassment against an individual or group for exercising rights or performing duties under these Procedures will be subject to appropriate and prompt disciplinary or remedial action.

## XI. Appeal

### Grounds for Appeal

Each Party has the right to appeal the decision of the Equity Panel. Appeals are available after a complaint dismissal or after a final determination is made. Appeals can be made based on the following:

- Procedural irregularities in the investigation affecting the outcome;
- New evidence that could affect the outcome but was not reasonably available at the time the determination or dismissal was made; or

- The Affirmative Action Officer, Investigator(s), or Decision-Makers had a bias or a conflict of interest that affected the outcome.

### **Process for Appeals**

Appeals must be submitted to the Affirmative Action Officer or designee. Written appeals must be filed in person, via courier, or via postal or electronic mail within the 5 days will be accepted. Parties will be given an opportunity to submit a written statement in support of or against the final determination made by the Decision-Makers. Decisions not appealed within such time are deemed final. The other Party will have 5 days after receipt of an appeal to submit a response to the appeal. Submitting a response to the appeal is not required.

### **Appeal Determinations and Written Outcomes**

The Appellate Decision-Maker that hears the appeal can take the following actions: affirm the original decision; affirm the original decision of responsibility for some or all of the charges and change the sanction (sanction may be reduced or increased); reverse the original decision of responsibility for some or all of the charges; or remand the matter to the original or new Decision-Makers for further consideration. Upon remand, if the original Decision-Makers affirm its prior decisions regarding responsibility and sanctions, the Appellate Decision-Maker shall continue its review and render a decision on the original appeal(s). If the original Decision-Makers reverses or modifies its original decisions regarding responsibility and/or sanctions, each party shall have a right to submit a new appeal.

Except in cases involving the discovery of new evidence, the Appellate Decision-Maker may consider, as appropriate given the grounds for appeal, the hearing record, the appeal letter and response, and the decision and rationale of the hearing panel. In cases where the appeal is based in whole or in part on a claim of newly discovered evidence, the Appellate Decision-Maker will first determine if the offered evidence was not known at the time of the hearing and if it might impact the decision of responsibility or determination of sanction. If the Appellate Decision-Maker determines that the evidence was not known at the time of the hearing and that it might impact the decision of responsibility or determination of sanction, the Appellate Decision-Maker will remand the case to the original Decision-Makers for review who will then issue a new decision letter taking into account the newly discovered evidence.

The Appellate Decision-Maker's decision will be communicated concurrently in writing to both the Respondent and the Complainant, normally within fifteen (15) days after the appeal was due and will include the rationale for the decision. The appellate decision is final, and no further appeal is permitted by either Party.

## **XII. Additional Considerations**

### **Resources, Education and Prevention**

Members of the University community are expected to respect the rights, dignity, and personhood of others. Any individual who experiences or is affected by Discrimination or Harassment, whether as a Complainant or a Respondent, may benefit from access to care and support resources through the University and the local community.

The University encourages all individuals to seek the support of and use all available internal and external resources, regardless of when or where any alleged incident occurred. The following is a non-exhaustive list of such resources available to the members of the University community.

Resources Specifically for USI Students:

- USI Counseling Center  
Orr Center 1051  
Telephone: 812-464-1867
- USI Religious Life Residence Life Resource Center  
Telephone: 812-464-1871

- USI Housing & Residence Life  
Your Resident Assistant or Area Coordinator  
Telephone: 812-468-2000
- USI Dean of Students  
Office University Center East 1229  
Telephone: 812-464-1862

Resources Specifically for Benefits-Eligible Faculty and Staff:

- EAP resources for employees through The Standard.  
Flyer for more information: <https://www.usi.edu/media/5617755/eap-ee-flyer.pdf>

Educational programs to promote the awareness of Discrimination and Harassment are offered at New Student Orientation, in New Employee Orientation, in the residence halls/apartments, and on campus throughout the academic year. Such prevention and awareness programs include a statement that the University prohibits all forms of unlawful Discrimination and Harassment including sexual harassment, definitions of various types of sexual harassment.

### **Training of Officials**

Investigations and Equity Panels will be conducted by officials who have received annual training on a number of areas including, but not limited to, the definitions of Discrimination and Harassment, including sexual harassment, domestic violence, dating violence, sexual assault, and stalking; the scope of the University's education program or activity; how to conduct an investigation and grievance process, including the Equity Panel, appeals and Informal Resolution processes; how to serve impartially, including avoiding prejudgment of the facts at issue, conflicts of interest, and bias. Decision-Makers will also receive training on any technology to be used at the Equity Panel and on issues of relevance of questions and evidence, including when questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant. Investigators will also receive training on issues of relevance to create an investigation report that fairly summarizes relevant evidence. Any materials used to train these individuals will promote impartial investigations and adjudications of Formal Complaints for Prohibited Conduct under the Equal Opportunity and Non-Discrimination Policy. All training materials will be posted on the Institutional Equity Offices' website.

### **Independence and Conflict of Interest**

The Affirmative Action Officer oversees the implementation of these Procedures and acts with independence and authority free from bias and conflicts of interest. The Affirmative Action Officer and other Equity Officials receive annual training and are trained to ensure they are not biased for or against any party in a specific case, or for or against Complainants and/or Respondents, generally. To raise any concern involving bias or conflict of interest by the Affirmative Action Officer, contact the Chief Government and Legal Affairs Officer. Upon receiving a concern of bias or conflict of interest, the Chief Government and Legal Affairs Officer may designate an appropriate person to review and respond regarding the concerns raised, including recommending action to eliminate any bias or conflict of interest that might be found. Concerns of bias or a potential conflict of interest by the Investigators or Decision-Makers should be raised with the Affirmative Action Officer.

The Affirmative Action Officer may appoint external, independent parties with appropriate training to fill any of the defined roles within the Equal Opportunity and Non-Discrimination Policy or these Procedures. Any external parties retained under this section will agree to abide by all confidentiality provisions set forth within this Policy or these Procedures and applicable law.

### **Recordkeeping**

The University will maintain for a period of seven years records of its Discrimination and Harassment Grievance Process, including:

1. Each discrimination and harassment investigation including any determination regarding responsibility and any audio or audiovisual recording or transcript required under federal regulation;
2. Any disciplinary sanctions imposed on the Respondent;

3. Any remedies provided to the Complainant designed to restore or preserve equal access to the University's education program or activity;
4. Any appeal and the result therefrom;
5. Any Informal Resolution and the result therefrom; and
6. Any actions, including any supportive measures, taken in response to a report or Formal Complaint of Discrimination and Harassment, including:
  1. The basis for all conclusions that the response was not deliberately indifferent;
  2. Any measures designed to restore or preserve equal access to the University's education program or activity; and
  3. If no supportive measures were provided to the Complainant, document the reasons why such a response was not clearly unreasonable in light of the known circumstances.
7. All materials used to train Affirmative Action Officer, Investigators, Decision-Makers, panel members, and any person who facilitates an Informal Resolution process. The University will make these training materials publicly available on the Institutional Equity Offices' website.

The University will also maintain any and all records in accordance with state and federal laws.

### Miscellaneous

This policy is not a contract. The University reserves the right to modify the application of these procedures consistent with applicable law to provide, in its discretion, equitable treatment of Complainant and Respondent.

Inquiries about the application of **Equal Opportunity and Non-Discrimination Policy** and its implementing regulations may be referred to USI's Affirmative Action Officer and/or the Assistant Secretary for the Department of Education's Office of Civil Rights.

## XIII. Contacts

### *Policy Clarification, Discrimination Complaints and Written Affirmative Action Programs*

Title/Office	Telephone	Email/Webpage
Institutional Equity	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>
Government and Legal Affairs	812-464-1849	<a href="https://www.usi.edu/government-and-legal-affairs/">https://www.usi.edu/government-and-legal-affairs/</a>

### *Academic Adjustments and Reasonable Accommodations*

Title/Office	Telephone	Email/Webpage
Disability Resources	812-464-1961	<a href="https://www.usi.edu/disabilities/">https://www.usi.edu/disabilities/</a>
ADA Coordinator	812-465-1701	<a href="https://www.usi.edu/hr/ada/">https://www.usi.edu/hr/ada/</a>
Institutional Equity	812-464-1703	<a href="https://www.usi.edu/institutional-equity/">https://www.usi.edu/institutional-equity/</a>

## XIV. Related Documents, Forms and Tools

- **Sexual Harassment Policy (F.1)**
- **Amorous Relationship Policy (F.2)**
- **Equal Employment and Non-Discrimination Policy (F.3)**

**Institutional Equity Office**

**Report Flowchart**

Incident Report Flowchart

Know Your Rights - Sexual Harassment, Sexual Assault, Dating Violence and Stalking

Procedures for Resolving Complaints of Discrimination and Harassment

### Regulations Governing Conduct:

Dean of Students Office: <https://www.usi.edu/deanofstudents/student-conduct/>

Human Resources Office: <https://www.usi.edu/hr/>

### Websites for governing bodies with oversight for applicable laws and regulations:

- **Indiana Civil Rights Commission:** [www.in.gov/icrc](http://www.in.gov/icrc)
- **U.S. Department of Education Office for Civil Rights:** [www2.ed.gov/about/offices/list/ocr/index.html](http://www2.ed.gov/about/offices/list/ocr/index.html)
- **U.S. Department of Justice, Americans with Disabilities Act:** [www.ada.gov/](http://www.ada.gov/)
- **U.S. Department of Labor Office of Federal Contractor Compliance Programs:** [www.dol.gov/agencies/ofccp](http://www.dol.gov/agencies/ofccp)
- **U.S. Equal Employment Opportunity Commission:** [www.eeoc.gov](http://www.eeoc.gov)

## Tobacco-Free Policy

### Date

7/22

### Item

F.5

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 an environment free of cigarette smoke, smokeless tobacco waste and toxic vapors.

The University of Southern Indiana prohibits the use of all tobacco products including cigarettes; pipes; cigars; smokeless tobacco including snuff, chewing tobacco, smokeless pouches and loose-leaf tobacco; and all electronic vaping devices on University-owned, operated or leased property and vehicles (see student housing exception below). The use of all above mentioned products is permitted only inside personal vehicles.

The use of all previously mentioned tobacco products and electronic vaping devices is prohibited inside all student housing facilities. This includes residence halls, apartments, common areas, balconies, building entries, student rooms and the Community Center. The use of all tobacco products and electronic vaping devices is only permitted outdoors within student housing areas, per Vanderburgh County ordinance, at least 10 feet outside any enclosed area where smoking is prohibited to ensure that tobacco smoke does not enter any such enclosed area through entrances, windows, ventilation systems or any other means.

Enforcement of this policy will depend upon all members of the campus community complying with and encouraging 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, Public Safety 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 Rights and Responsibilities: A Code of Student Behavior***.

Complaints regarding violations of this policy should be referred to the appropriate dean, director or Human Resources manager for faculty and staff and to the Dean of Students Office for students.

## Tobacco Cessation Resources:

- **Vanderburgh County Health Department - Free from Smoking Program:** 812-435-2400 (<https://vanderburghhealth.org/freedom-from-smoking-program/>)
- **Quit Now Indiana – Indiana Tobacco Quit Line:** 1.800.Quit.Now (<https://www.quitnowindiana.com/>)
- **Smokefree.gov** - <https://smokefree.gov/>

## Drug and Alcohol Policies

**Date**

9/06

**Item**

F.6

Make Changes

### 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

### **Date**

12/15

### **Item**

F.7

The University of Southern Indiana will treat any member of its community—student, support staff, faculty, or administrator—with dignity and respect, including those affected by communicable diseases. To ensure both safety and respect for all in the campus community, the University abides by the most current Center for Disease Control (CDC) and Occupational Safety and Health Administration (OSHA) policies as well as guidelines from the Americans with Disabilities Act.

To foster an open, supportive, and informed environment, the University endorses the following six 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. Standard precautions will be followed in any situation where there is a potential for contact with blood and/or body fluids for any employee or student.
4. When needed, the University will provide education on aspects of prevention of communicable disease transmission to the University community.
5. Confidentiality will be protected for persons with communicable diseases. For some academic programs with required experiences such as clinical rotations, fieldwork, internships, and clinic work, there may be a “need to know” communicable disease status.
6. 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 University Relations.

## Bloodborne Pathogens Exposure Control Policy

### **Date**

8/17

### **Item**

F.8

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 can be found at <https://www.usi.edu/ehs/occupational-safety/bloodborne-pathogens/>

## Family Educational Rights and Privacy Act

### **Date**

1/95

### **Item**

F.9

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

### **Date**

2/17

### **Item**

F.10

### **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 Lifelong Learning within Outreach and Engagement. Lifelong Learning 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 Lifelong Learning 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 a conference/program coordinator within Lifelong Learning, Outreach and Engagement. Details on services provided, procedures, and costs are available from Lifelong Learning.

### **C. Student Organization Programs**

Noncredit programs sponsored by student organizations are to be scheduled through Scheduling Services.

# Statement on Freedom of Expression

## Date

1/21

## Item

F.11

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, one can become informed and can test and give expression to values as they relate to issues concerning oneself and society.

The ideas of different members of the University community will often and quite naturally conflict. But it is not the proper role of the University to attempt to shield individuals from ideas and opinions they find unwelcome, disagreeable, or even deeply offensive. Although the University greatly values civility, and although all members of the University community share in the responsibility for maintaining a climate of mutual respect, concerns about civility and mutual respect can never be used as a justification for closing off discussion of ideas, however offensive or disagreeable those ideas may be to some members of our community.

The freedom to debate and discuss the merits of competing ideas does not, of course, mean that individuals may say whatever they wish, wherever they wish. The University may restrict expression that violates the law, constitutes a false and defamatory communication against a specific individual, constitutes a genuine threat of unlawful harassment, unjustifiably invades substantial privacy or confidentiality interests or that is otherwise directly incompatible with the functioning of the University. In addition, the University may reasonably regulate the time, place, and manner of expression to ensure that it does not disrupt the ordinary activities of the University. But these are narrow exceptions to the general principle of freedom of expression, and it is vitally important that these exceptions never be used in a manner that is inconsistent with the University's commitment to a completely free and open discussion of ideas.

In a word, the University's fundamental commitment is to the principle that debate and deliberation may not be suppressed because the ideas put forth are thought by some or even by most members of the University community to be offensive, unwise, immoral or wrong-headed. It is for the individual members of the University community, not for the University as an institution, to make those judgments for themselves, and to act on those judgments not by seeking to suppress speech, but by openly and vigorously contesting the ideas that they oppose. Indeed, fostering the ability of members of the University community to engage in such debate and deliberation in an effective and responsible manner is an essential part of the University's educational mission.

As a corollary to the University's commitment to protect and promote free expression, members of the University community must also act in conformity with the principle of free expression. Although members of the University community are free to criticize and contest the views expressed on campus, and to criticize and contest speakers who are invited to express their views on campus, they may not obstruct or otherwise interfere with the freedom of others to express views they reject or even loathe. To this end, the University has a solemn responsibility not only to promote a lively and fearless freedom of debate and deliberation, but also to protect that freedom when others attempt to restrict it.

*Much of this statement was originally drafted and adopted by the University of Chicago.*

## Free Speech, Peaceful Dissent, Protests and Demonstrations Rights and Responsibilities

In accordance with the University of Southern Indiana's obligation to promote the free expression of all views, the campus is open to any speaker whom University student organizations, administrators, staff, or faculty members have invited and for whom official arrangements to speak have been made with the University.

The right of free speech at the University also includes the right of individuals and groups affiliated with the University and members of the public not affiliated with the University to participate in acts of peaceful dissent, protests in peaceable assembly and orderly demonstrations on the USI campus. However, the University may regulate the time,

place and manner in order to prevent unreasonable interference or disruption of the University's educational, research, outreach and business functions, normal or scheduled uses of University property by the campus community, as well as protecting public health, safety and welfare.

All individuals and groups affiliated with the University and planning to engage in dissent, protest, petitioning or demonstration activities of the sort described in the previous paragraph should contact the Dean of Students Office for details and to reserve space at least 24-business hours in advance. This allows the University the opportunity to provide space that accommodates the reasonable needs of both those engaged in dissent, protest, petitioning or demonstration activities and the University community. Members of the public not affiliated with the University must register with the Dean of Students Office prior to engaging in dissent, protest, petitioning or demonstration activities on the USI campus.

The following locations on the USI campus accommodate the reasonable needs of the University and are available for dissent, protest, petitioning or demonstration activities by members of the public, individuals and groups affiliated with USI and guests:

- the lawn area south of Rice Library
- the lawn to the north of the Wright Administration building
- the lawn in the northwest corner of the quad

In addition, other areas of the University campus may be utilized for dissent, protest, or demonstration activities if they meet the following general conditions of use:

- Activities may not be conducted in a manner that violates any federal, state or local law.
- Activities may not be conducted in a manner at a time or in a place that is either incompatible with or unreasonably interferes with the educational, research, business or other legitimate functions of the University.
- Activities may not be conducted in a manner that violates the rules, regulations, or policies of the University of Southern Indiana including *Student Rights and Responsibilities: A Code of Student Behavior* (Sections 1.2 C. 10 and C.11).
- Activities may not be conducted in a manner that violates applicable fire or safety regulations.
- Activities may not disrupt academic activity, block egress (i.e. block safe access to exits and entrances, hallways, sidewalks, streets etc.) or pose a threat to the personal safety of community members.

Violations of these policies may result in removal from a location on the USI campus, appropriate disciplinary action, and/or arrest, in accordance with applicable law and University policies and procedures.

The University of Southern Indiana, as a public institution, does not endorse or take any position on or action against individuals or groups engaged in dissent, protest, or demonstration activities based on the content of their message.

## Handling of Money on Campus

### **Date**

12/19

### **Item**

F.12

The Bursar's Office is the only agent authorized to control, account for, and safeguard money 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 cash disbursements;
- issuing change funds to authorized units; and

- assessing student fees.

No employee or department should accept money in the name of the University under any circumstances without explicit authorization from the Bursar's Office. An official University receipt must be issued for all money received. The Bursar's Office will issue receipts for all money received except for money received by departments authorized to collect money on behalf of the University for specific activities. This requirement includes any payments solicited or received electronically through the Internet or similar means.

Departments that have been approved by the Bursar's Office to accept money on behalf of the University are required to issue receipts and to make daily deposits. These departments are responsible for maintaining their own subsidiary receipt record, which is subject to review by the Bursar's Office personnel as well as internal and external auditors.

No University employee or department is authorized to invoice any third party without the invoice being processed first through the Bursar's Office.

The loss of any money should be reported immediately to the Bursar's Office and to Public Safety. Questions about money handling should be directed to the Bursar's Office.

## Travel

**Date**

1/22

**Item**

F.13

### General Information

Travel Procedures and Policies are intended as a guide for individuals with University-related travel and travel-related hospitality. The responsibility to comply with the guidelines rests with the traveler, the supervisor and the financial manager who certify conformance to these guidelines by approving the business purpose for the trip/activity. The same judgment and consideration applies to travel and travel-related hospitality as to any University transaction. Purchases and reimbursements should be authorized only for expenses that conform to University policy, are ordinary, necessary, and reasonable both in amount and relative to its purpose.

These policies apply to any employee or non-employee who incur expenses on behalf of the University of Southern Indiana (USI) while in travel status and seeks reconciliation/reimbursement for those expenses from the University, regardless of the source of funds. The University will pay for reasonable travel, meals/Per Diem, lodging and other out-of-pocket expenses, as per University policies, incurred in the transaction of University business up to amounts approved by the employee's Financial Manager.

Travel Policies and Procedures document can be found at [www.usi.edu/travel-procurement/university-travel-policy](http://www.usi.edu/travel-procurement/university-travel-policy)

### Pre-Trip Travel Approval

Travel and travel-related hospitality receiving University support require a Pre-Approval Report. A Pre-Approval Report is created in Chrome River. Essential information for the University trip or activity is required, including traveler's name, description and business purpose of trip/event, dates, destination, etc.

Travel Procurement is responsible for the Pre-Approval Report.

A traveler's department or section may have internal processes that need to be followed prior to the submission of a Pre-Approval Report in Chrome River. Traveler is responsible for checking with the appropriate department chair or director for internal travel procedures.

When no expenses are to be incurred on behalf of USI while in travel status and, therefore, no reimbursement will be requested of the University, then a Pre-Approval Report is not submitted in Chrome River. However, in order to support the travel activity as business and to support workman's comp coverage, it is important to document the activity with your supervisor and verify internal procedures with the appropriate department chair or director.

### **Reconciliation of Trip Expenses**

All employee or non-employee travel-related reimbursements must be submitted on an Expense Report in Chrome River. Original documents are not submitted to Accounts Payable as backup documents are uploaded in Chrome River and attached to the Expense Report electronically. It is required that the submitter retain original receipts for two fiscal years.

Travel which has been charged directly to a University Travel Card must be reported on an Expense Report in order to reconcile the expense. A traveler who chooses to personally pay for travel arrangements will be able to request reimbursement by submitting an Expense Report after the business trip is completed.

Accounts Payable is responsible for the Expense Report.

**PNC Corporate VISA Travel Card (TCard)** is the University's credit card provider used to help facilitate the payment of travel expenses for University business. The TCard, to be used for business purposes only, can be used by employees as a primary payment method for travel and travel-related hospitality expenses for approved business trips.

**Egencia** (an American Express Global Business Travel Company) is the university's preferred booking tool for air travel purchases. It may also be used for hotel and rental vehicle reservations. Travel arrangements through Egencia are for University approved travelers only. Egencia is not to be used for nonbusiness approved travel.

**Enterprise Rent-a-Car** is the University's preferred rental car company. Go to Travel Procurement's webpage to access the Enterprise web portal and USI's negotiated rental rates for both business and personal travel.

### **Helpful Links**

- Travel Procurement (Policy document, Travel Card, Vehicle Rentals, etc.) [www.usi.edu/travel-procurement](http://www.usi.edu/travel-procurement)
- USI Chrome River (Guides, FAQs, training) [www.usi.edu/travel-procurement/chrome-river](http://www.usi.edu/travel-procurement/chrome-river)
- Risk Management (Vehicle Safety Policy and Driver Authorization) <https://www.usi.edu/riskmanagement>

### **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

## Date

12/18

## Item

F.14

Seven Automated Teller Machines (ATMs) are located across campus for the convenience of employees. The ATMs are owned and operated by various financial institutions with permission from the University. ATM locations are identified on the campus map located at <https://www.usi.edu/map>. The Bursar's Office does not accept personal checks, third-party checks, or payroll checks in exchange for cash.

# Standards of Conduct

## Date

12/04

## Item

F.15

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.

# University Keys

## Date

12/18

## Item

F.16

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. 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

## Date

2/23

## Item

F.17

University groups and officially registered student organizations may use University facilities on a space available basis to hold meetings or conduct activities consistent with the mission of the organization or group and the University. Reservations for space must be made through Special Events and Scheduling (SES). Requests are received and managed by SES according to scheduling guidelines and conditions found at <https://www.usi.edu/special-events/guidelines-and-procedures>. All reservation requests from University groups, officially registered student organizations, and external groups must be received and confirmed by SES at least three (3) business days prior to the event in order to allow time to process the reservation.

Although University functions maintain priority, external (non-university) groups or individuals may request space in dedicated, semi-public, and public University facilities for activities compatible with the mission of the University.

The University reserves the right to revise its policies regarding the use of University facilities. Any such revisions are subject to all local, state, and federal executive orders or declared states of emergency.

## 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. Examples of such space are: classrooms, laboratories, libraries, student housing, restricted facilities, intramural and athletic fields.

### 2. Semi-public

Semi-public space includes meeting rooms and lecture rooms in academic buildings and the University Center available for use by internal and external individuals and groups on a reservation only basis.

### 3. Public

Public spaces are those which accommodate traffic flow, and facilities of the University open to the public. These areas 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 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 Office of the Provost. Requests will be assigned in accordance with available space, in coordination with the Registrar's Office, and with the approval of the University Facilities Committee. 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 for assignment of regularly scheduled classes. Reservations for meetings, study groups and other temporary uses by officially registered student organizations and University groups are to be made through Special Events and Scheduling. Classroom space is released for campus reservations after the first two weeks of class in the Fall and Spring terms and after one week in the Summer sessions.
- ii. General instructional space such as athletic fields, Screaming Eagles Complex, the Recreation, Fitness and Wellness Center, and the buildings constituting Bent Twig Outdoor Education Area may be reserved by officially registered student organizations and University groups through Special Events and 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 activities is to be coordinated with Special Events and Scheduling.

#### b. Lobby Areas and Other Semi-public Space

Reservations for use of lobby areas and semi-public space must be made through and approved by Special Events and Scheduling. The University reserves the right to deny the use of semi-public space if it is determined that access by a group would disrupt the normal operation of the facility or the University.



c. **Outdoor Space**

Outdoor space in and around student housing must be reserved through Special Events and Scheduling.

3. **Public Space**

- a. **General Buildings and Ground Space:** 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 designee. These areas include sidewalks, closed streets, entrances to buildings, and corridors in classroom and office areas, library reading rooms and common areas. The president or 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 space, as defined by this policy, may be reserved by registered student, faculty or staff organizations. Public groups, organizations, or agencies may reserve these areas if approved by Special Events and Scheduling. Soliciting for monetary reasons or selling will not be permitted in public areas except in cases of student organizations whose activities are approved through the Center for Campus Life or other University organizations as approved by the president or designee.
- c. **Use of Public Space vs. Reserving Space:** A purposeful/intentional gathering of a group or individuals on a specific date/time/location on campus with the expectation that the space will be reserved upon arrival, requires a reservation through Special Events and Scheduling as well as a contract and certificate of insurance (if applicable). Groups or individuals without these expectations may be considered to be using areas on the USI campus as public space; accepting the space in, "as is" condition and/or avoiding areas being used for events (example: walking on campus).
- d. **Responsibilities of the External (Non-University) 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, indemnification, responsibility for damages, and Americans with Disabilities Act (ADA) compliance as specified by USI Risk Management and noted in the contract provided by USI Special Events and Scheduling. Coverage is to be provided for all participants.

A Certificate of Insurance shall be provided to Special Events and Scheduling, 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 ten (10) business days prior to the start of the event.

C. **Right of Use of Space**

1. 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.
2. Users who misrepresent any event or affiliation to avoid fees and charges or compliance with the general policies of the University may have reservation privileges suspended or incur additional charges.
3. Persons in charge of facilities or functions who determine that a situation is no longer peaceful and orderly should request that the individual(s) desist from activities causing the disturbance and allow a reasonable time for such action to occur. In the event the disturbance continues, USI Public Safety should be informed of the nature of the disturbance. Once Public Safety officers arrive, they will assess the situation and, if deemed necessary, implement approved emergency procedures.
4. Agencies coming to the campus to recruit students for employment must contact Career Services and Internships, who will in turn make reservations for space in their offices or through Special Events and Scheduling, if applicable. Personal interviews will be scheduled in Career Services and Internships offices or in semi-public areas, if the facilities of the office do not accommodate the demand.

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. Employees and staff using University facilities are responsible for complying with these policies; violations will be handled as described in Disciplinary Actions, Item B.19 of the University Handbook.
5. Any charges by the University for violation of this policy must be made within 30 days after the notification of the alleged violation.

## University Brand Standards

### **Date**

2/23

### **Item**

F.18

The University's brand is an intangible asset, possibly one of our most valuable assets, comprised of much more than just a logo. But the USI logo, all by itself, must carry a lot of weight. It is the single most-used visual representation of what we were, are and aspire to be. And that is why we need to protect it.

Establishing a visual identity involves more than just creating logos. Graphic standards provide a sound, flexible structure for using the logos, brand colors and typography. Consistent brand application is essential. The logos must appear the same in every instance. They must have the proper color selections, be in the proper proportions and be used in appropriate contexts.

## Academic Brand

The University of Southern Indiana has undergone a great deal of change since its founding in 1965. In 2014 we took stock of our brand and the decision was made to select the right symbol that would represent the essence of our University and distill that into a few simple strokes. No small task! The resulting image conveys our history as well as a long and bright future. Our academic logo borrows symbolism from the torch found in the University's seal. That torch was transformed into the "I" in USI. The torch's flame, a red blaze, signifies the illumination of knowledge (or an eagle's wing). The Academic logo is forward-thinking, innovative and accessible, and imbues a sense of openness and connectivity that is indicative of the USI brand. What started as a spark has kindled into a flame and is now a torch lighting the way, burning ever brighter as we continue our quest for knowledge — Knowledge for Life.

In the Academic Brand Standards Guide ([www.usi.edu/brand](http://www.usi.edu/brand)), the USI logo family is presented and the rules for their use are laid out. Consistency is the key. That is why you will find information for appropriately using the logos (word mark and USI monogram versions), color choices, typography (formatting, font) and application examples for the University and for the respective colleges and departments. Proper and legal use of the logos protects the University's image and sets us apart from other institutions. All logos are registered and any reproduction of the logos should bear the registration mark.



## Athletics Brand

A University of Southern Indiana Screaming Eagle is many things, among them, competitive, tough, a good sport, proud, powerful and strong. That is a lot to live up to, but is exactly what the athletic logo brand seeks to convey. From the custom designed USI Bold font to the eagle's fierce eyes and beak, our research presented a clear mandate on what you expected and what has been delivered.

The Athletics Brand Standards Guide ([www.usi.edu/brand](http://www.usi.edu/brand)) is a tool for coaches, staff, alumni, outside vendors, printers, businesses and other constituents to consistently use when reproducing the visual identity of USI Athletics. Proper and legal use of the logos protects the University's image and sets us apart from other institutions. All logos are registered and any reproduction of the logos should bear the registration mark.

A wealth of information exists on the USI brand website: [www.usi.edu/brand](http://www.usi.edu/brand) including downloadable logo files, FAQs, brand standards manuals--colors, fonts, licensing information, Archibald Eagle use, stationery, appropriate University seal usage, name tags, email signature formatting, etc. If you have questions or need help with these tools, please contact University Marketing and Communication or University Creative and Print.



## Dress Guidelines

**Date**

7/02

**Item**

F.19

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

### **Date**

11/15

### **Item**

F.20

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. These clubs have faculty sponsors the same as other student organizations. From the standpoint of the University and the faculty, the purpose of these clubs on 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 federal, state and local government officials and the Indiana General Assembly. The Governor and the Indiana General Assembly are responsible for and have authority over many aspects of the operation of the University. Also, 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 an individual's 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, administrative or 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 Indiana General Assembly, 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.

The policy concerning political activities extends to federal, state and local officials.

## USI Today

### **Date**

1/21

### **Item**

F.21

*USI Today* is the official employee communication channel which includes a webpage and e-newsletter intended to keep employees up to date on recent happenings at the University and provide a forum to share information.

The webpage, [www.USI.edu/usitoday](http://www.USI.edu/usitoday), includes stories, events, employee updates, an employee marketplace and other useful information for employees.

The e-newsletter is prepared and sent every Tuesday and Friday (Some exceptions may apply during summer months or other slow periods) by University Communications. Employees are encouraged to submit story ideas, news, faculty and staff achievements, announcements and other information for *USI Today* by contacting University Communications or through the online submission form at [www.USI.edu/news/send-news-tip](http://www.USI.edu/news/send-news-tip). Employees also can submit items for Marketplace, the classified ad section of *USI Today* online. Information for events should be submitted three to five days before next publication. Story ideas should be sent two weeks prior to publication date.

## University Strategic Communication and News Media Policy

**Date**

2/23

**Item**

F.22

### University Strategic Communication

University Strategic Communication is a department within University Marketing and Communication. University Strategic Communication provides copy, photographs and video for publications, news releases, media pitches, the USI website, marketing materials (both print and digital) and other needs as they arise. The department also publishes *illumine*, the University's magazine, twice a year and is responsible for the creation and distribution of the internal e-newsletter *USI Today* two times each week. University Strategic Communication works with reporters on stories featuring USI personnel, students, and alumni, and serves as a conduit between the University and media outlets. University Strategic Communication also works closely with Content Marketing Specialists in the four colleges as well as other divisions around campus to tell the USI story and facilitate best practices in communication. University Strategic Communication manages flagship USI social media accounts and provides oversight and guidance to other University-related social media accounts.

### News Media Policy

USI's News Media Policy (<https://www.usi.edu/university-strategic-communication/news-media-policy#:~:text=News%20media%20are%20permitted%20to,without%20permission%20from%20the%20University>) establishes the University's position with respect to employee interaction with the news media, including representatives of print, online, television and radio outlets and all student media. It also serves as a guide for news media interacting with the University and University sources. Questions about USI's News Media Policy can be directed to [USImedia@usi.edu](mailto:USImedia@usi.edu).

### Media Sources

USI faculty are one of the University's greatest assets and harnessing the expertise of our faculty to engage with media on topics of human interest and breaking news is powerful. To that end, University Strategic Communication maintains a list of faculty who can provide expert information to media outlets on a variety of topics. If a faculty member would like to be considered for media opportunities, please complete the form at [www.usi.edu/news/usi-faculty-and-staff-content-experts](http://www.usi.edu/news/usi-faculty-and-staff-content-experts). Be advised that USI encourages media representatives to provide USI with as much lead time as possible to connect with sources, but deadlines are somewhat immediate more often than not due to the nature of print and television outlets.

### Crisis Communications

University Strategic Communication is responsible, in consort with University Marketing and Communication, for helping to manage the reputation of the University and assisting with communication and messaging during times of University delays, closings or in times of crisis. The Chief Communications Officer maintains a comprehensive Crisis Communications Plan.

## University Magazine

University Strategic Communication, under the direction of the Editor/Senior Writer, is responsible for producing the University's magazine, *illumine*, twice annually in print and digital format. Additionally, the department assists colleges and other departments with production, editing and distribution of digital newsletters.

## Photos and Video

Photography and Multimedia is utilizing a third-party gallery service that allows users password-protected online access to all images from their photoshoot. Galleries allow easy downloading of images as well as ordering prints or other photo merchandise. Photography and Multimedia's website includes an easy-to-use online form to request photo shoots. Visit <http://www.usi.edu/photography>.

Photography and Multimedia will continue to provide employee headshots free of charge. \*Video and multimedia projects (such as slideshows) created by Photography and Multimedia must be approved by the Chief Communications Officer. The primary focus is on marketing and recruitment videos. If the department cannot assist you with your project, it will do everything possible to connect you with other resources. Video or multimedia projects created outside of University Strategic Communication, and intended for an external audience, should be reviewed and approved by the Chief Communications Officer before being shared with external audiences through direct viewing, websites, social media or other means.

Videos intended for use on the USI website or public distribution should be sent to University Strategic Communication to be loaded first to the Universities YouTube or Vimeo channel

## Branding Resources

A wealth of resources may be found at [www.usi.edu/brand](http://www.usi.edu/brand).

## USI Social Media Accounts

The University is officially represented on Twitter at @usiedu, on Facebook at Facebook.com/USledu, and on Instagram as USledu. The University also maintains flagship accounts on Youtube, Snapchat, Pinterest, LinkedIn, and TikTok and will maintain official presences on other social media networks when appropriate. Social media guidelines for employees seeking to create affiliated social media accounts can be found at [www.usi.edu/social-media](http://www.usi.edu/social-media).

## Endorsements

The University does not lend its name to advertise or endorse commercial enterprises and products. Advertising in University publications and programs does not imply official endorsement.

## Fund-Raising Policy

### Date

12/18

### Item

F.23

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 Development Office 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 vice president for 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 vice president for 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.

University funding needs to be utilized before funding from the USI Foundation is requested. If University funds are not available, a Foundation Funding Request Form should be completed and submitted. The form is located under "Employee Forms" on the USI website and on the Foundation homepage.

Students who would like to become eligible for USI Foundation merit and need-based scholarships must annually complete and submit the AwardSpring application. The AwardSpring application is located in the MyUSI portal and automatically matches students to any applicable Foundation scholarships. Faculty and staff evaluate and select recipients through the AwardSpring software.

## Campus Solicitation Policy

### **Date**

12/22

### **Item**

F.24

Unauthorized individuals, entities or their representatives may not engage in sales, peddling, soliciting, distributing, or posting of any materials, or use equipment or networks owned/operated by the University without written permission of the president of the University or designee. Any activity in violation of this policy should be reported to the President's Office.

Employees are not permitted to solicit employees or students or peddle any items, distribute or post any unauthorized material during working time, in work areas on University-owned or controlled property, or through equipment or networks owned/operated by the University without the written permission of the president of the University or designee.

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. Employee contributions to charitable and welfare programs and activities are entirely matters of individual discretion.

The University of Southern Indiana and the USI Foundation strictly prohibit fund-raising 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. Neither the University nor the USI Foundation is a qualified organization licensed by the Indiana Department of Revenue to conduct such activities. University and Student groups are encouraged to solicit funds in other ways. For information, contact the Director of Development.

The President's Office or the appropriate vice president must approve materials for approved campus solicitations.

Soliciting for monetary reasons or selling will not be permitted in public areas except in cases of Student Organizations whose activities are approved through the Center for Campus Life or other USI organizations as approved by the president or designee.

Groups or individuals holding events that include sales and soliciting activities must schedule the event with Special Events and Scheduling (SES) and adhere to all applicable University policies, guidelines and procedures, including but not limited to:

- The use of sound equipment (TV, stereo, amplifiers and public address system) is restricted; permission must be obtained by SES.
- Groups must display a printed sign no smaller than 18"x24" signifying the name of the organization hosting the sale or solicitation.
- For-profit entities must have a retail sales permit available at the scheduled activity.
- A currently enrolled student or University employee representing the sponsoring group or organization must be present at all times.

For policies related to sales and solicitation by students, see the *Student Rights and Responsibilities: A Code of Student Behavior* in the *University Bulletin*.

## Obituary and Sympathy Policy

### **Date**

8/19

### **Item**

F.25

USI Foundation monitors obituaries and alerts appropriate departments.

When a retiree or spouse/child of a retiree dies and upon publication of a public obituary, USI Foundation will send an email to retirees, leadership within the retiree's former department and Human Resources.

When a current employee or student dies and upon publication of a public obituary, University Marketing and Communications will send an email notification to the entire University.

Upon the death of an employee's immediate family member (parent, spouse, child) and after consulting the employee to determine her/his wishes, it is up to the discretion of leadership within the employee's department to disperse the information. This may include notification to the entire department and/or those departments with close working relationships. Department leaders are requested to email the "Death of Family Member" Outlook group, which will alert members of the administration, USI Foundation and Human Resources. The notification email should include a link to the public obituary and relationship of the deceased to the employee.

The administration/department leadership will seek to express a timely form of sympathy from the University via a telephone call to the family or a representative from the University attending the visitation or funeral, offering personal condolences to families.



The USI Foundation will order flowers or a plant to be sent to the family.

At an appropriate time, the Registrar's Office will send a letter to the family of a deceased student stating the University will close the student's file.

See associated Bereavement Policy, D.8, of the University handbook.

# Purchasing Procedures

**Date**

12/18

**Item**

F.26

The Procurement Department 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 Procurement 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 Director of Procurement 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 \$25,000	A minimum of one quote is required
Purchase of \$25,000 and greater	Three quotes or a sole source form is required

The Director of Procurement 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.

The most current information on the Procurement Guidelines and Procedures are available on-line at [www.usi.edu/procurement/purchasing-policies](http://www.usi.edu/procurement/purchasing-policies).

# Use of Data Communications and Computers

**Date**

12/19

**Item**

F.27

## I. Purpose

The University of Southern Indiana Information Technology (IT) 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 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 computer systems, networks and data must be protected from misuse and unauthorized access.

This policy applies to all University computer users and systems regardless of type of hardware. In particular, this policy covers computer systems ranging from desktop and laptop personal computers, servers, tablets, and smartphones, whether hardwired to the network or connected via wireless.

In addition to this data communications and computer use 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 computer systems and computer networks. 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 IT Help Desk.

## **II. Definition of Terms**

### **A. Computer Systems**

Computer systems include any type of device, such as desktop or laptop computers, tablets, smartphones, or servers, used on this campus either on wired or wireless networks.

### **B. Computer Networks**

Computer networks include any wired or wireless local or wide-area communication system connecting computer systems as defined above.

### **C. Computer Users, referred to here-in as Users**

Computer users are defined as students, employees, alumni, retirees, guests, and recognized organizations.

## **III. Computer Use Guidelines**

Each user is provided an individual university account with a user name and password. This account is intended for the specific user only and this user is responsible for activities with the account. Most users are also provided an email account, licensed access to business software, and centralized file storage.

In general inactive accounts lose access to email, licensed business software and centralized file storage. Alumni and retirees are eligible to retain email only. Upon request, retirees with emeritus status may retain access to licensed business software and centralized file storage.

An account is considered inactive when:

- Account owner is no longer an active employee
- Account owner is deceased
- Retiree does not use email for 12 months
- Alumni does not use email for 12 months
- Student account is not enrolled for 2 consecutive academic terms
- Account owner is no longer an active guest

An account may also be disabled upon request from Human Resources or Dean of Students.

Users are to have valid passwords for computers systems, network systems, and software applications. It is the responsibility of all users to safeguard their passwords. Passwords must be changed as needed to ensure security; a good practice is to change your password every 90 days.

Employees must log off of their computer, or lock the screen with a password protected screen saver, when the employee will be away from their computer for any extended amount of time. When a business reason exists to bypass screen locking, a waiver must be requested from the Information Technology Chief Information Security Officer.

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 codes of conduct, or any local, state, or federal law.

Legitimate use of resources does not extend to whatever one is capable of doing with them. Although information security controls may permit access, a person may not access confidential information unless they have some legitimate reason for doing so. For example, employees with access to confidential student records have no right to access them absent an approved legitimate business purpose.

A user shall disclose to the appropriate authorities misuses of computing resources or potential loopholes in computer systems security, and cooperate with the Chief Information Officer (CIO) in the investigation of abuses. Anyone who discovers or suspects an information security breach of the University has a duty to report the suspected breach to IT Security by e-mail at [it@usi.edu](mailto:it@usi.edu) or by phone at 812-465-1080. Reporting must not be delayed in order to collect more information or to make a determination if a breach has actually occurred.

In connection with inquiries into possible abuses, the University reserves the right to examine network data traffic, files, programs, passwords, accounting information, printouts, email, 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.

Without specific authorization, users of University Computer Systems must not cause, permit, or attempt any destruction or modification of data or computing or communications equipment. This rule protects data, computing, and communications equipment owned by USI, or any other person or entity. 'Specific authorization' refers to permission by the owner of the equipment or data to be destroyed or modified.

## 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 computer systems, , programs, or data. Users must not defeat or attempt to defeat any University system security, for example, by "cracking" or guessing user identification or passwords.
4. The unauthorized capturing of computer network data directly from the computer networks, including wireless transmissions.
5. Attempting unauthorized access to computers outside the University using the University Computer Systems or Computer Networks.
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 not supporting USI.
11. Using the computer for illegal purposes (e.g. using email to instigate phishing or hacking attacks).
12. Sending of abusive, harassing, or obscene messages via electronic devices.
13. Mass emailing for selling, soliciting, or spamming other users.
14. Running unauthorized servers or daemons, i.e., SMTP, DNS, DHCP, etc., on the network.
15. Denying service through any action.
16. Running any unauthorized data packet collection program on the network.
17. Attaching any devices to the network without registration or prior approval from the IT Department.

18. Unreasonably slowing down the University Computer Systems or Computer Networks through the excessive use of system resources (network bandwidth, disk space, CPU time, and printer queues).

#### **IV. Acceptable Personal Use**

The University of Southern Indiana encourages Information Technology literacy for its computer users. As such, the University of Southern Indiana allows its electronic mail system and web server(s) to be used by computer users for reasonable and limited personal use. For example, occasionally sending electronic mail to family and friends is allowed. However, it is recommended that users maintain a personal email account. 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 provides individual web pages for faculty with active roles. These pages are for professional representation and must follow established Web Services and college guidelines. USI does not actively monitor or generally restrict the content of materials published on the faculty web pages. However, the use of USI resources is a privilege and not a public forum. Therefore, USI reserves the right to restrict or deny usage of the web server space when such usage does not support the mission of the University.

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 Finance and Administration 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.

#### **VI. Peer-to-Peer File Sharing**

In full compliance with the Higher Education Act on Copyright Infringement, the unauthorized distribution of copyrighted material, such as through peer-to-peer (P2P) networks, is not permitted. The University implements several technologies to block or inhibit peer-to-peer file sharing of copyrighted material. Additionally, encrypted peer-to-peer file sharing is not permitted and is blocked. Peer-to-peer file sharing of copyrighted material may subject the violator to civil and criminal penalties.

- The U.S. Copyright Law (<http://www.copyright.gov/title17/>) provides for damages as follows: Actual damages and profits or
- \$750-\$30,000 for each copyrighted work (song, movie, game, etc.) or
- \$750-\$150,000 for each copyrighted work if the infringement was committed willfully
- Criminal penalties for certain copyright violations

Copyright infringement is unlawful and thus a violation of the Employee Code of Conduct and Student Code of Conduct. If the University receives a notice that the IP address assigned to an employee has been identified as one that is receiving or distributing unauthorized copies of copyrighted material, the employee will be subject to appropriate disciplinary action. The employee must certify that all unauthorized material has been removed from University resources.

If the University receives a notice that the IP address of a device that is registered by a student has been identified as one that is receiving or distributing unauthorized copies of copyrighted material, this device will be blocked from accessing the campus network and the student will be required to certify that all unauthorized material has been removed before that privilege is restored. Judicial procedures and sanctions will apply.

For both employees and students, financial penalties, fines, damages, or other legal fees assessed for the illegal activity by the patent holder will be charged to the employee or student.

Under the law, the University could also be required under subpoena to release your name to appropriate authorities.

When technology makes it easy to abuse the rights of others, it may be tempting to engage in such behavior. Resist the temptation and use only legal downloading sites. As an alternative to illegal downloading, there are now many online sources that provide free and fee-based legal access (i.e. Amazon, Netflix, Hulu, etc.).

## **VII. General Terms and Disclaimers of Liability**

Responsibility for all information transmitted via the Computer Network at USI lies with the user or the information provider.

Neither USI nor the IT Department make any warranty, expressed or implied, concerning the accuracy or fitness for any purpose of any information distributed by the Computer Network. Such warranties may or may not be expressed by information providers. Programs provided for use on the Computer Network have been tested for proper Computer Network functionality; however, the IT Department cannot guarantee their suitability for any specific user's purposes.

## **VIII. 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 Computer Networks or Computer Systems. The University may refer enforcement issues to the appropriate dean, administrator, or the IT 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. Human Resources or the Dean of Students is responsible for identifying and requesting email eDiscovery or litigation hold placements. When Information Technology receives a hold notification, the data and email of the hold are quarantined. Investigations that discover improper use may cause the University to:

1. Limit the access of those found using Computer Networks or Computer Systems 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. Require reimbursement of any financial penalties, fines, damages, or other legal fees assessed to the University.
7. Take other legal action including recovery of damages

# **Investigator Significant Financial Interest Disclosure Policy**

**Date**

7/15

**Item**

F.28

## (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. ***For federal grant funding from the Department of Health and Human Services, the maximum allowable financial interest is \$5,000 per year.***

### Disclosure Procedures

Investigators applying for extramural grant funding an updated determination form must be completed and included in the administrative review process prior to the submission of each grant application.

If a significant potential conflict of interest is identified, the investigator will be required to report the conflict to the Office of Sponsored Projects and Research Administration for review by the USI Conflict of Interest Review Committee. Investigators may be required to provide additional information and documentation to the USI COI Review Committee to ensure that all conflicts real or perceived are mitigated.

## Review Procedures

After preliminary review by the Chief Data Officer, and on determination that the conflict is both real and sufficiently significant, supporting documentation should be submitted to the Office of Sponsored Projects and Research Administration. Disclosure packets will be reviewed by the USI Conflict of Interest (COI) Review Committee, comprised of the Chief Data Officer, 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, Engineering, and Education. 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

## Alumni Relations and Volunteer USI

### **Date**

12/18

### **Item**

F.29

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 Alumni Relations and Volunteer USI to arrange volunteer assignments.

## Research Integrity Policy

### **Date**

2/23

### **Item**

F.30

Policy and procedures to be followed in cases of allegations of dishonesty or misconduct in research are coordinated through the Office of Sponsored Projects and 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 and Code of Student Behavior. If such cases also involve external funding, then the procedures described in the USI Policy and Procedures for Responding to Allegations of Research Misconduct 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**

Terms used have the same meaning as given them in the Public Health Service Policies on Research Misconduct, 42 CFR Part 93.

*Deciding Official (DO)* means the institutional official who makes final determinations on allegations of research misconduct and any institutional administrative actions. The Deciding Official at the University of Southern Indiana will be the Vice President for Finance and Administration. The Deciding Official will not be the same individual as the Research Integrity Officer and should have no direct prior involvement in the institution's inquiry, investigation, or allegation assessment. A DO's appointment of an individual to assess allegations of research misconduct, or to serve on an inquiry or investigation committee, is not considered to be direct prior involvement.

*Research Integrity Officer (RIO)* means the institutional official responsible for: (1) assessing allegations of research misconduct to determine if they fall within the definition of research misconduct, are covered by 42 CFR Part 93, and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified; (2) overseeing inquiries and investigations; and (3) the other responsibilities described in this policy.

*Research misconduct* means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- a. Fabrication is making up data or results and recording or reporting them.
- b. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- c. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- d. Research misconduct does not include honest error or differences of opinion.

## **C. Responsibility to Report Misconduct**

All institutional members will report observed, suspected, or apparent research misconduct to the USI RIO—the Director of Sponsored Projects and Research. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, the individual may meet with or contact the RIO at Sponsored Projects and Research at 812-465-7000 or RCR@usi.edu to discuss the suspected research misconduct informally, which may include discussing it anonymously and/or hypothetically. If the circumstances described by the individual do not meet the definition of research misconduct, the RIO will refer the individual or allegation to other offices or officials with responsibility for resolving the problem. At any time, an institutional member may have confidential discussions and consultations about concerns of possible misconduct with the RIO and will be counseled about appropriate procedures for reporting allegations.

## **D. Allegations and Investigations**



If it should appear that an incident of research misconduct may have occurred in the University community, USI will act with dispatch and according to Federal regulations and will adhere to the USI Policy and Procedures for Responding to Allegations of Research Misconduct. This policy can be found on the USI Office of Sponsored Projects and Research webpage under research policies: [www.usi.edu/ospra/research-policies](http://www.usi.edu/ospra/research-policies).

## Posting/Chalking Policy

### Date

7/22

### Item

F.31

## Campus Posting Policies

Posting on campus is restricted to University departments, registered student organizations, and academic classes. 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 Dean of Students.

All posting must have the name of the University department, registered student organization, and/or academic class and follow the posting policies and procedures.

The campus posting policy applies to all forms of posting. Language that harasses, threatens, or creates a pervasively hostile environment is not permitted. Additional policies may apply to specific forms or areas. No posting of 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 Dean of Students.

### Posting Guidelines and Procedures

#### 1. Bulletin Boards

All flyers and posters to be placed on bulletin boards must meet the guidelines stated in the first section of this policy. Preferred size is 8.5" X 11" but not to exceed 11" X 17" 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 identified as "Designated" or "General University Posting Areas" are available for posting to the following: University departments, registered student organizations, and/or academic classes, and approved non-University firms or organizations. Requests by non-University firms and organizations must be in writing and submitted to the Dean of Students Office (DOSO). To obtain a current listing of all designated or "general University posting areas," contact Special Events and Scheduling Services (SESS).
- 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 to use these bulletin boards from the appropriate college, department, or administrative official.
- Groups or individuals using designated bulletin boards may bring ten (10) copies to Special Events and Scheduling Services (SESS) (UC 017) to be posted by a member of the SESS staff. Flyers/posters are typically posted on Tuesday of each week. Provide the SESS staff with the flyers/posters by the end of day Monday. If this deadline is missed, groups or individuals may post flyers/posters with approval from SESS office or postpone hanging until the following Tuesday. SESS reserves the right to postpone the posting of flyers/posters during peak times if space is limited.
- A public posting area is available for posting by off campus groups or for non-University related activities held off campus, with permission from the DOSO. The DOSO is located within the Center for Campus Life on the main level of University Center East, Room 1232 in Fireside Lounge, and can be reached at 812-464-1862 or you may email [deanofstudents@usi.edu](mailto:deanofstudents@usi.edu). The public posting area is located just inside the University Center East boulevard entrance.

#### 2. Banners

All banners must meet guidelines stated in the first section of this policy. In addition, banners may be hung by

registered student organizations and University departments outside the University Center building in designated locations. UC banner space is available on a first-come, first-served basis with SESS, but can be scheduled in advance to secure space. Banners cannot exceed a standard twin sized bed sheet (66"x96") that hangs vertically. Banner materials cannot contain wood or metal. SESS will provide, free of charge, approved anchors that will not present a risk to people or property. After removal, banners not picked up within five working days will be discarded.

### **3. Staked Signs/A-Frames**

Staked signs and A-frames may be utilized by registered student organizations and University departments. Staked signs, maximum size of 18" x 24", and A-frames, maximum size of 36"x36", are allowed in specified lawn areas along the sidewalks and roadways if they do not block or overhang onto a walkway, driveway, or street. Staked signs and A-frames must be located 18 inches from the sidewalk edge. Staked signs and A-frames are not permitted in landscaped areas or in specified areas (contact SESS for a map). Any signs posted in non-approved locations will be removed and discarded.

Only directional signs for campus events may be posted in the boulevard median with approval from SESS. Permanent signs are not permitted on University premises. All signs must be removed within 72 hours after the event or Facility Operations and Planning removal charges may apply.

### **4. Table Tents**

Table tents in the University Center may be utilized by registered student organizations and University departments. To place table tents, permission must be obtained through SESS. Table tents must state the name of the sponsoring University department or student organization and stand upright. Table tents for distribution must be assembled prior to delivery to SESS. Unauthorized table tents will be removed. SESS reserves the right to postpone the placement and limit the number of table tents during peak times if space is limited.

### **5. Chalking**

Chalking may be utilized by registered student organizations and University departments to promote scheduled events and is allowed on outdoor concrete (non-brick) sidewalk areas that are exposed to the weather and can be easily washed away by rain.

- No chalking on the side of the buildings, walls, ramps, or steps.
- Only brands of chalk identified as standard sidewalk chalk on label are allowed. Spray chalk, chalk pens, chalk paint and other similar products are prohibited.
- All chalking must meet the campus posting policy. Counter-chalking is not allowed. Counter-chalking is defined as chalking that occurs either directly on original chalking or in proximity to original chalking.
- Facility Operations and Planning charges for cleanup of chalking outside the above policy will incur at the expense of the sponsoring department or organization.
- Student Organizations and/or University departments who misuse or abuse this policy can have access to chalk removed.

### **6. 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:

- Individuals distributing shall 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 the sponsoring group.
- The distribution of material is not in an area reserved by another organization, nor does it impede another scheduled activity or event.
- The distribution of material must be outside and will not be allowed inside University buildings.

# Licensing Program and Trademark Policy

## Date

8/19

## Item

F.32

The purpose of the University of Southern Indiana's (USI) licensing program is to ensure that USI's brand identity is properly represented on products and services marketed to both the USI community and the public. The licensing program is responsible for determining if products and/or designs are consistent with the goals and image of USI. The program also ensures the quality, content, production and distribution of products meets USI's standards.

The University has contracted with an outside licensing partner to help manage its licensing program. The licensing partner acts as an intermediary for the University of Southern Indiana, working directly with manufacturers and retailers. This ensures that decisions can be made promptly and that manufacturers can become licensed with the University in a timely manner.

In order to produce products bearing the marks of University of Southern Indiana, manufacturers and vendors must be licensed through the licensing partner. For more information on becoming a licensed vendor, visit:

<http://www.usi.edu/brand/licensing-and-trademark/>.

The licensing program is a resource for all members of the USI community and the vendors who work with the University and was designed to ensure consistent and appropriate use of USI's visual identity. Additionally, the program enables the University to share in the financial benefits derived from the commercial use of these trademarks.

All University of Southern Indiana trademarks are the property of University of Southern Indiana.

For additional information on the University's licensing program and a list of licensed vendors, visit

<https://www.usi.edu/brand/licensing-and-trademark>.

Frequently Asked Questions, visit <https://www.usi.edu/brand/licensing-and-trademark/licensing-faq>

# Animals on University Property

## Date

2/21

## Item

F.33

Animals, defined generally as domesticated pets unless described otherwise below, may be brought on campus only under the following conditions:

1. The animal is part of a student-led classroom demonstration that has been approved in advance by faculty. In such cases, the animal should be brought on campus immediately before the class and removed from campus immediately after class. The animal must be on a leash or carrying case when in transit.
2. The animal is being used in a teaching activity conducted and/or directly supervised by faculty and approved in advance by the applicable chair, dean, or vice-president. In such cases, the animal should be brought on campus immediately before the class and removed from campus immediately after class. The animal must be on a leash or carrying case when in transit.
3. The animal is a "service animal" as defined by the Americans with Disabilities Act (ADA), Section 504 of the Rehabilitation Act of 1973, and State of Indiana regulations. Under these laws, a "service animal" is defined as an animal that is specifically trained to do work or perform tasks for the benefit of an individual with a physical, sensory, psychiatric/mental, or intellectual disability; and the work or tasks performed by the animal must be directly related to the individual's disability. Animals that only provide crime deterrent effects, emotional support, well-being, comfort, or companionship do not fall under the legal definition of "service animal." The University reserves the right at any time to ask if the animal is required because of a disability and what specific work or task the animal has been trained to perform. The University also reserves the right to request that the animal be removed from the property if it does not meet the legal definition of service animal, if the handler fails

to keep it under appropriate control, or if it is not housebroken. An animal meeting the complete and proper definition of “service animal” will otherwise be permitted anywhere on campus that is typically open to students and visitors, but will not be permitted in other areas of campus except as a workplace accommodation as described below in item #4.

4. The animal is being used as a workplace accommodation by faculty, staff, or student workers with disabilities who require the animal in order to complete the essential functions of their positions at the University. Individuals wishing to have an animal on campus as a workplace accommodation must have the animal approved in advance by the applicable dean or vice-president, in consultation with Human Resources. Information on the employment accommodation process for faculty, staff, and student workers can be viewed online at [www.usi.edu/hr/ada/accommodation/](http://www.usi.edu/hr/ada/accommodation/).
  - a. With the exception of those animals that also meet the definition for “service animal” as described above in #3, animals approved as a workplace accommodation will only be allowed to accompany the individual in areas that the individual must access during the normal course of their work duties at the University.
  - b. Some faculty, staff, or student workers may have conditions such as animal-related allergic reactions or phobias that are substantial enough to qualify as disabilities that qualify for accommodations in the workplace, or there may be other concerns related to the presence of an animal. In these circumstances, the University will consider the needs of both persons and will make a good faith effort to reasonably accommodate all disabilities and employment-related concerns to the maximum extent that circumstances permit. Faculty, staff, or student workers who become aware of the presence of an animal that is allowable under this policy in their work area and who believe that they will require such accommodations are encouraged to contact their supervisor as soon as possible. Depending on the circumstances, the involved individual(s) may be referred to the applicable dean or vice-president, in consultation with Human Resources.
5. Students and Area Coordinators residing in University residence halls or apartments may keep non-predatory tropical fish as long as they are well maintained and kept in aquariums holding no more than 20 gallons of water. They may also keep an animal in their living area that meets the current definition of a “service animal” or “emotional support animal” as defined by state and federal law and best practices that specifically apply to University housing and residential services for individuals with disabilities. Detailed information for students wishing to have a service/emotional support animal in University housing can be found in Section 6.3 of "University of Southern Indiana Student Rights and Responsibilities." Any non-students who reside in campus housing (including but not limited to: Area Coordinators, USI and New Harmony Theatre staff, etc.) and any individuals residing with them on campus who wish to have a service/emotional support animal in University housing are also subject to the procedures and responsibilities as described in Section 6.3 of "University of Southern Indiana Student Rights and Responsibilities", with the exception that they must direct their initial notification to Human Resources instead of to Disability Resources. Individuals residing in campus housing who are employed by the University and who wish to have an animal both in their housing unit and at their assigned work site(s) may also be subject to the workplace accommodation process for animals as described above in item #4.
  1. With permission of the president or his/her designee.
  2. The animal is accompanying law enforcement or security officers as a function of their official duties.
  3. Animals that do not fall within the categories defined above in items #1-5 may be exercised on outdoor areas of campus as long as they are on a leash and are not taken to any area(s) where an active program or event is occurring.

In all cases it is the responsibility of the individual(s) bringing any animal to any University-owned or controlled property to be aware of state and local immunization and licensing requirements, to fully comply with those requirements, and to assume any and all liability associated with failure to do so. Such individuals are responsible for cleaning up after their animal, for maintaining humane control of the animal at all times, and are financially responsible for any damage that the animal may cause to University property or injuries caused to other individuals. Individuals involved in any incidents resulting in injury between any animal and individual on campus are responsible for reporting such incidents to Public Safety (812-492-7777) immediately.

## Firearms / Weapons Restriction on Campus

### Date

8/17

### Item

F.34

Violations of any part of this policy may be grounds for disciplinary action, up to and including termination or expulsion. Additionally, based on the circumstances, the violation may be referred to the appropriate law enforcement or environmental safety authorities for prosecution.

**Weapons** – Possession, use or transportation of any weapon, as defined below, on any university owned, operated or leased property, without prior authorization from the Director of USI Public Safety or designee is prohibited.

**Explosives** – Any device which is intended or designed to explode or any device which a reasonable person would believe, either through appearance, markings or otherwise, to be a device intended or designed to explode. This includes all fireworks.

**Firearms** – Any device such as a rifle, handgun or shotgun, that is capable of shooting a projectile. This includes any device that may be perceived as a firearm due either to appearance, situation or markings. Examples include but are not limited to, air soft, BB, paintball, pellet, water, replica or counterfeit look-a-like firearms.

**Knives** – Possessing, carrying or using any knife with a blade longer than three inches.

**Other Dangerous or Deadly Weapons** – Ammunition, arrows, batons, blow-darts, blow-dart guns or tubes, bows, brass knuckles, martial arts weapons, electronic stun devices, sling shots, swords, throwing stars, or other dangerous or deadly weapon.

**Any Object Intended for Use as a Weapon** – Any object intended for use as, or used as, a weapon, regardless of the original purpose of the object.

**Personal Safety Device (Chemical Spray)** – Persons are permitted to carry chemical spray, that is sold for personal protection, however persons choosing to carry chemical spray are responsible for ensuring that they are properly secured, maintained, only used for defensive purposes and according to manufacture instructions.

## Exceptions

**Law Enforcement** – Sworn law enforcement officers authorized to possess firearms.

**Educational Purposes** – Certain weapons may be approved for academic instruction or research purposes. Prior authorization from the Director of Public Safety or designee is required.

**Any further questions on this policy should be directed to the Public Safety at 812-464-1845.**

## Accessions, Deaccessions, and Loans Policy for the University Art Collection

### Date

12/18

### Item

F.35

The Board of Trustees has approved a policy and procedures policy for the University Art Collection. The purpose of the University of Southern Indiana Art Collection is to promote and advance knowledge of visual art for members of the University community and the surrounding region. The mission of the University of Southern Indiana Art Collection is to provide educational and aesthetic experiences for members of the University community and the surrounding region through the exhibition, research, and preservation of original works of art.

The University Art Collection acquires objects of aesthetic expression such as fine art paintings, drawings, prints, photography, film, video and sculpture as well as ceramics, textile, glass, wood and metal works. Future additions or accessions to the University Art Collection will be based upon the ability of the University, under the direction of the Art Collection Registrar and 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 the 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.

The removal or deaccession of artwork from the University Collection must be proposed by the Art Collection Registrar and reviewed by the Art Collection Committee in accordance with University Art Collection procedures. All loans of works from the University Art Collection must be proposed by the Art Collection Registrar and reviewed by the Art Collection Committee in accordance with University Art Collection procedures. 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 Government Relations Office.

## The Institutional Review Board for the Protection of Human Subjects in Research

### **Date**

2/23

### **Item**

F.36

The University's IRB, or Institutional Review Board, is a federally mandated committee of faculty, administrators, and community representatives, which is charged to review and approve all research protocols involving humans as participants and created by anyone affiliated with the University of Southern Indiana (USI).

The mission of the USI IRB is to ensure protection of the rights of human subjects who participate in research activities conducted by the University community. The IRB is committed to the standards that ensure research is conducted in an ethical manner and complies with government regulations, ensuring the safety and wellbeing of human subjects at the highest level of excellence. USI complies with the ethical principles set forth in the Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research. In addition, USI complies with federal regulations (45 Code of Federal Regulations [CFR] Part 46) concerning research involving human subjects, regardless of the source of funding, as outlined in the Office of Human Research Protections (OHRP) by the United States Department of Health and Human Services (DHHS). USI is committed to standards of excellence for all research activities from the University community.

The IRB is considered a standing committee of USI. The IRB will be comprised of no fewer than nine (9) members who are committed to serving three-year renewable terms. A member may run for re-election an unlimited number of times. The composition of the membership of the IRB will be at least two representatives from each USI college unit, one community member, and at least three at large members.

USI has delegated authority to the IRB which will be empowered to:

1. Review all funded and unfunded research proposals by faculty, students, or staff that involves the use of human subjects. This review must take place prior to the beginning of the research.
2. Ensure that researchers have procedures in place to fully inform subjects about the nature, purposes, risks, and benefits of the research, and obtain informed consent as applicable.
3. Educate the university community as to the responsibilities and duties of those conducting sound and ethical human subject research.

4. Determine the type of review (exempt, expedited, or full board) the research requires.
5. Disapprove, recommend modification, or approve research proposals based upon standards that ensure research is conducted in an ethical manner and complies with government regulations, ensuring the safety and wellbeing of human subjects at the highest level of excellence based upon the protection of human subjects.
6. Suspend or terminate any human subject research that is not proposed or conducted within USI IRB and federal human subjects research guidelines.
7. Require progress reports and/or monitoring as deemed necessary.

Under the terms of the university's current Federal-wide Assurance, the Director of the Office of Sponsored Projects and Research (OSPR) serves as the Human Protections Administrator. The Office of Sponsored Projects and Research is responsible for the administration of the IRB.

For more information on the IRB policies, visit OSPR's website at [www.usi.edu/ospra](http://www.usi.edu/ospra).

## Intellectual Property Policy

### Date

8/03

### Item

F.37

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 multi-faceted 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. The University will make syllabi available under a CC-BY 4.0 or CC-BY-SA 4.0 license. For purposes of instructional continuity, faculty creator(s) shall assign Creative Commons licenses to all teaching and course materials, or shall otherwise assign non-exclusive rights for these materials to the University for three years for instructional continuity.

**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 service marks.

**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 or lists of suggested readings. Study guides for tests, lecture notes, handouts etc., even when they are attached or linked to a syllabus, are considered original teaching or course materials and not syllabus content.

**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.

Approved by University Board of Trustees  
May 2003

## Conflicts of Interest: Compliance Disclosure Requirements

**Date**

12/15

**Item**

F.38

### SCOPE OF REQUIREMENTS

Indiana law (IC-35-44.1-1-4) states that a public servant commits conflict of interest, a Level 6 felony, if the public servant knowingly or intentionally has a pecuniary (financial) 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 35-31.5-2-144, IC 35-31.5-2-145, and IC 35-31.5-2-261) 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. (IC 35-44.1-1-4(c)(6)).

The Board reviews each potential conflict of interest and files all approved disclosures with the State Board of Accounts. (IC-35-44.1-1-4(d)).

### 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 defines the term “pecuniary interest” as an interest in a contract or purchase if the contract or purchase will result or is intended to result in an ascertainable increase in the income or net worth of:

- a. The public servant; or
- b. A dependent of the public servant who:

- i. is under the direct or indirect administrative control of the public servant; or
- ii. Receives a contract or purchase order that is reviewed, approved, or directly or indirectly administered by the public servant.

If there is any doubt, a disclosure statement should be filed. Examples of possible conflict include but are not limited to:

- 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.
- d. Selection of any vendor, contractor, subcontractor, or consultant who is a relative of the individual making the selection must be disclosed under this policy.
- e. 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, director of athletics, and director of procurement services 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 Finance and Administration. Copies of the conflicts of interest disclosure statements may be obtained from that office or downloaded from the Finance and Administration website at [www.usi.edu/finance-and-administration/](http://www.usi.edu/finance-and-administration/).

## TRUSTEE APPROVAL

IC 35-44.1-1-4 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 Finance and Administration 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 Finance and Administration.

## Fraud Policy Statement

### Date

7/16

### Item

F.39

## 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 Finance and Administration 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.

## 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 or misconduct will be protected from reprisal or retaliatory action as stated in the *Whistleblower Policy F.54*. 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., Public Safety, Human Resources, and Risk Management) and external law enforcement officials/agencies as appropriate and in accordance with the following guidelines:

1. All investigations will be conducted in the strictest confidence.
2. If an investigation reveals theft/fraud, charges will be filed with the appropriate criminal justice authority.
3. Restitution, including costs associated with the investigation, may be required from the accused.
4. Senior administrators, in consultation with 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](mailto:fraud@usi.edu).
3. File an anonymous report:
  - a. Access the Fraud Hotline link on the Finance and Administration web page at [www.usi.edu/finance-and-administration/](http://www.usi.edu/finance-and-administration/); or
  - b. 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 other designated member of the internal audit staff. The identity of the individual conveying information will remain confidential to the extent possible within the legitimate needs of the law and the investigation.

A reporter of fraudulent activity may remain anonymous. Because investigators are unable to interview anonymous reporters, it may be difficult to evaluate the credibility of the allegations. Therefore, it is critical that anonymous reporters 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.

## Facilities & Administrative (F&A) Cost Policy

### Date

1/15

### Item

F.40

### 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 Office of Sponsored Projects and Research Administration website – [www.usi.edu/OSPRA](http://www.usi.edu/OSPRA).

### 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 executive director of Sponsored Projects and Research Administration, who will consult with the dean of the principal investigator's college or division. 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 Office of Sponsored Projects and Research Administration.
- 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 executive director of Office of Sponsored Projects and Research Administration 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 executive director of Office of Sponsored Projects and Research Administration and the cognizant dean(s) or equivalent administrator(s).

## Illicit Discharges and Illegal Dumping

### **Date**

2/08

### **Item**

F.41

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

## **Date**

2/08

## **Item**

F.42

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.

# Lactation Accommodation Policy

## **Date**

7/15

## **Item**

F.43

The University of Southern Indiana is committed to providing a family friendly work and learning environment by helping employees and students achieve success at work and school, and in their personal lives. In keeping with that commitment and in compliance with federal and state law, the University supports a nursing mother's need to express milk for her infant child while working or learning at USI. Colleagues, management and teaching faculty are encouraged to be accepting and supportive of nursing mothers.

The University provides private locations (not toilet stalls) where a student or an employee can pump breast milk. For questions regarding the location and scheduling of lactation rooms, contact the Recreation, Fitness and Wellness Center, the University Health Center, or Human Resources.

## **Employees**

Mothers who have milk expression needs for their own infant children are expected to make the request to their supervisors with reasonable notice time and in accordance with the department's usual procedure for notice. Supervisors should respond to reasonable requests within the department's normal procedures. Employees are expected to use normal break and meal times as opportunities to express milk, to the extent possible. Breaks for expressing milk are unpaid unless they correspond to a time that is otherwise available as a paid break. Employees may be able to make up any unpaid time with work time subject to supervisory approval. For more information on break periods, please see Section D.3 of the University Handbook. The University will either provide a refrigerator (or other cold storage space) for keeping milk that has been pumped or allow the employee to provide their own portable cold storage device for keeping milk that has been pumped until the end of the employee's work day. This policy does not accommodate breastfeeding children during working hours or expressing milk for purposes other than to feed the employee's own child.



## Students

Student mothers are encouraged to plan class schedules effectively so that their needs to express milk do not ordinarily interfere with adhering to each class's schedule.

## Whistleblower Policy

### Date

7/16

### Item

F.44

### PREMISE

The University of Southern Indiana is committed to protecting from retaliation individuals who, acting in good faith, disclose unlawful, fraudulent, or other acts of misconduct. Retaliation against any individual for making a good faith disclosure, participating in an investigation of a good faith disclosure, or enforcing this policy is strictly prohibited. Overt or covert acts of retaliation against an individual or group for exercising rights or responsibilities under this policy will be subject to appropriate and prompt disciplinary or remedial action.

### POLICY STATEMENT

All University faculty, staff, and students are required to follow the policies set forth by the University to maintain and uphold the integrity and quality of education, business, and research activities provided by USI. If an individual knows of an unlawful, fraudulent, or other act of misconduct that violates University policy or state and/or federal laws or regulations, or coercion by a University faculty or staff member to commit an unlawful act, he or she is encouraged to contact the Fraud Hotline (812-465-1028 or [fraud@usi.edu](mailto:fraud@usi.edu)) or the appropriate University official:

- Internal Audit Department – Unlawful acts, fraud (see policy Item F.39), or other misconduct
- OSPR, Research Integrity Officer (RIO) – Research misconduct (see policy Item F.28)
- Dean of Students – Academic misconduct and violations of the Student Rights and Responsibilities: A Code of Student Behavior
- Human Resources – Employee misconduct
- Public Safety – Suspicious behavior and criminal law violations that occur on University property
- Athletic Director – NCAA rules and violations

This policy is meant to protect from retaliation any person who is making a good faith disclosure to University officials. This policy is not to be used to bring knowingly false allegations of misconduct against any employee, student, volunteer, agent, or contractor. Disciplinary action will be taken against any individual found to have made a report of misconduct in bad faith, or any individual who, in bad faith, is found to have encouraged another person or group to make such a report.

### DEFINITIONS

Whistleblower (Reporting Individual): A person or entity making a protected good faith disclosure of suspected fraudulent behavior or misconduct is commonly referred to as a whistleblower. Whistleblowers may be employees, students, vendors, contractors, or the general public. The whistleblower does not investigate the facts or determine the corrective or remedial action that may be warranted.

Good Faith Disclosure: Any communication or report about actual or suspected misconduct engaged in by a University employee, student, volunteer, agent, or contractor (who is not also the reporting individual) based upon a good faith and reasonable belief that the conduct has both occurred and is wrongful under applicable law, regulation, and/or University policy. Communications or reports made in good faith do not disregard facts that would refute such communication or report and are not based upon bias, malice, or other ill intent.

Fraud or Fraudulent Act: Defined in Fraud Policy (see Item F.39)

**Misconduct:** Any act that violates a University policy or state or federal law or regulation being committed by a University employee, student, volunteer, agent, or contractor. Misconduct includes, but is not limited to fraud (Item F.39), research misconduct (Item F.28), theft, bribery, misuse of University property, waste, mismanagement of funds, abuse of authority, or coercion by a University faculty or staff member to commit an unlawful act.

**Retaliation:** Any overt or covert adverse action, including but not limited to harassment, demotion, expulsion, suspension, reassignment, or termination, against any person for making a good faith disclosure, participating in an investigation involving a good faith disclosure, or enforcing this policy.

## RESPONSIBILITIES

1. Whistleblower
  - a. Any individual with information regarding fraud or misconduct on the part of any University employee, student, volunteer, agent, or contractor that violates a University policy or a state or federal law or regulation in connection with their duties to the University is encouraged to make a good faith disclosure to the appropriate University official (see list).
  - b. Refer to the Fraud Policy (Item F.39) or utilize the Fraud Policy Statement link (<https://www.usi.edu/finance-and-administration/fraud-policy-statement/>) for information on how to report fraud or misconduct.
  - c. For information on how to report research misconduct, see the Research Integrity Policy (Item F.28).
  - d. File a written complaint with the Research Integrity Officer (RIO) if related to research misconduct or with Internal Audit if related to fraud or other misconduct if the individual believes he or she has been retaliated against for having made a good faith disclosure or participating in an investigation of a good faith disclosure.
2. Managers and Supervisors
  - a. Speak confidentially with reporting individuals when approached concerning good faith disclosures.
  - b. Take appropriate action, including contacting or referring the matter to the appropriate University official (see list above).
  - c. Provide an environment free from retaliation.
3. Research Integrity Officer or Internal Audit
  - a. Investigate good faith disclosures regarding research misconduct and Fraud or other Misconduct.
  - b. Receive and investigate complaints of retaliation under this policy.
  - c. Provide education and training about this policy.

## WHISTLEBLOWER PROTECTION

Following a good faith disclosure, the University will take reasonable steps to protect the reporting individual from retaliation.

The University cannot guarantee confidentiality, but generally, the whistleblower'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.

University employees have whistleblower protection under Indiana Code 21-39-3, which can be reviewed online at <http://www.in.gov/legislative/ic/code/title21/ar39/ch3.html>.

University employees also have federal whistleblower rights and protections under 41 U.S.C. § 4712 as a result of the University's receipt of federal funds as grantee, contractor, or subcontractor.

Nothing in this policy shall be construed in such a way as to conflict with the provisions and protection of federal laws and regulations or the Indiana Code.

## COMPLAINTS OF RETALIATION

Individuals who believe they have experienced retaliation are encouraged to file a written complaint with the Research Integrity Officer (retaliation related to reports of research misconduct) or Internal Audit (retaliation related to reports of fraud or other misconduct).

The Research Integrity Officer or Internal Audit will receive and investigate complaints of retaliation and may consult with Human Resources personnel and/or legal counsel in conjunction with the investigation and determination of the merits of the complaint.

Notwithstanding the above, if the complaint of retaliation is eligible for review under another policy or an existing grievance or complaint resolution process, the Research Integrity Officer or Internal Audit or his or her designee may refer the complaint of retaliation to the appropriate University official for resolution in accordance with that policy or resolution process.

## Memorial Tribute Policy

### **Date**

8/17

### **Item**

F.45

Honoring or remembering a special person with a gift to the University of Southern Indiana makes for a personal and lasting tribute.

Two tribute options are available at USI through the University of Southern Indiana Foundation (USI Foundation) in honor of or in memory of an individual:

1. Annual scholarships or permanent scholarship endowments
2. Tribute Tree Program

Please contact the USI Foundation/Development Office for a detailed explanation of these options or visit <https://www.usi.edu/giving/>.

## Background Checks for Faculty and Staff

### **Date**

7/22

### **Item**

F.46

### **Before Hiring**

Applicants for employment are subject to screening requirements that include criminal background and sex offender registry checks, as well as references. Search committees and hiring managers, in coordination with Human Resources Employment staff members, must ensure that these screening processes are conducted prior to hiring full-time and part-time employees. These requirements do not apply to student worker or graduate assistant positions and may not fully apply to temporary, non-benefits eligible, non-faculty positions. Offers of employment may be made contingent upon completion of satisfactory background check results. Satisfactory background check results must be received prior to start date. In rare situations the Executive Director of Human Resources in consultation with the Provost or Vice President may allow a new hire to start prior to receipt of successful background check results.

### **Evaluation of Convictions and Non-Discrimination**

The existence of a conviction does not automatically disqualify an individual from employment, continued employment, or volunteer activities. In evaluating convictions, factors the University will consider include, but are not limited to: the nature and seriousness of the offense, the length of time since the conviction, and the nature of the position (or volunteer assignment) applied for or held. Information about convictions will not be used to discriminate.

## Compliance with the Fair Credit Reporting Act

The University will comply with all requirements of the Fair Credit Reporting Act.

## University Web and Digital Content

### Date

2/23

### Item

F.47

University Web and Digital Content functions as the central web team of the University and manages the public web presence at [usi.edu](http://usi.edu). The department provides technical expertise and knowledge of web trends and development standards and how they relate to section 508 web accessibility standards. University Web adheres to University branding guidelines and establishes universal templates and styles to create a cohesive web presence for University web sites.

University Web and Digital Content consults with content stakeholders to recommend best practices for information architecture, search engine optimization, and website strategy. The department also creates databases and web programming to deliver dynamic data to online users. University Web does not charge for its services and therefore those services are limited to official University departments, colleges and outreach programs.

Due to compatibility concerns among servers, software, programming languages and accessibility compliance, any web application or software to be used with University web sites should be approved by the director of University Web and Digital Content. Online forms are created through Qualtrics and administered by the Institutional Analytics Office. Online transactions requiring financial information are created through TouchNet and administered by the Business Office.

University Web and Digital Content utilizes a Content Management System (CMS) as a tool for content editors to easily update and manage the content on departmental websites. University Web is responsible for creating the CMS templates and development of the layout, appearance and styles utilized by colleges and departments. All templates meet University branding guidelines. University Web manages access for designated editors across campus. Training resources are available online at [usi.edu/web](http://usi.edu/web). In the event of abandoned, outdated or inappropriate content, University Web has the authority to add, alter or remove content on the University website at any time. Web editing permission may be revoked at the discretion of the director of University Web and Digital Content due to neglect of web editing duties, disregard for web accessibility standards, lack of conformance to brand standards, publishing inappropriate content or violation of University policy.

**Faculty websites** are available upon request and are created with the CMS. Directory information is automatically pulled into the faculty homepage. Additional content and biographical information may be added by faculty. Content published on faculty websites should be professional in nature. Faculty are responsible for the creation and maintenance of individual webpages.

University Web and Digital Content maintains a USI data collection and privacy statement found at [www.usi.edu/policies/web-privacy](http://www.usi.edu/policies/web-privacy).

## SOCIAL MEDIA

USI encourages the University community to actively engage with USI's social media presence. Social media guidelines can be found at [www.usi.edu/social-media](http://www.usi.edu/social-media).

## Drone (Unmanned Aircraft) Use Policy

### Date

1/22

### Item

F.48

## PREMISE

This policy applies to the following:

1. University of Southern Indiana (USI or University) employees and students operating unmanned aircraft systems (UAS) that are owned by USI and/or initiated takeoff from the USI main campus or any other USI property or from any location as part of their University employment or as part of University activities.
2. The purchase of a UAS with funding through the University, including University accounts, grants or USI Foundation accounts.
3. The operation by any person of UAS or model aircraft initiating takeoff from any USI property.

## POLICY STATEMENT

The operation of UAS, including drones and model aircraft, is regulated by the Federal Aviation Administration (FAA) and relevant laws. The University will establish procedures in an effort to ensure compliance with such legal obligations and to reduce risks to safety, security and privacy.

## REASON FOR POLICY

USI must comply with FAA requirements, state and local law and any other applicable laws or regulations regarding UAS. Inherent risks in the operation of such equipment require additional insurance provisions and policy considerations. For more information regarding UAS, visit the FAA website at <http://www.faa.gov/uas>.

## PROCEDURES

1. All USI employees and students are personally responsible for complying with FAA regulations including for Educational Users ([https://www.faa.gov/uas/educational\\_users/](https://www.faa.gov/uas/educational_users/)) and UAS Remote Identification ([https://www.faa.gov/uas/getting\\_started/remote\\_id/](https://www.faa.gov/uas/getting_started/remote_id/)), in addition to state, federal, and local laws, and University policies.
2. Since publicly funded universities are considered public Remote Pilots in Command under FAA guidelines, any USI employee or student wishing to operate a UAS as part of their University employment or as part of a University program may first need to obtain a COA issued by the FAA. USI's Risk Management office must be consulted and given a copy of the issued COA documents. Similarly, any University employee, student or department purchasing a UAS (or parts to assemble a UAS) with University funds or funds being distributed through a University account or grant funds must contact Risk Management to assess the University's ability to obtain a COA, qualify for other necessary FAA exemptions and/or meet state and local compliance requirements.

Exemption per FAA May 4, 2016 memo—"Students that operate model aircraft in connection with fulfilling an accredited educational institutions' curricula may conduct model aircraft operations for hobby and recreation purposes pursuant to section 336 of the FMRA, provided they do not receive compensation, directly or incidentally."

"Faculty may assist students with their model aircraft operations under section 336, provided that the operations are used to teach such curricula to students enrolled in these courses and the faculty member's participation is limited to de minimis participation in the student's UAS operations. The FAA emphasizes that faculty members who wish to operate UAS outside of these parameters must seek authorization..."

3. Any third party or hobbyist wishing to use a UAS or model aircraft initiating flight from USI's main campus or any USI owned property must receive approval through Risk Management as set forth in this policy. Third parties or hobbyists must also provide proof of a current FAA registration while following FAA rules at [https://www.faa.gov/uas/commercial\\_operators/](https://www.faa.gov/uas/commercial_operators/) or [https://www.faa.gov/uas/recreational\\_fliers/](https://www.faa.gov/uas/recreational_fliers/). Additionally, any hobbyist or third party who operates a UAS or model aircraft initiating takeoff from USI property must execute documentation provided by the Risk Management office which holds the University harmless and

indemnifies the University from any resulting claims, harm to individuals and/ damage to property, and provides insurance for the benefit of USI as required by Risk Management.

4. USI has a “NO UAS POLICY” unless the user notifies Risk Management at least 72 hours from acknowledged receipt prior to the planned UAS operation departing from USI property and, as long as all information requested in Section 5 below is submitted. Notifications are to be submitted in writing to Risk Management. Approval by USI’s Risk Management does not relieve the Remote Pilot in Command of the UAS or model aircraft from individually obtaining and complying with all other necessary approvals required by the FAA, state, federal or local laws.
5. The Remote Pilot in Command must provide a response and/or include the following information in the notification to Risk Management:

A. Remote Pilot in Command Information:

1. Remote Pilot in Command Name:
2. Remote Pilot in Command Address:
3. City, State and Zip:
4. Email address:
5. Mobile Phone Number: \
6. Company Name (if applicable):

B. Drone Owner’s information if different from Remote Pilot in Command above in #1

1. Owners Name:
2. Owner Address:
3. City, State and Zip:
4. Email address:
5. Mobile Phone Number:
6. Company Name (if applicable):

C. Is the drone Remote Pilot in Command licensed through the Federal Aviation Administration? YES or NO

1. If Yes, provide Drone Remote Pilot in Command FAA certificate number:

D. Is the UAV/UAS Drone registered with the FAA? YES or NO

E. Provide a copy of the FAA Registration, Registration Number, Make, Model, and Weight for the UAV/UAS Drone:

F. Will the flight take place at USI \_\_\_Indoors \_\_\_Outdoors \_\_\_Both

G. Flight Request Information

1. Flight Date(s):
2. Alternate Flight Date(s):
3. Flight Start Time:
4. Flight End Time:
5. Maximum Flight Height:
6. Flight Purpose:
7. Specify where on the USI campus the flight will take place and include a Flight Area Map per flight:
8. Any other information:

H. Insurance Requirements

1. Commercial General Liability: Minimum of \$1,000,000 per occurrence with USI endorsed as additional insured.

2. Auto Liability: Prefer a \$1,000,000 per occurrence, however, minimum required is \$100,000 per person / \$300,000 per occurrence covering “Any Autos” including owned, leased, non-owned and hired vehicles
3. Workers’ Compensation: Statutory benefits applicable in state where work provided
4. Employers Liability: \$1,000,000 (if your company carries less than this stated amount, please contact USI Risk Management directly at 812-465-7003.)
5. Aircraft Liability: \$1,000,000 with USI endorsed as additional insured
6. Approval by USI’s Risk Management for the operation of the UAS or model aircraft, once given, may be rescinded by the University if it is determined that the information provided is incorrect, incomplete or if circumstances have changed and a determination is made that the planned operation is not in the best interest of the University. The University also reserves the right to immediately order the cessation of any operation of UAS or model aircraft on or above USI property that initiated takeoff from USI property which is deemed to create a hazard or interference with USI property, any USI activity, and/or the USI community. Except as may otherwise be provided herein, all Remote Pilots in Command of UAS or model aircraft with takeoff initiating from USI property on or above USI property shall indemnify the University and shall hold the University harmless from any resulting claims, harm to individuals and/or damage to property.

## APPROPRIATE AND PROHIBITED USES

- UAS shall not be used to monitor or record areas where there is a reasonable expectation of privacy in accordance with accepted social norms. These areas include, but are not limited to, restrooms, locker rooms, individual residential rooms, changing or dressing rooms and health treatment rooms.
- UAS shall not be used to monitor or record residential hallways, residential lounges or the insides of campus daycare facilities.
- UAS shall not be used to monitor or record sensitive institutional or personal information which may be found, for example, in an individual’s workspaces, on computers or other electronic displays.
- The proposed operation of the UAS must not pose an unacceptable threat to safety, privacy or the environment.

## DEFINITIONS

**USI property:** Buildings, facilities, grounds, and land that are owned by the University of Southern Indiana or controlled by the University via leases or other formal contractual arrangements to house ongoing USI operations.

**COA:** Certificate of Authorization or Certification of Waiver (as applicable). According to the FAA, the COA is an authorization issued by the Air Traffic Organization to a public Remote Pilot in Command (which include publicly funded universities) for a specific UAS activity. After a complete application is submitted, FAA conducts a comprehensive operational and technical review. If necessary, provisions or limitations may be imposed as part of the approval to ensure the UAS can operate safely with other airspace users. In most cases, FAA will provide a formal response within 60 days from the time a completed application is submitted.

**333 Exemption:** A 333 Exemption is based on Section 333 of the FAA Modernization and Reform Act of 2012 which grants the Secretary of Transportation the authority to determine whether an airworthiness certificate is required for a UAS to operate safely in the National Airspace System. A grant of an exemption in accordance with Section 333 is generally granted in addition to a civil COA and may be used to perform commercial operations in low-risk, controlled environments.

**Unmanned Aircraft Systems (UAS):** UAS also are known as, or may be characterized as, drones. According to the FAA, a UAS is the unmanned aircraft and all the associated support equipment, control station, data links, telemetry, communications, and navigation equipment, etc., necessary to operate the unmanned aircraft. UAS may have a variety of names including quadcopter, quadrotor, etc. FAA regulation and this policy applies to UAS, regardless of size or weight.

**Model Aircraft:** Model aircraft are not for business purposes, only for hobby and recreation, and generally do not have the FAA requirement for special authorizations or waivers. Safety guidelines generally require that model

aircraft weigh less than 55 pounds, operate below 400 feet, remain within the Remote Pilot in Command's line of sight, avoid operating over people or stadiums, remain clear of other aircraft, and avoid operating within five miles of an airport without prior control tower approval.

## SANCTIONS

- Any violations of University policies by an individual will be dealt with in accordance with applicable University policies and procedures, which may include disciplinary actions up to and including termination from the University and/or restrictions regarding access to USI property.
- Legal prohibitions regarding physical presence on campus/trespassing and other legal action also may be pursued against third parties that operate UAS in violation of this policy.
- Fines or damages incurred by individuals or entities that do not comply with this policy or other applicable federal, state or local regulations will not be paid by USI and will be the responsibility of those persons or entities involved.

No statement, action or omission of the University shall be considered to be a waiver of any right, including, but not by way of limitation, any failure of the University to insist upon the strict performance of term or condition of this policy, or to exercise any right or remedy consequent upon a breach thereof. No remedy hereunder shall be deemed exclusive, but shall, whenever possible, be cumulative with all other remedies at law or in equity.

## QUESTIONS OR CONCERNS

For questions or concerns regarding this policy, contact Risk Management at [USIRiskmgt@usi.edu](mailto:USIRiskmgt@usi.edu) or call 812-465-7003.

## POLICY CHANGES

The University may make changes to this policy to comply with necessary legal and regulatory requirements. The University recommends that individuals review applicable FAA regulations and this policy occasionally to familiarize themselves with any changes or alterations.

## Solicitors on Campus -- Independent Textbook Buyers

### Date

8/16

### Item

F.49

## PREMISE

Independent textbook buyers are a fact of life on every college campus. They solicit faculty and staff members directly, seeking to purchase the complimentary copies of books that accumulate when considering texts for adoption, as well as the desk copies of books no longer used in courses. These textbook buyers do not represent the interests of faculty, students, or textbook publishers. Furthermore, selling complimentary copies of textbooks to independent textbook buyers adversely affects the entire academic community:

- a. Professor-authors are deprived of economic return in royalties, and incentives to write textbooks are diminished.
- b. Students generally do not benefit from the sale of complimentary copies, as these books are sold at or only slightly below the new book price.
- c. Selling complimentary textbooks inflates the cost of all textbooks, as publishers must compensate for revenue lost from the sale of new books.
- d. Selling complimentary copies violates the tradition of respect by professors for the intellectual work of their colleagues and for the textbook publishers.
- e. Sometimes these textbooks actually turn out to be annotated instructor copies which include the answers to the problems given in the textbook.



- f. The future availability of complimentary textbooks may be jeopardized by the reluctance of publishers to risk further financial loss. Some textbook publishers have refused to honor legitimate complimentary/desk copy requests from USI faculty.

## POLICY STATEMENT

It is the policy of the University of Southern Indiana to prohibit all independent textbook buyers from soliciting faculty and staff for the purchase of textbooks on the grounds, in the buildings, and/or on equipment or networks owned/operated by the University. When approached by such solicitors, whether in-person, by telephone, or any electronic means of communication, faculty and staff shall decline to sell them any books, inform them of this policy, and ask them to leave the campus and refrain from future solicitation in any form. Individuals may choose, however, to ask the Office of Public Safety to handle the matter fully. In any case, the Office of Public Safety should be notified if a solicitor refuses to leave the campus after being asked to do so.

Anyone found to have violated this policy will be subject to disciplinary action by the University, up to and including termination.

## DEFINITIONS

Independent Textbook Buyers: Independent operators who share no affiliation with textbook publishing/buying companies. It is important that these individuals not be confused with the publisher representatives seen regularly on campus for there exists a critical distinction between the two: Independent textbook buyers do not provide a service and are motivated strictly by personal gain.

Publisher Representatives: Employees of established companies who serve the vital function of providing faculty with the most relevant, up-to-date textbooks for use in courses.

## RESPONSIBILITIES

Employees who know or suspect that other employees are engaged in activities that violate this policy 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 in the Fraud Policy Statement Item F.39 under Reporting a Fraud.

Employees who report suspected policy violations will be protected from reprisal or retaliatory action as stated in the Whistleblower Policy F.54.

## Child Protection Policy

### Date

8/20

### Item

F.50

The University of Southern Indiana ("University") is committed to taking appropriate measures to ensure the safety and well-being of children/minors [under Indiana law, a child is anyone who is **not yet 18** years of age], participating in University-related activities and to report instances of suspected or known child abuse or neglect as required by law.

### Scope

This Policy applies to

- All employees and volunteers of the University or University-affiliated organizations, regardless of the funding source.

- Organizations unrelated to the University that utilize University owned and leased facilities for programs which involve children (see Organizations Unrelated to the University below).
- The reporting requirements of this Policy apply to all students who interact with children as part of their academic program or work-related duties, whether on or off University owned or leased property.
- Visitors and guests with respect to conduct requirements.

## Policy Statement

The University is committed to protecting the safety and well-being of children who are on University owned or leased property, and/or who participate in University sponsored child-related programs and activities, both on and off campus, including but not limited to:

- childcare
- sport camps
- academic enrichment activities
- community outreach activities
- research studies
- student organizations

The participation of children in these activities requires an increased level of care, and the University requires all students, employees and volunteers to conduct themselves appropriately in the presence of children on campus and/or in University--related programs and activities.

## Duty to Report

- Indiana law (IC 31-33-5-1) states that **any person** who has reason to believe that a child is a victim of child abuse or neglect has an affirmative duty to make an oral report to the Indiana Department of Child Services; Child Protective Services (CPS) at **1--800--800--5556** or to their local law enforcement officials. Failure to report may result in criminal charges.
- In addition to notifying CPS or local law enforcement, state law and University policy also requires that administrators, faculty, staff, students, volunteers, and other University personnel report any suspected or known child abuse or neglect to the University Director of Public Safety or his/her designee ("University Director of Public Safety").
- The University Director of Public Safety has the obligation to report any suspected abuse to CPS, which will investigate.

## Background Checks

All University employees are subject to Human Resources Department procedures regarding criminal background and sex offender registry checks.

All employees and volunteers must have a sex offender registry check completed prior to each event.

No University sponsored child--related program may permit the participation in the program of any university employee, student, or volunteer whose criminal background and/or sex offender registry check includes a record of sexually based offenses or crimes against children/minors. If criminal background includes a record of other offenses, programs should consult the Director of Public Safety or his designee) to determine if those offenses should preclude participation.

Program administrators, or their designee, must compile the names, date of birth, valid phone number and employee ID numbers of all employees, including student workers and volunteers prior to the event. These names and date of birth should be submitted to Public Safety at least 10 business days prior to the program. Public Safety will generate an event ID for these persons to be picked up and distributed by the program administrator or their designee prior to the event. All employees and volunteers must present a valid government-issued photo identification to be checked

at the event to receive their badge. Any person that has not been screened prior to the event will need to report to Public Safety to be screened and issued a badge. Persons without a valid government issued identification may not be allowed to participate in the event.

## Organizations Unrelated to the University

Organizations unrelated to the University that utilize University owned and leased facilities for programs which involve children/minors must conduct criminal background checks, to include sexual offender checks using appropriate data sources, on each of their employees, volunteers and representatives who participate in the programs and implement their own supervision, conduct, and reporting requirements for those programs. These standards of supervision, conduct and reporting must be no less thorough than the standards imposed by the University for child--related activities it sponsors. All background checks must be completed and a list of these names must be forwarded to public safety 10 business days before the day the program begins. Public Safety will generate an event ID for these persons to be picked up and distributed by an organization representative prior to the event. If any background check uncovers a criminal conviction or information concerning child abuse, the organization must exclude that person from participating in the program. Any person that has not been screened prior to the event will need to report to Public Safety to be screened and issued an event id. Persons without a valid government issued identification may not be allowed to participate in the event.

## Contracts with Organizations Unrelated to the University

Terms and conditions of contractual agreements with parties unrelated to the University concerning use of University facilities for programs involving children/minors must include a requirement that the unrelated party conduct background checks and implement their own supervision, conduct, and reporting requirements for those programs. These standards of supervision, conduct and reporting must be no less thorough than the standards imposed by the University for child related activities it sponsors. When appropriate, such contracts will also include an indemnification provision in which the University is held harmless for the inappropriate or unlawful acts or omissions of any individual participating in a program.

## Supervision

Authorized adult supervision is required for all children/minors not registered for University credit courses who are participating in a University sponsored program, whether on or off campus, or an activity conducted by organizations unrelated to the University on University owned or leased property. It is recommended that two or more authorized adult supervisors be present at activities involving children/minors. In the event this is not possible, at a minimum, one authorized adult and another adult are required for all such activities. Unsupervised one--on--one contact with children/minors is prohibited. When staying overnight, no child/minor is permitted to sleep in the room of an adult other than the child's/minor's parent or guardian.

All individuals, to whom this Policy applies, must make every reasonable effort to ensure the safety of children/minors participating in programs covered by this Policy, including removal of children/minors from dangerous or potentially dangerous situations, irrespective of any other limitation or requirement. University sponsored programs that include or serve children/minors shall have in place (and must enforce) policies that address the following areas, if they are applicable to the program:

- Transportation – including the transportation of children/minors at the beginning and end of the program, to and from the program, and within the program, whether by parents, guardians, staff or others. University programs must also comply with University policies regarding drivers and vehicles.
- Plans for weather emergencies, if the program is not inside a University owned or leased structure where such plans are in place.
- Appropriate levels of access to and supervision of children/minors.
- Appropriate physical contact and communication by program participants, with children/minors based on the age of the children/minor and the nature of the programs.
- Appropriate forms including permission forms, medical contact information and liability waivers. Forms should be safeguarded and readily available.
- First aid treatment.

University sponsored programs including overnight stays or use of University owned or leased residences by children/minor shall have the following additional policies in place:

Identification to be worn by staff members and other participants if appropriate.

- Curfews.
- Code of conduct for participants.
- Substance--free housing and facilities.
- Residential supervision.

## Conduct Requirements

University employees, students and volunteers must conduct themselves appropriately in the presence of children/minors. Child abuse, neglect and inappropriate conduct, including but not limited to the following, is prohibited:

- Engaging in any form of physical (e.g., striking, hitting, shaking, administering corporal punishment), verbal, or emotional abuse of a child/minor.
- Engaging in sexually inappropriate conduct of any kind toward or in the presence of a child/minor, including but not limited to:
  - sexual abuse of a child/minor
  - touching a child/minor in an inappropriate or illegal manner
  - making pornography or other sexually inappropriate materials in any form available to a child/minor or assisting a child/minor in gaining access to such materials.
  - Using inappropriate language or making sexually suggestive comments around children/minors
- Engaging in the use of alcohol or illegal drugs, or being under the influence of alcohol or illegal drugs during programs or activities for children/minors.
- Enabling, facilitating, or failing to appropriately address a child's/minor's use of alcohol or illegal/ non--prescribed drugs.
- \*Neglecting the duty of care for a child/minor under the adult's supervision, including but not limited to:
  - failing to protect children's/minor's health and safety
  - failing to ensure the use of appropriate protective equipment (for example, in laboratory or athletic participation)
  - leaving children/minors unsupervised, absent highly unusual circumstances where the health and safety of an adult or child/minor is at risk
  - using inappropriate language (e.g., curse words or words discriminatory in nature) in the presence of children/minors.

The conduct requirements listed in bullet points one through four above also apply to registered University students under the age of eighteen years.

\*Bullet point five may also apply to the extent that its provisions are reasonable and appropriate when considering the student's age.

## Reporting Procedures

- When child abuse or neglect is suspected by an individual, or a child/minor is believed to be in immediate danger, that individual **must report it immediately** to CPS (Indiana Child Abuse Hotline (1--800--800--5556)) and/or law enforcement (911). Suspected child abuse or neglect that has occurred off--campus should be reported to local law enforcement officials and/or CPS.
- Suspected cases of child abuse or neglect that occurred on University of Southern Indiana property, as part of a University of Southern Indiana program, or involves a University of Southern Indiana employee, student, or volunteer are also **required** by Indiana state law to be reported to a designated agent at the University. The designated agent for the University is the Director of Public Safety or his/her designee. Therefore, any

suspected cases of child abuse or neglect that occurred on University of Southern Indiana property, as part of a University of Southern Indiana program, or involves a University of Southern Indiana employee, student, or volunteer must be reported to the University Director of Public Safety / (812) 464--1845).

- Individuals who receive a report of child abuse or neglect, or who reasonably believe such abuse has occurred, must immediately report the abuse to local law enforcement and/or CPS and to the University Director of Public Safety, if the incident (s) occurred on University of Southern Indiana property, as part of a University of Southern Indiana program, or involves a University of Southern Indiana employee, student, or volunteer
- Individuals must report observed or alleged **inappropriate conduct** to the University Director of Public Safety or Human Resources. These offices will review the allegation(s) of inappropriate conduct.
- All employees and students who interact with children/minors as part of their work--related duties or academic program, and visitors to the University who have contact with children/minors, must be familiar with and abide by this Policy.

## Retaliation

Retaliatory action against anyone acting in good faith who has reported inappropriate conduct/child abuse or neglect in accordance with this Policy, or who has been involved in reporting, cooperating in an investigation, or responding to inappropriate conduct/child abuse or neglect, is a violation of this Policy. Retaliatory acts may include, but are not limited to:

- employment actions affecting salary, promotion, job duties, work schedules and/or work locations;
- actions negatively impacting a student's academic record or progress;
- any action affecting the campus environment, including harassment and intimidation.

Individuals are required to report all allegations of retaliation under this Policy to the Executive Director of Human Relations.

## Training Requirements

All University employees, students and volunteers, and University--affiliated organizations must complete University--approved training concerning this Policy.

## Responsibility

The administrator/ fiscal agent in charge of a University sponsored program shall be responsible for compliance with this Policy. Program--specific responsibilities and steps to be taken are found in Appendix 1.

University sponsored programs that include children/minors, and units responsible for University facilities that are used by programs involving children/minors, must maintain an up--to--date list of those programs. Such list should include each program's dates, times, locations, attendance (age range and number of participants), and a program contact, so that in the event of an emergency, consideration may be given to the possible presence of children/minors, and the appropriate course of action to address their health and safety. At least ten business) days prior to the start of a new program, the responsible University unit is required to submit this information to the Public Safety.

This Policy supplements and does not supersede any other legal requirements, for example, childcare or teacher licensure.

## Sanctions

Programs in violation of this Policy may be denied permission to continue operation at the University.

Any violations of University policies by an individual will be dealt with in accordance with applicable

University policies and procedures, which may include, but are not limited to, immediate suspension pending an investigation or disciplinary actions up to and including termination from the program or University. Other legal action may be pursued by the University.

## Definitions:

**Authorized adult:** University employees who are at least eighteen years of age and who are assigned to teach or otherwise perform work in a University sponsored program as part of their official job duties or a representative of a group that has obtained permission to use campus facilities from a University department or employee authorized to grant such permission.

**Child/minor:** A "child" under this definition generally means a person who is not yet 18 years of age or who is not an emancipated minor.

**Child abuse or neglect:** Physical, emotional, or verbal mistreatment of a child/minor, and/or engaging in sexual activity with a child/minor. Included are one or more physical acts which cause physical injury to a child/minor; acts likely to result in the emotional trauma of a child/minor; verbal threats of physical violence; and any behavior which results in touching of the sexual or other intimate parts of a child for the purpose of sexual gratification of the child/minor and/or adult, including touching by the child/minor and/or adult with or without clothing.

**Inappropriate conduct:** Actions or omissions which do not rise to the level of child abuse, but are otherwise prohibited under this Policy (see conduct requirements).

**University Sponsored Program:** The term "University sponsored program" includes ongoing or planned events that are designed by the University for children/minors such as camps, lessons, workshops, clubs, teams, projects, practices, tours, or open--houses.

The term "program" does not include:

1. Single performances or events open to the general public that are not designed for children/minors (such as varsity athletic competitions, plays, concerts).
2. Regularly scheduled classes or activities designed primarily for enrolled students who are age 17 and above (including new student orientation).
3. The placement of students, for academic credit and/or clinical or student teaching requirements, with external entities. Rather, when schools and/or departments place students at external entities for such purposes, students must be informed of their obligation to comply with the external entity's own policies and procedures, including those regarding background checks and working with children/minors.

**NOTE:** This definition may not capture every circumstance in which children/minors are present on campus, and the application of this policy may depend upon the facts in a particular circumstance.

## Appendix 1: Individual and Program Specific Responsibility

**All members of the University community, including visitors, vendors and guests must comply with the Conduct Requirements in this Policy.**

**University employees, students who interact with children/minors as part of their work--related duties or academic program, vendors, visitors and guests using University owned or leased property**

- Must engage in appropriate conduct when working with children/minors.
- Must remove a child/minor from dangerous or potentially dangerous situations immediately.
- Must report suspected child abuse and neglect to CPS, and/or law enforcement and University Director of Public Safety immediately. When working in an off--campus location, suspected child abuse and neglect must be reported to law enforcement officials and/or CPS and University Director of Public Safety.

**Individuals engaged in managing or supervising University sponsored programs where children/minors are present**

- Must implement procedures related to the duty of care including:
  - appropriate supervision at all times
  - protection of children's/minor's health and safety

- appropriate use of protective equipment.
- Must report suspected child abuse to CPS and/or law enforcement and to University Director of Public Safety immediately.
- And, campus units that are required to maintain state licenses (e.g., child care center) must keep such licenses current and prominently displayed.

#### **Administrator/Fiscal Agent in Charge of the Program must**

- Communicate the requirements of this Policy when approving use of University space for University sponsored programs that include children/minors.
- Address instances of inappropriate conduct effectively and immediately.
- Report suspected child abuse and neglect to CPS and/or law enforcement and to University Director of Public Safety immediately.
- Communicate the requirements of this Policy to all staff.

#### **University Director of Public Safety and his/her designee must**

- Report suspected abuse and neglect to CPS and/or law enforcement.

## **Information Security Policy**

### **Date**

1/22

### **Item**

F.51

### **Overview**

This document outlines the University of Southern Indiana's (USI) information security requirements for all employees. It is USI's policy to provide a security framework that will protect information assets from unauthorized access, loss or damage, or alteration while maintaining the university academic culture. USI management is committed to these security policies to protect information utilized by USI in achieving its mission.

### **Scope**

All employees, contractors, vendors and third-parties that use, maintain or handle USI information assets must follow this policy. This policy includes governance of hardware, software, data, facilities, and information systems including paper media. Policy exceptions will be permitted only if approved in advance and in writing by the Chief Information Officer (CIO) and are reviewed annually.

### **Roles and Responsibilities**

#### **All Users**

Each user of USI computing and information resources must realize the fundamental importance of information resources and recognize their responsibility for the safekeeping of those resources. Users must guard against abuses that disrupt or threaten the viability of all systems. The following are specific responsibilities of all USI information system users:

- Embracing the "Security is everyone's responsibility" philosophy to assist USI in meeting its strategic direction. This is a community responsibility to protect all our data. *Remember this data includes your personal information too.*
- Maintaining awareness of the contents of the information security policies and adhere to specific system usage, data handling, and storage requirements.
- Upon hire and at least annually, reading and acknowledgement of the USI Information Security and Data Communication and Computer Use policy.
- Completion of annual information security awareness training.

- Classifying confidential and sensitive information that is received, according to the Data Classification Policy. Limiting the distribution of this information accordingly.
- Understanding the consequences of their actions with regard to computing security practices and acting accordingly.

## Human Resources

Due to their direct and constant relationship with existing employees, as well as their unique position of having the first and last interactions with new/terminated employees, the Human Resources Department has an important role with regard to USI information security. The following items are the ongoing responsibility of the Human Resources Department:

- Assisting IT Security with publishing and disseminating USI information security policies and acceptable use guidance to all relevant system users.
- Performing background checks on potential employees based on role and access to sensitive data. When possible and within the constraints of local laws, background checks should include: previous employment history, criminal record, credit history, and reference checks.
- Working with IT Security on disseminating security awareness information to system users utilizing multiple methods of communicating awareness and educating employees (e.g. posters, letters, memos, web based training, meetings, promotions, etc.).
- Working with IT Security to administer sanctions and disciplinary action relative to violations of Information Security Policy.
- Notifying IT Security when any employee is terminated.

## Executive Administration

Due to their leadership requirements vice presidents, provosts, and other individuals with delegated executive authority have an important role with regard to USI information security. The following items are their ongoing responsibility:

- Assessing risks, compliance obligations, budgets, and financial costs associated with University information security and privacy, including **information security and privacy incidents** and **information security breaches** within their area of responsibility.
- Following the direction of the CIO and/or Security Team in connection with an information security and privacy incident investigation, and direct others to do so.
- Escalating Information Security policy exception requests to the CIO.
- Escalating Information Security policy violations to the CIO.

## Directors/Deans/Chairs

Due to their direct reporting relationship with their department employees, directors/deans have an important role with regard to USI information security. The following items are their ongoing responsibility:

- Carrying out the USI information security culture including the importance of training and awareness.
- Establishing operating procedures and guidelines needed to comply with USI's Information Security Policy.
- Escalating Information Security policy exception requests to the CIO. (Chairs escalate to Deans)
- Escalating Information Security policy violations to the CIO. (Chairs escalate to Deans)

## Information Technology



The CIO is responsible for coordinating and overseeing compliance with policies and procedures regarding the confidentiality, integrity and security of University information assets.

The Chief Information Security Officer (CISO) works with IT staff and end users to develop security policies, standards and procedures to help protect the information assets of USI. This role is dedicated to developing, implementing, and overseeing the IT security policy and framework, and providing education and awareness.

Specific responsibilities include:

- Creating new information security policies and procedures when needs arise. Maintaining and updating existing information security policies and procedures. Reviewing the policy on an annual basis and assisting management with the approval process.
- Acting as a central coordinating department for implementation of the Information Security Policies.
- Verifying that employees attend a security awareness training upon hire and at least annually.
- Coordinating annual information security risk assessment to identify threats and vulnerabilities.
- Ensuring logical and physical access controls are implemented and access to restricted areas and confidential data is monitored.
- Ensuring security alerts are monitored, analyzed and information distributed to appropriate information security, technical and end user management.
- Ensuring computer and network event logs (hereinafter referred to as logs) are reviewed and followed up on any exceptions identified.
- Creating, maintaining, and distributing incident response and escalation procedures.
- Managing Red Flags program oversight, including third party review and annual risk assessment reporting.

USI System and Network Administrators are the direct link between information security policies and the network, systems and data. System and Network Administrator responsibilities include:

- Applying USI information security policies and procedures as applicable to all information assets.
- Administering user account and authentication management.
- Assisting IT Security with monitoring and controlling all access to USI data.
- Restricting access to publicly accessible network jacks, wireless access points, gateways and handheld devices.
- Vulnerability management including routine scanning and patching

## **Policy**

### **Data Classification**

All data stored and accessed on USI information systems, whether managed by employees or by a third party, must follow this policy. Data stored on USI computing resources must be assigned a classification level. This level is used to determine user access, data storage and protection, data handling, data retention and destruction. Data classification is defined in four categories. In the absence of being formally classified, institutional data should be treated as *Internal Use* by default:

Listed from most sensitive to least sensitive

- Critical – Sensitive data that could result in criminal or civil penalties if exposed. Applies to the most sensitive business information which is only intended for selective access within USI.
  - Examples include passwords, encryption keys, cardholder data, bank account information, financial data, employee personnel file data, patient data (health and dental), human research subject data, and government export control restricted data.
- Restricted – Data that due to the legal, ethical, or other constraints specific authorization is required to access. Unauthorized disclosure could seriously and adversely impact the University, its employees, or students.

- Examples include student academic data, grades, transcripts, class schedule, advising notes, and detailed environmental and control system designs.
- Internal Use – Applies to information which is intended for use within USI. Unauthorized disclosure could negatively impact the University and/or its employees. Access restrictions should be applied accordingly.
  - Examples include university owned intellectual property, policy and procedures, performance metrics, and administrative or academic data files that do not contain data that is classified as Critical or Restricted.
- Public – Applies to all other information which does not clearly fit into any of the above classifications. Unauthorized disclosure isn't expected to negatively impact the University.
  - Examples include student name, major, degree, campus map, and emergency phones.

Any public records access requests must be coordinated through Government and Legal Affairs.

## **IT Security Change Control**

IT security change control is the formal process for making changes to IT systems that impact the existing security configuration, such as changes to the perimeter firewall, router rules, changes to server firewall rules and access control, changes to security monitoring systems, and introduction of new systems and applications into the environment. All changes are tracked and reported to IT management. Change control documentation includes:

- Impact Documentation – the impact of the change including all affected parties (internal or external), and plan for any processing change. In particular, all the systems, users and resources affected by the change and the criticality of the change rated as high, medium or low.
- Back out Procedures – if the change does not go as intended, the documented plan in place that describes the process of reverting the environment to its original configuration.
- Test Plan – set of planned tests developed to verify that the change accomplished what it was supposed to do, and does not adversely affect other system components or create a weakness in the security posture of the environment.
- Management Approval – all changes include management approval.
- Post implementation – update server and network documentation.

## **Data Retention**

Electronic or hardcopy media are to be physically retained, stored or archived only within secure USI office environments, or offsite secured records management facilities. Data, regardless of storage location, is retained only as long as required for legal, regulatory (including federal, state, and professional), accreditation and university requirements. The specific retention length is managed by the data creator or department. Each department is responsible for establishing appropriate records management practices. The following is a guideline maximum length of record retention time:

- Student/Academic: Permanent
- Student Financial Data: 3-6 years
- Employment Related After Termination: 5 - 7 years
- Environmental Health and Safety: 3-5 years
- University Financial Records: 7 years
- Internal Use: 2 years
- Public: 2 years
- Backup Data: 1 year

## **Data Disposal**

When no longer needed for legal, regulatory (including federal, state, and professional), or business requirements, data must be removed from USI systems using an approved method:

- Storage containers used for information to be destroyed must be locked to prevent access to its contents.
- Digital Media (tape, CD/DVD, and flash drive): shredded.
- Hard drives: erased using a Department of Defense standard for data destruction or physically destroyed.
- Hardcopies (paper receipts, paper reports, and faxes): cross-cut shredded, incinerated, or pulped.
- Outsourced destruction of media must use a bonded Disposal Vendor and include logging/tracking when sent via secured courier or other delivery method.

## **IT Systems**

### System Configuration

All servers and network devices on USI networks, whether managed by employees or by third parties, must be built and deployed in accordance with this policy. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

- All systems are created via system intake process.
- All systems must be documented for initial build and subsequent updates and patches in the asset inventory tracking system.
- All systems commonly affected by viruses such as servers, workstations and laptops on USI networks, whether managed by employees or by third parties, must be configured with IT Security approved anti-virus software.
- All systems must have a defined backup plan.
- All systems must log access control events, the audit trail must be secured, and history retained.
- All system patches and updates must be reviewed for significance and appropriately applied, and vulnerabilities managed as defined in the Vulnerability Management section.
- All systems must adhere to firewall requirements as stated in the Firewall and Router Security Administration section.

### Firewall and Router Security Administration

All server firewalls and all network firewalls and routers on USI networks, whether managed by employees or by third parties, must follow this policy. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

### System Administrator Responsibilities

- Assuring changes to hardware, software, and security rules of firewalls and routers are included in IT Security Change Control
- Enabling appropriate logging on all security systems and performing active daily monitoring of the logs that report security events.

- Providing IT Security with read-only access to security event logs.
- Reporting network and server security incidents to IT Security immediately upon discovery.
- Ensuring that server firewalls and network firewalls and router configuration files are secured and synchronized properly.

### Software Development

All development efforts of software designed to run on USI Enterprise Resource Planning (ERP) computing systems, whether managed by employees or by third parties, must follow this policy. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

ERP systems have a test/development environment, separate from the production environment, used to test all new software. If the test environment has connectivity with the production USI network, access controls must be in place to enforce the separation. If the test system uses data copied from production systems, then the same data and systems security enforced on the production system must be enforced on the test system.

### Managed Detection and Response (MDR)

IT Security with support from the MDR provider and the Student Security Operations Center (SOC) is charged with protecting the University's electronic information assets, including performing ongoing, routine network security monitoring and using technologies to detect and/or prevent network intrusion.

IT Security may use the following monitoring technologies on the USI network:

- Intrusion Detection
- Intrusion Prevention
- Firewalls
- Network layer antivirus and anti-malware
- Network layer advanced threat protection
- URL / IP based reputation filtering
- Data Loss Prevention
- Netflow traffic monitoring.

### Vulnerability Management

All servers and network devices on USI networks, whether managed by employees or by third parties, must be built and deployed in accordance with this policy. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

Critical servers and network devices are routinely scanned for known published vulnerabilities. Identified vulnerabilities are reviewed weekly for significance and are appropriately applied. Designated industry websites are reviewed weekly for security advisories.

### **Encryption**

This policy documents encryption standards that must be used on all applicable mechanisms and systems on USI networks, whether managed by employees or by third parties.

Encryption is required for all laptops, and workstations that may be used to store or access critical and restricted information. Portable drives may only be used to store or access critical and restricted information if an approved encryption solution is available.

Critical and restricted information must be encrypted during transmission over networks in which it is easy and common for the data to be intercepted, modified or diverted (such as the Internet, wireless network, GSM, and GPRS). Some examples of strong encryption that is acceptable are:

- Transport Layer Security (TLS) v1.2 or higher
- Internet Protocol Security (IPSEC)
- SSH-2 or higher with a 2048 bit or larger key

The encryption technology used must only accept trusted keys and/or certificates, use secure configuration and not use insecure versions. The encryption strength must be strong and based on vendor recommendations or industry best practices. Any exceptions must be authorized by CIO/CISO.

## **Physical Security**

This policy applies to the physical security of the university's information systems. Campus and Data Center Security controls include:

- Cameras or other logged access control mechanisms are used to monitor data center entry and exit points. The data collected is stored for at least 3 months unless otherwise restricted by law.
- Physical access to the data center is controlled with two-factor access.
- The data center is protected by fire suppression system, climate and moisture alert system, and UPS backup system.
- Data center visitor log is maintained.
- Campus network closets are key access controlled.
- Campus network jacks are controlled and not available for public access.
- Campus wireless network is logically separated from the main campus network and has independent security and access control.

## **Vendor Management**

For all third parties with whom critical and restricted data is shared (e.g., back-up tape storage facilities, managed service providers such as Web hosting companies or security service providers, or those that receive data for fraud modeling purposes), the following must be done:

- Maintain a list of all the third parties with whom critical or restricted data is shared.
- Written agreement that includes an acknowledgement by the third party of their responsibility for securing critical or restricted data. At a minimum these include:
  - Statement of data ownership
  - Statement of how and what format data is returned to the University
  - Statement of how vendor assesses its security
  - Statement of data destruction
  - Statement of location of data storage
- For agreements involving identity theft Red Flag covered accounts, include policies and procedures designed to detect, prevent, and mitigate the risk of identity theft.

## **Email**

Email should never be considered a secure technology and users are asked to exercise common sense when sending or receiving email from USI accounts. Additionally, the following applies to the proper use of the USI email system. Data classified as critical or restricted is never to be sent through the public Internet using unsecured end-user

messaging technologies such as e-mail, instant messaging, or chat. Data classified as critical or restricted may only be transmitted via e-mail if secured by University approved encryption technology. Any exceptions must be authorized by CIO/CISO.

See Data Communication and Computer Use policy for additional email use details.

## **Network Access and Authentication**

This policy applies to the network access and authentication of the university's information systems. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

### User Access

Every user is provided a unique user account and must maintain a personal secret password. Multi factor authentication (MFA) is deployed for remote and web-based access to USI information systems and networks. Systems requiring the use of MFA include, but are not limited to, virtual private network (VPN), systems utilizing Single Sign-On (SSO), system administration tools, and privileged domain accounts. Employee user accounts are originated via Human Resources. Student user accounts are generated via the application process. Any user account requested outside this process requires CIO/CISO review and approval.

The use of non-authenticated (e.g. no password) user accounts is prohibited. User accounts not associated with a single identified user, such as a shared or group user account, are generally prohibited. Exceptions to user accounts associated with a single identified user must be evaluated, documented, and approved by CIO/CISO.

Each user's access privileges must be: authorized according to business needs, restricted to least privileges necessary to perform job responsibilities and assigned based on job classification and function. Departments requesting specific privileges complete an IT Resources request form. Requests for user account with system administration rights requires CIO/CISO review and approval.

Users accessing USI systems remotely: before establishing a connection the user must ensure the remote device is up-to-date on patches and is running a current anti-virus program. Once connected user must never copy or download data classified as Critical or Restricted to an unencrypted remote device.

### Desktop Administrator Access

Under certain circumstances, Desktop Administrator Access may be issued to employees on either a temporary or ongoing basis to perform tasks within the scope of their employment. USI recognizes that issuing Desktop Administrator Access to computers introduces an increased risk to the security of its systems and data. Therefore, requests for ongoing Desktop Administrator Access must be accompanied by an approved authorization from the employee's department head or dean and the CIO.

The use of these rights and the level of access to the computer are to be in accordance with USI's Acceptable Use Policy. Desktop Administrator Access will only be granted on a very limited basis and only when absolutely necessary. Desktop Administrator Access will not be granted primarily for reasons of employee convenience.

Annual administrator access recertification process is coordinated by IT Security. A review of service accounts that are used as database application IDs must be included to verify that the service accounts can only be used by the applications and not by individual users or other processes.

#### Vendor and Guest Access

Vendor or Guest access is provided as needed to any person who demonstrates a reasonable business need to access the network. Guests and Vendors must agree to and sign the USI Acceptable Use Policy before access is granted. Vendor accounts used for remote maintenance must only be enabled during the time that access is needed and monitored while being used. Vendor and Guest accounts must be disabled at the end of the noted term. Extensions must be requested through CIO/CISO.

#### System Administrator Responsibilities

The System Administrator has the following responsibilities regarding user account and access management. Exemptions from this policy will be permitted only if approved in advance and in writing by the CIO.

- When someone leaves or transfers to a new role, access privileges for that role are removed from the user account. If requested, direct manager or Dean of Students access will be allowed for 30 days to both the network storage and email box of the user.
- When a password is established for a user, this password must be set to a unique value for each user and in compliance with the password rules and the user must be instructed on how to change the password.
- IT personnel with password change responsibilities must validate the identity of users before performing a password reset. The approved means for validating identity at USI is by doing it in person with a valid ID, or remote validation achieved by providing uniquely identifying pieces of information.
- Systems Administrators must use a secondary account with elevated privileges when performing any system administration function and are not permitted to use their regular user account. Secondary accounts must be disabled immediately when the user leaves or transfers to a new role.
- Ensure all systems and access to any databases containing critical or restricted data is authenticated (e.g., users, applications, administrators, etc.). Additional provisions are implemented for any end user workstation that has internet access such that direct access to restricted data is not permitted. User direct access or queries to databases must be restricted to user accounts on an as needed basis and requested via the IT Resources Request form.

#### **Identity Theft Red Flags Program**

The identity theft red flags program is designed to provide information to assist individuals in 1) detecting, preventing, and mitigating identity theft in connection with the opening of a “covered account” or any existing “covered account” or who believe that a security incident has occurred and 2) reporting a security incident. This program was developed pursuant to the Fair and Accurate Credit Transactions Act of 2003 and the Federal Trade Commission’s Red Flags Rule, which require creditors to adopt policies and procedures to prevent identity theft.

Covered accounts maintained by the University of Southern Indiana include:

- Bursar/Student Accounts
- Stored Value/Eagle Access ID Cards
- Payroll Cards

#### Identification of Red Flags

Broad categories of “Red Flags” include the following:

- Alerts - alerts, notifications, or warnings from a consumer reporting agency including fraud alerts, credit freezes, or official notice of address discrepancies
- Suspicious Documents - such as those appearing to be forged or altered, or where the photo ID does not resemble its owner, or an application which appears to have been cut up, re-assembled and photocopied
- Suspicious Personal Identifying Information - such as discrepancies in address, Social Security Number, or other information on file; an address that is a mail-drop, a prison, or is invalid; a phone number that is likely to be a pager or answering service; personal information of others already on file; and/or failure to provide all required information
- Unusual Use or Suspicious Account Activity - such as material changes in payment patterns, notification that the account holder is not receiving mailed statement, or that the account has unauthorized charges
- Notice from Others Indicating Possible Identify Theft - such as the institution receiving notice from a victim of identity theft, law enforcement, or another account holder reporting a fraudulent account was opened

## Detection of Red Flags

Detection of Red Flags in connection with the opening of covered accounts as well as existing covered accounts can be made through such methods as:

- Obtaining and verifying identity
- Authenticating customers
- Monitoring transactions

An information security incident that results in unauthorized access to a customer's account record or a notice that a customer has provided information related to a covered account to someone fraudulently claiming to represent USI or to a fraudulent web site may heighten the risk of identity theft and should be considered Red Flags.

## Response to a Red Flag

Any suspected Red Flag detection needs to be reported to CIO/CISO for support in the Information Security Incident Response Process. Based on the type of red flag, the appropriate IT Security team member will work with the employee and Public Safety to determine the appropriate response.

## Security Incident Reporting

Any employee who believes that a security incident has occurred must immediately report the suspicious activity to the IT Help Desk.

## Service Providers

USI remains responsible for compliance with the Red Flag Rules even if it outsources operations to a third-party service provider. The written agreement with the third-party service provider shall require the third-party to have reasonable policies and procedures designed to detect relevant Red Flags that may arise in the performance of their service provider's activities. Including notification to USI if a Red Flag is detected and the steps implemented to prevent or mitigate additional identify theft.

## Training

All employees who process any information related to a covered account shall receive training on procedures as outlined in this document. Additionally, refresher training may be provided annually.

## Red Flag Definitions



Covered Account - A consumer account designed to permit multiple payments or transactions. These are accounts where payments are deferred and made by a borrower periodically over time such as a tuition or fee installment payment plan.

Creditor - A person or entity that regularly extends, renews, or continues credit and any person or entity that regularly arranges for the extension, renewal, or continuation of credit.

Identity Theft - A fraud committed or attempted using the identifying information of another person without authority.

Red Flag - A pattern, practice or specific activity that indicates the possible existence of identity theft.

Security Incident - A collection of related activities or events which provide evidence that personal information could have been acquired by an unauthorized person.

**Information Security Incident Response**

A security incident may come in many forms: a malicious attacker gaining access to the network, a virus or other malware infecting computers, or even a stolen laptop containing restricted or critical data. The Information Security Incident Response Process (ISIRP) is a series of steps taken from the point of problem identification up to and including, final resolution and closure of a security incident. The process also contains information required to inform appropriate parties of the detection, problem status, and final resolution of the event. All employees have the responsibility to assist in the incident response process within their particular areas of responsibility. The scope of this policy covers all information assets owned or provided by the university, whether they reside on the network or elsewhere. The ISIRP communicates the flow of information and provides action guidelines for management, technical staff, employees, and students to follow regarding the notification and resolution of an IT security incident.

Examples of potential IT security incidents that an employee might recognize in their day-to-day activities include, but are not limited to:

- Theft, damage, or unauthorized access (e.g., unauthorized logins, papers missing from their desk, broken locks, missing logs, alert from a security guard, video evidence of a break-in or unscheduled/unauthorized physical entry).
- Fraud – Possible indicators include inaccurate information within databases, logs, files or paper records.
- Abnormal system behavior (possible indicators include unscheduled system reboot, unexpected messages, and abnormal errors in logs or on terminals).
- Security event notifications (e.g., file integrity alerts, intrusion detection alarms, and physical security alarms).

Roles and Responsibilities

Individual or Team	Role and Responsibilities
Employee	Aware of potential IT security incidents and report suspicious activity to the IT Help Desk
IT Help Desk	Receive initial report of a problem and gather relevant information
CIO or CISO	Single point of contact for status updates
IT Department	Analyze initial report and follow procedures to coordinate with CIO and IS, system administrator, or third party vendor to provide forensic support as needed and fix and restore service to normal
Security Team	Make leadership and management decisions or escalate to executive management regarding IT security incident and assist with determining appropriate course of action

## Process Flow

#	Activity	Responsible Party	Within Timeframe
1	Help Desk or IT team member receives initial report	Employee, Student, Faculty, Help Desk, IT Department	N/A
2	IT help ticket created with details from initial report	IT Department	Initial Contact
3	Evaluate contents of initial report and determine additional IT resource needs	IT Department	Within 1 business hour of step 2
4	If IT review validates initial report as an IT security incident notify CIO and CISO. Add "ISIR:" to the help ticket and place it in IT Security queue	CIO, CISO, IT Department	Within 1 business hour of step 3
5	IT Security notifies the Security team and ensure IT team members are engaged	CIO, CISO, Security Team	Within 1 business hour of step 4
6	IT department and Security Team develop course of action	CIO, CISO, IT Department, Security Team, ISIR PR	Within 2 business days of step 4
7	IT Security produces Incident Report and conducts incident debrief	CISO	Within 2 business days of incident resolution

## IT Security Incident Resolution- Analysis and Assessment (including but not limited to):

- Identify impacted hardware or network components
- Outline types of data impacted
- Consider any impacted trust relationship between the system servers, network components, subnet
- Identify impact to disabling compromised components
- Preserve the evidence
  - If the incident involves a compromised computer system, do not alter the state of the computer system.
  - Capture supporting logs (firewall, router, server, IDS)
- Classify IT security incident:

Low - One instance of potentially unfriendly activity (e.g., port scan, corrected virus detection, unexpected performance peak, etc.).

Medium - One instance of a clear attempt to obtain unauthorized information or access (e.g., attempted download of secure password files, attempt to access restricted areas, single computer successful virus infection on a non-critical system, unauthorized vulnerability scan, etc.) or a second low attack.

High - Serious attempt or actual breach of IT security (e.g., multi-pronged attack, denial of service attempt, virus infection of a critical system or the network, successful buffer/stack overflow, successful unauthorized access to sensitive or critical data or systems, stolen sensitive documents, etc.) or a second medium attack.

IT Security Incident Resolution- Decision, Action, Remediation (including but not limited to):

- Isolate attack (if intrusion is ongoing)
- Ensure the loss is contained
- Identify system vulnerabilities that allowed the intrusion
- Attempt to identify attacker
- Determine necessity of disabling the system or specific machine
- Determine restore and rebuild needs
- Determine impact to end user- the amount of time they will not have access to site, machine, or function
- Determine University impact
- Identify ISIR public relations contact (ISIR PR)
- Perform restores and/or rebuilds

IT Security Incident Resolution- Corrective Action and Lessons Learned Review (including but not limited to):

- For each incident, Security Team will determine incident severity classification
- Implement identified corrective action items that assist with prevention of future recurrence
- Reflect on the incident. What are the lessons learned? How did the ISIRP perform? Was the policy adequate? What could be done differently? Review other security controls to determine their appropriateness for the current risks. Any identified areas in which the plan, policy or security control can be made more effective or efficient, must be updated accordingly.

Contact List

Contact	Primary	Backup
Help Desk	812-465-1080	N/A
CIO	TBD	Stacy Draper 812-465-1063
CISO	Stacy Draper 812-465-1063	Lance Woods 812-461-5410
Security Team	TBD	Primary: Steve Bridges, Brad Will, Dave Alexander, and Lance Woods Contact Risk Management (Mark Logel) for Cyber Insurance support Secondary: Data Governance Strategic Team Members

ISIRP Training and Awareness

- Annually, in absence of actual ISIRP event, perform table-top exercise to facilitate education process and possible policy revision.
- Action items noted during actual ISIRP event or table-top exercise are reviewed and if needed incorporated into the policy
- Annually, IT Security performs legal requirements review and if needed incorporates into the policy
- Annually report ISIRP incidents to the Security Team

## **Revision History**

<b>Revision #</b>	<b>Description</b>	<b>Approval</b>	<b>Date</b>
<b>1.0</b>	New policy	S. Draper- Author; IT Security Team and S. Bridges- Approved	7/31/17
<b>1.1</b>	Red Flags Addition	S. Draper- Author; IT Security Team and S. Bridges- Approved	6/15/18
<b>1.2</b>	MFA, MDR Addition and General Edits	S. Draper – Author IT Security Team and S. Bridges – Approved	1/14/22

## **Alcohol Policy at Sponsored Events**

### **Date**

7/22

### **Item**

F.52

### **Policy Statement**

The University of Southern Indiana is committed to maintaining a healthy and safe academic environment that reflects high standards of personal responsibility and behavior. This policy permits the responsible use of alcohol in moderation by persons of legal drinking age at sponsored events on University-owned or -leased property in accordance with these guidelines. Alcohol abuse will not be tolerated under any circumstances.

The laws of the State of Indiana and the policies of the University of Southern Indiana regulate the service and consumption of alcoholic beverages. When alcohol is served or consumed, event guests and alcohol providers are expected to comply with these laws and policies.

The possession, service and consumption of alcoholic beverages are subject to the following policies and procedures.

### **Types of Events**

Alcoholic beverage service is prohibited at events primarily designed for University of Southern Indiana students under the legal drinking age. The service of alcohol to student groups over the legal drinking age will be considered on a case by case basis.

The types of sponsored events for which the service of alcoholic beverages may be approved include, but are not limited to:

- **University Events:** Events sponsored by the University or USI Foundation that include but are not limited to traditional or historical events such as homecoming or alumni events; special events such as building dedications or commemorative galas; receptions and dinners for invited guests; or fundraising and/or donor recognition/development events.
- **External Events:** Use of facilities for events sponsored by individuals or organizations for wedding receptions, banquets, or civic and business organizations.

Access to an event where alcoholic beverages are served will be controlled by the group/person hosting the event.

## Approval Process to Serve Alcohol

A *Request to Serve Alcoholic Beverages Agreement Form* must be completed and submitted to Special Events and Scheduling Services to obtain approval to serve alcohol at a sponsored event. <https://www.usi.edu/specialevents/request>

All requests to serve alcoholic beverages must be submitted to Special Events and Scheduling Services at least three weeks prior to the event or the request may not be approved.

## Serving of Alcohol

Sodexo is the exclusive provider of alcoholic beverage service on the campus of University of Southern Indiana. For sponsored events held on University-owned or -leased properties outside of 8600 University Boulevard, alcoholic beverages must be completely catered by an established firm that is currently licensed by the State of Indiana Alcohol and Tobacco Commission with an “off-premises” permit.

It is the responsibility of the USI event planner to arrange for alcoholic beverage service with the caterer at least three weeks in advance of the event.

Neither University staff nor the guest will be permitted to provide beverages, serve beverages, or in any way handle beverage service. All persons engaged in the service of alcohol must be agents of the licensed caterer.

If a guest at a sponsored event where alcoholic beverages are being served appears to have exceeded their consumption limit, the designated server must discontinue serving alcoholic beverages to the individual.

## Compliance with Indiana Law and USI Policies

No one under the legal drinking age will be served alcohol; identification will be requested to verify eligibility for anyone appearing under 26 years of age.

No alcoholic beverages will be served to any group of students at any function where it is reasonable to expect consumption by persons under the legal drinking age.

To ensure that no one under the legal drinking age is served alcohol, a sign at the bar stating that one “must be 21 years of age or older” will be displayed. The caterer or bartender will be instructed to ask for proof of age.

No alcoholic beverages will be served to an intoxicated person.

## Event Promotion

Events may not be promoted in terms suggesting that a primary focus of the event is to consume alcohol (e.g., “kegger,” “all you can drink,” “happy hour,” “free drinks,” etc.).

## Food Service

In accordance with the State of Indiana Alcohol and Tobacco Commission statutes, food service must be available at any sponsored event where alcohol is served. Such food must be available in quantities appropriate for the number of persons expected to be at the event. Minimum food service required by the State of Indiana consists of hot soups, hot sandwiches, coffee, milk, and soft drinks. Alcohol service must cease if food is no longer available.

## Time of Service

If a meal is being served at an event, then alcoholic beverage service may not exceed two-and one-half hours total.

At a reception with a substantial amount of food but no meal served, then alcoholic beverage service may be served for a maximum of two hours.

## Non-Alcoholic Beverages

A variety of non-alcoholic beverages must be offered and available at any event where alcohol is served. Signage will be required to include the availability of both non-alcoholic and alcoholic beverages.

## Locations

Alcohol must be served and consumed within the area defined in the *Request to Serve Alcoholic Beverages Agreement Form*. Alcoholic beverages may not be carried or otherwise removed from the approved area.

Events with alcohol may occur only in the following buildings or venues approved by the President or the President's designee.

- University Center
- McCutchan Art Gallery
- Griffin Center
- Performance Center Lobby
- Screaming Eagles Arena Varsity Club Room – designated for members only or their registered guests
  - Serving is limited to a maximum of one hour each time the bar is opened.
  - The room must be cleared of all members five minutes before the start of the game and at the start of the second half.
  - The room must be cleared one hour after the game ends.
  - Controlled outside venues.
- Screaming Eagles Arena Suites – designated for contracted entities only.
- Controlled outside venues.

Subject to the guidelines in this policy, other venues may be approved by the President.

## Purchase of Alcohol and Carry-Out License

Individuals or businesses cannot donate or give away alcohol. It must be acquired through a distributor or restaurant with a carry-out permit and proof of purchase must be provided.

No individual or group may bring alcohol to an event.

Alcohol cannot be auctioned off unless the venue has a carry-out license.

For sponsored University events, expenditures for the purchase of alcohol may not be charged to University General Operating Accounts. Alcoholic beverages may not be purchased with state or federally appropriated funds.

## Security

A Public Safety Officer or an officer of another law enforcement agency is required to be present at events where alcohol is served. The number of officers required will be dependent on anticipated attendance, at the discretion of the Director of Public Safety. Public Safety will make all arrangements for the scheduling of officers. The event sponsor/host is responsible for payment of this required service.

## Unapproved Service of Alcohol

Events found to be occurring without approval or necessary permits will be immediately shut down and the appropriate Vice President will be notified. Willful or repeated failure to adhere to policy protocols will result in revocation of the right to use University property for events.

## Insurance and Indemnification

Any business currently licensed by the State of Indiana Alcohol and Tobacco Commission with an “off- premises” permit who is approved to serve alcoholic beverages on University-owned or leased property must comply with insurance requirements as determined by Risk Management. For more information, contact Risk Management at <https://www.usi.edu/riskmanagement>.

## University Rights

The University of Southern Indiana reserves the right to deny admission, alcohol service, continued attendance at an event, or to stop an event while in progress, without any recourse or cause of action by the event sponsor against the University.

## Waiver

Upon request and for good cause, the President or the President’s designee may waive any provision of this policy.

**This policy is written in accordance with State of Indiana statutes and code cited in Title 7.1, Articles 1-3 and 5 (<http://iga.in.gov/legislative/laws/2018/ic/titles/7.1/articles/1/pdf/IC%207.1-1>) and Title 905 of the Indiana Administrative Code (<http://www.in.gov/legislative/iac/T09050/A00010.PDF>). Additional information is available from the Indiana State Excise Police: <https://www.in.gov/atc/ise/2384.htm>.**

## Miscellaneous Services

### Vehicle Safety Policy

**Date**

4/23

**Item**

G.1

#### I. POLICY STATEMENT

The University of Southern Indiana (USI) Vehicle Safety Policy is designed to ensure that only qualified Authorized Drivers utilize USI vehicles, set expectations for safe use of USI vehicles, and establish accident reporting requirements.

The safety of USI’s employees, students and the public is paramount. This policy is intended to reduce the potential risk of vehicle accidents and to provide safe conditions and equipment for employees, students, campus visitors and the general public. USI’s policy on VEHICLE SAFETY is based on the following two principles:

- A. Safety will take precedence over expediency or short cuts.
- B. Compliance by each USI Authorized Driver with traffic laws, local vehicle ordinances and USI vehicle safety policies and rules while operating a USI vehicle or other vehicle on USI business.

#### II. SCOPE

The procedures and responsibilities listed in this document apply to each USI driver who is engaged in the operation of any USI vehicle as defined in this policy on either public or private property.

#### III. DEFINITIONS

- A. USI vehicle: a USI owned, leased, rented or loaned licensed motor vehicle or any personal vehicle used for USI business purposes, as well as any USI owned, leased, rented or loaned licensed or unlicensed golf/utility cart.
- B. USI "Potential" Driver: Must be 18 years of age or older and have a valid driver's license and meet all requirements in Section IV of this document in addition to being:
  - 1. Employee (faculty, staff) of USI whose job description requires driving as a condition of employment.
  - 2. Employee of USI on official business travel per USI Travel Policy <https://www.usi.edu/travel-procurement/travel-policies-and-procedures>.
  - 3. USI student (undergraduate, graduate) working in a paid position on campus who is either traveling on valid USI business or whose job description requires driving as a condition of employment.
  - 4. Other individual who may be permitted on an occasional basis to drive on valid USI business.
- C. USI "Authorized" Driver: A USI employee, USI student or other individual who has met all requirements of Section IV and V of this policy.
- D. "Conditional" Driver: An Authorized Driver who must comply with assigned conditions, per Appendix B, to continue to drive a USI vehicle.

#### IV. RESPONSIBILITIES

- A. The Risk Management Department is responsible for screening and authorizing of each Potential Driver of a USI vehicle based on the criteria in this policy and the provisions of USI's Employee Handbook.
- B. Each Potential Driver of a USI vehicle is required to meet the qualifications of this policy, which include (1) the successful completion of all required training, (2) read the Vehicle Safety Policy, (3) agree to operate a USI vehicle in accordance with these policy requirements not only for the Driver's own safety, but for the safety of USI and all others as well.

#### V. DRIVER QUALIFICATIONS

- A. The following qualifications must be met to be an Authorized Driver.
  - 1. DEPARTMENT AUTHORIZATION. Department Head must identify (via email) to Risk Management the employee(s) or student(s) as a potential driver(s) for USI business.
  - 2. MVR CHECK. Each identified Potential Driver must consent to a Motor Vehicle Record (MVR) check per the approval requirements set forth in this policy. Situations which may affect driver approval consist of any combination of violations or convictions which total five or more points in the previous three years. Indiana law assesses a point value for each conviction of moving violations. The point value relates to the seriousness of the offense in posing a risk to traffic safety. Point values for offenses vary depending on the violation. Risk Management will convert violations from outside the state of Indiana to the Indiana point system, based on violation, to ensure fairness as much as possible. Potential Driver must have an acceptable driving record (preventable accidents and moving violations) as determined by USI's Risk Management Department in conjunction with USI's Office of Public Safety based upon the driver's motor vehicle record.
  - 3. DRIVING EXPERIENCE. Potential Driver must have a minimum of FIVE (5) years licensed driving experience. Exception: An employee or student of USI who is at least eighteen (18) years old, has a minimum of one (1) year of driving experience with a valid driver's license, and meets all other requirements of this section may operate a USI vehicle in the course of assigned duties, but ONLY within Vanderburgh County and the four (4) adjacent counties (Posey, Gibson, Warrick and Henderson). When a vehicle is rented from a rental agency, the rental agreement requirements must be met regarding age of driver.
  - 4. MANDATORY TRAINING. Each Potential Driver of a USI vehicle must first successfully complete the online defensive driver training and the golf/utility cart safety training. This training is available at <http://afi.lezage.com/login.cfm?dp=7>. For Login password contact the Risk Management Department at 812-465-7003 or 812-461-5366. Once initial training is completed, retraining must be completed every four (4) years, unless a work related accident requires more frequent retraining.
  - 5. POTENTIAL DRIVER ACKNOWLEDGEMENT. Potential Driver must have read this Vehicle Safety Policy and have a signed Potential Driver Acknowledgement form that is to be retained on file by the Risk Management department.



6. FINAL AUTHORIZATION. Before authorizing employee or student to utilize a USI vehicle, Risk Management will notify department head that potential driver has met all qualifications and been declared an Authorized Driver to drive a USI vehicle.

#### VI. **AUTHORIZED USE OF A USI VEHICLE**

- A. Each USI vehicle is to only be used for official purposes and not be abused. Any USI vehicle may not be used for personal business, including commuting to and from work (i.e., traveling to and from the employee's residence to the work station) and commuting to restaurants, clubs, social engagements or other personal activities where no USI business is transacted. The only exception is a vehicle provided for an approved USI employee. Any family member of a USI employee with an assigned USI vehicle must meet the requirements of this policy to be able to drive such vehicle.
- B. If an accident occurs or a claim arises out of unauthorized personal use of a USI vehicle, the Authorized Driver may be personally responsible and required to pay for the damages to the USI vehicle as well as for claims from third parties including passengers. An Authorized Driver may contact his/her auto insurance agent with any questions to be sure appropriate personal coverage is in place.
- C. Any passenger in a USI vehicle is limited to employees of USI, students and others on USI business, official guests of USI or individuals to whom USI wishes to extend this courtesy. Any family member who is not an employee of USI may ride in a USI vehicle only with appropriate travel authorization. Picking up hitchhikers or casual riders is **not permitted**.

#### VII. **STUDENT DRIVER OF A USI VEHICLE**

- A. A student who meets all driver qualifications, including mandatory training, may be authorized to drive a USI vehicle.

#### VIII. **USE OF A PERSONAL VEHICLE ON USI BUSINESS**

- A. If a USI employee who is an Authorized Driver drives a personal vehicle on official USI business, that employee is eligible for reimbursement of the business miles driven subject to prior approval of the employee's supervisor and the employee's department financial manager. The business mileage rate includes all costs of operating the vehicle including gas, depreciation and insurance. The current business mileage rate can be found at <https://www.usi.edu/travel-procurement/mileage-rate/>.
- B. If an accident occurs during such operation of the personal vehicle on USI business, the vehicle owner's insurance is the sole insurance available to protect the vehicle owner, driver and any passenger. USI's business auto policy only applies in excess of the policy limits of the personal vehicle's insurance and then only for the protection of USI.
- C. Any deductibles on the personal auto insurance policy are the responsibility of the individual and not USI. Contact your personal auto insurance agent for any questions about your insurance.

#### IX. **OPERATION OF A USI VEHICLE**

- A. It is the responsibility of each Authorized Driver to drive in a safe manner conforming to all applicable USI, local and state traffic laws and regulations. It is recommended that headlights be on at all times when the vehicle is being operated and to take frequent rest stops. In addition, each Authorized Driver is responsible for the conduct and actions of each passenger in the vehicle.
- B. Any Authorized Driver failing to adhere to this Vehicle Safety Policy may have his/her driving authorization withdrawn and may be subject to disciplinary action, up to and including dismissal in accordance with USI's Employee Handbook.
- C. Citations received for failure to abide by any applicable traffic and/or safety law is the responsibility of the driver, including any financial responsibility, and not USI.

#### X. **OPERATION OF A PASSENGER VAN**

- A. The largest van that can be utilized, rented or leased is a fifteen (15) passenger van. Due to the handling characteristics of this vehicle, extra care should be taken in its use, operation, and maintenance including inspecting the tires regularly for wear, deterioration and inflation. ***Both passenger weight and baggage weight (including but not limited to coolers, supplies, backpacks, etc.) are to be loaded towards the front of the vehicle first so that passenger and baggage weight are in front of the rear axle as much as possible.***
- B. Only a more experienced Authorized Driver will be permitted to operate such a vehicle.
- C. No luggage or cargo is to be loaded on the top of the van roof. No trailer towing is permitted.
- D. Take frequent rest stops on longer trips.

- E. Fifteen (15) passenger vans used by Admissions for campus tours may be driven **on campus only** while loaded with 15 passengers, including the driver and may not exceed the 15 mph posted speed limit on campus.

#### XI. MANDATORY SEAT BELT USE

- A. Each Authorized Driver and each passenger in a vehicle being used on official USI business shall be required to wear seat belts at all times. It is the driver's responsibility to enforce this rule.
- B. Exception: Seat belts are not required in golf/utility carts where manufacturer provided seat belts do not exist.
- C. Tickets received for not wearing a seat belt are the financial responsibility of the employee not wearing the seatbelt, not USI.

#### XII. AUTHORIZED DRIVER RESPONSIBILITIES

##### A. AUTHORIZED DRIVER SHALL:

1. Insure the number of passengers transported shall not exceed manufacturer's specifications, including the driver. Each passenger shall be seated in a factory- standard automobile seat which is equipped with a seatbelt and properly attached to the vehicle. **No passengers are allowed to be transported in the beds, sides or rear of the vehicle except in the case of an injured person on a backboard.**
2. Insure each occupant wears a safety belt when the vehicle is in operation or while riding in a vehicle. Passengers younger than eight years of age are required by Indiana law to be properly secured in a child restraint system such as a child car seat or booster seat. The National Highway Traffic Safety Administration (NHTSA) as a part of the United States Department of Transportation and the National Safety Council recommends putting children younger than twelve (12) years of age in the back seat. Go to <https://www.nhtsa.gov/equipment/car-seats-and-booster-seats> for more information.
3. Golf/utility cart passengers must be in seats designed for such use. **No standing on carts in operation is permitted at any time.**
4. Not operate a vehicle at any time when his/her ability to do so is impaired, affected, or influenced by alcohol, illegal drugs, prescribed or over-the-counter medication, illness, fatigue, or injury.
5. Report the suspension or revocation of driver's license immediately to supervisor and Risk Management utilizing the Self-Disclosure Form (Appendix C). If not reported immediately, employee may receive disciplinary action.
6. Utilize appropriate signals when turning or changing lanes.
7. Not engage in activities that would distract from the safe operation of the vehicle including, but not limited to, electronic device use, text messaging or reading while operating the vehicle. An Authorized Driver on USI business who wishes to use an electronic device in the vehicle must follow these procedures:
8. Use an external speaker and microphone to allow hands-free operation.
9. Refrain from placing outgoing calls, text messaging or responding to other electronic communication devices while the vehicle is in motion.
10. Limit incoming calls.
11. For any vehicle equipped with a cellular telephone that does not meet the above equipment specifications, use of the telephone or any other electronic communication device is authorized when the vehicle is safely parked.
12. Public Safety is granted exception to this Section XII, 7.
13. Not wear headphones or listen to loud radio sounds that may prevent hearing traffic warning devices.
14. Not engage in "horseplay" while operating a vehicle.
15. Insure the safe transport of materials and goods by securely fastening all loads, fastening all doors, securing tailgate and providing warning flags on all oversize loads.
16. Comply with all USI, local and state traffic laws, including all of USI's Traffic and Parking Regulations (<https://www.usi.edu/public-safety/parking/traffic-and-parking-regulations/>).

#### XIII. VEHICLE ACCIDENT REPORTING PROCEDURES

It is the responsibility of an Authorized Driver to report any accident, regardless of damage, that involves any USI vehicle or a personal vehicle used on USI business.

- A. USI Public Safety or Local Law Enforcement
  1. On Campus Accidents: Contact USI Public Safety at 812-464-1845 (non- emergency) or 812-492-7777 (emergency).
  2. Off Campus Accidents: Contact 911 or the local law enforcement agency.
- B. Facility Operations & Planning's Motor Vehicle Operations & Department Head
  1. Each driver should follow the accident reporting procedures found at <http://www.usi.edu/media/4162574/owned-and-locally-rented-vehicles.pdf>.
  2. Any accident shall be reported immediately to driver's department head and to Facility Operations & Planning's Motor Vehicle Operations office at 812-464- 1729. If contact cannot be made to the department head or Motor Vehicle Operations, call USI Public Safety dispatcher, who is available 24 hours a day, seven days a week at 812-464-1845.
- C. Risk Management
  1. Contact Risk Management as soon as possible after an incident once any injured personnel receive appropriate medical attention. Risk Management can be contacted by telephone at (812) 465-7003 or (812) 461-5366 or email at riskmgmt@usi.edu. Failure to report an accident, however small, to Risk Management is a violation of this policy.
  2. The completed Accident Report Form (<https://www.usi.edu/media/exzhk2lh/2022-23-vehicle-accident-reporting-fillable-form.pdf> ) is to be given to USI Risk Management Department as soon as possible so Risk Management can notify the appropriate insurance company as required.

## Appendix A

### POTENTIAL DRIVER ACKNOWLEDGEMENT

Read and complete the information below, check the appropriate boxes and return to Risk Management. (This form may be completed using Qualtrics. Contact Risk Management for appropriate link.)

[Download Form](#)

## Appendix B

Each Potential Driver must consent to a Motor Vehicle Record (MVR) check to ensure compliance with approval requirements set forth in this policy. Situations which may affect Potential Driver approval consist of any combination of violations or convictions which total eight or more points in the previous three years. Indiana law assesses a point value for each conviction of moving violations. The point value relates to the seriousness of the offense in posing a risk to traffic safety. Point values for offenses vary depending on the violation.

### MVR Point System for USI Employees

	Acceptable	Monitored	Conditional Requirements Must be Completed	Unacceptable
Moving Violations	0-4 points in the past 3 years	5-7 points in the past 3 years	8-12 points in the past 3 years  Conditional requirements must be met in the timeframe given otherwise status will be moved to Unacceptable.	13 or more points in the past 3 years  Receiving an additional moving violation after being placed on conditional status  Drivers with active suspensions  Suspension or revocation in the past 3 years due to a traffic-related offense

Suspension - Non felony offense, i.e., failure to appear, failure to submit proof of insurance or failure pay a fine			Risk Management will review and make final determination on status	Status will be determined by Risk Management Committee
Major Offenses				<p>A single incident in the past 3 years for any felony crime committed with a vehicle or leaving the scene of an accident</p> <p>A single incident in the past 5 years for any alcohol or drug- related driving offenses or refusing to take a substance test</p>

## MVR Point System for USI Student and USI Student Employees

	Acceptable	Monitored	Conditional Requirements Must be Completed	Unacceptable
Moving Violations	0 - 4 points in the past 3 years	5-7 points in the past 3 years		<p>8 or more points in the past 3 years</p> <p>Drivers with active suspensions</p> <p>Suspension or revocation in the past 3 years due to a traffic-related offense</p>
Suspension - Nonfelony offense, i.e., failure to appear, failure to submit proof of insurance or failure pay a fine			Risk Management will review and make final determination on status	Status will be determined by Risk Management Committee
Major Offenses				<p>A single incident in the past 3 years for any felony crime committed with a vehicle or leaving the scene of an accident</p> <p>A single incident in the past 5 years for any alcohol or drug-related driving offenses or refusing to take a substance test</p>

For the purposes of this policy, the Indiana Driver's License Point's value system is being used. Risk Management will convert violations from outside the state of Indiana to the Indiana point system, based on violation, to ensure fairness as much as possible.

Any Authorized Driver who falls under the CONDITIONAL and MONITORED categories will be subject to:

### MONITORED:

1. Email every 4 months (or each semester) from Risk Management checking for any additional violations
2. New MVR check ran every 6 months

### CONDITIONAL:

1. Every 3 months email from Risk Management to Conditional Driver checking for any additional violations
2. New MVR check ran every 4 months
3. Other restrictions as appropriate per Risk Management and Public Safety

## Appendix C

USI Risk Management Office Self-Disclosure Form

## Parking

Date

12/18

**Item**

**G.2**

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 and residence halls are required to register their vehicles with the USI Public Safety Parking Department. Faculty, staff, and commuter students are strongly urged, but not required, to register vehicle information for all vehicles they intend to park in campus lots.

Vehicles may be registered at the Parking Department, located at the rear of the Public Safety Building or on line at [www.usi.edu/security/parking](http://www.usi.edu/security/parking). An interactive campus map illustrating all campus parking lots may be found at <https://www.usi.edu/map>.

USI Public Safety Officers and Parking Enforcement Officers are responsible for parking enforcement on University Property. Vehicles determined to be in violation of USI Parking Rules may be cited with fines imposed. Persons with disabilities may use designated parking spaces by displaying a state-issued Disability license plate/placard or a USI Disability parking tag. Applications for USI temporary Disability parking tags are available at the USI Public Safety Parking Department. The University of Southern Indiana assumes no responsibility for the care or protection of any vehicle or its contents at any time while operated or parked on University property.

## Professional Memberships

**Date**

7/05

**Item**

**G.3**

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

**Date**

11/22

**Item**

**G.4**

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 Screaming Eagles Arena, the Recreation, Fitness, and Wellness Center and other special University events. Identification cards can also be used as a debit card after funds are loaded through the Eagle Access Card Office online at [usi.sodexomyway.com](http://usi.sodexomyway.com). These funds can be used for purchases at any dining service unit or can also be loaded onto a Flex account to be used for food, copying, printing, library or at the Campus Store. There is a \$15 replacement fee for lost cards. 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

**Date**

7/22

**Item**

**G.5**

The University partners with Sodexo to provide food venues on campus. Options for dining as well as hours of operation and meal plan choices may be found at the Sodexo website, <https://usi.sodexomyway.com/>. Employee

purchases are subject to sales tax; student purchases are not subject to sales tax when using funds on the Eagle Access Card. Employees loading a minimum of \$50 to their Munch Money account will receive an additional 15% in funds.

In addition, vending 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.

Sodexo offers extensive catering options on campus and is the exclusive provider for campus. For assistance with your event, see the Sodexo catering website, <https://usi.sodexomyway.com/catering>.

## State Sales Tax Exemption

### **Date**

12/19

### **Item**

G.6

As a public institution, the University is exempt from paying Indiana sales and use tax on items purchased for University use. Claimed exemptions must be allowed by Indiana code as determined by the director of Procurement. Individuals authorized to purchase items with University funds should not pay Indiana sales and use tax unless the purchase does not qualify for the exemption.

Contact Procurement Services to request the issuance of Form ST-105, General Sales Tax Exemption Certificate, to a vendor in advance of any purchase on behalf of the University.

## Emergencies

### **Date**

8/17

### **Item**

G.7

USI Public Safety maintains 24-hour, seven-day-a-week security coverage of the campus. Security duties include traffic control, security of physical assets, and safety of all employees, students and guests of the campus. In addition, all Public Safety officers are trained in first aid and other emergency procedures. A new memorandum of understanding with the Vanderburgh County Sheriff's Office provides an enhanced law enforcement presence on campus

To obtain the quickest and most effective response to any campus or housing emergency, contact USI Public Safety at 812-492-7777. Blue outdoor and wall mounted indoor emergency phones are located throughout campus. The Public Safety dispatcher maintains radio and telephone contact with Public Safety officers and will contact the appropriate emergency response agency including, but not limited to, the Vanderburgh County Sheriff's Office, Perry Township Fire Department or ambulance service, if needed.

The caller will need to provide his/her name, campus location and a description of the nature and severity of the situation to the dispatcher.

For information on emergency procedures, refer to the Campus Emergency Procedures Guide at <https://www.usi.edu/emergency/emergency-procedures/> or call Public Safety at 812-464-1845.

USI Rave Alerts give critical and timely warnings - via email, text message, and voice message - about emergencies, severe weather and other incidents impacting the University community. Everyone with a USI email address is automatically enrolled in the Rave Alert system, however, users can log in through MyUSI to change their settings. For more information on Rave Alerts and settings, visit <https://www.usi.edu/rave>.

USI Public Safety also manages Rave Guardian, an app-based tool that allows anyone with an active USI email, as well as some guest groups, to utilize the app to contact Public Safety or allow someone to monitor their safety during

travel. It also provides a number of resources, including website information and contact information for key safety and wellness departments and outside resources. More about Rave Guardian can be found at <https://www.usi.edu/rave>.

During an emergency, USI Public Safety works with University Communications to deliver messages to the campus community. Information is posted on the USI homepage, [www.usi.edu](http://www.usi.edu) and on the Emergency Page, [www.usi.edu/emergency](http://www.usi.edu/emergency), where regular updates are posted.

## Lost and Found

### Date

12/18

### Item

G.8

USI Public Safety is the central depository for articles lost or found on the USI campus. Articles lost on campus property should be reported promptly to USI Public Safety. Articles found on campus property should be reported and forwarded to Public Safety in a timely manner.

USI Public Safety shall make every effort to identify the owners of lost or found articles and return said articles. In most cases, Public Safety shall not retain possession of found articles for more than 30 days. At the discretion of the director of Public Safety or his designee, found articles of significant monetary or personal value may be retained longer than 30 days. The University is not responsible or liable for the loss of personal items.

## Library Services

### Date

12/15

### Item

G.9

The David L. Rice Library actively supports the mission of the University of Southern Indiana through selecting, organizing, and providing access to information resources relevant to the curriculum. Library staff assist and instruct users in identifying, locating, and evaluating needed resources and services.

The Library provides course-integrated instruction and individual consultations to assist users in identifying, locating, and interpreting information in a variety of formats. Research instruction and in-person consultations assist users in becoming more critically aware, self-confident information consumers and researchers.

The selection, cataloging, management, and evaluation of information resources supports present and future programs of the university. Ongoing review and evaluation of Library resources occur in collaboration with the university community to determine the nature of information resources and services needed.

Anyone may use materials housed within the David L. Rice Library. USI faculty or staff members may borrow material with a valid USI Eagle Access ID card. Family members of USI faculty or staff may present a valid driver's license to receive a courtesy card. These cards are valid for one year from the date of issue. All library databases are accessible on campus. Currently-employed USI faculty or staff members may login using their MyUSI credentials to access databases from off-campus.

Interlibrary loan (ILL) service is available to USI faculty and staff members. This service provides access to materials not available at Rice Library. The ILL unit routinely borrows books, journal and newspaper articles, book chapters, dissertations, and other desired items from libraries in Indiana, the United States, and around the world.

More information can be found on the library's web page at [www.usi.edu/library](http://www.usi.edu/library).

## Physical Activities Center

### Date

12/15

**Item**

G.10

The facilities of the Physical Activities Center (PAC) include a gymnasium, swimming pool, weight room, classrooms and offices. The USI basketball teams (men's and women's) and volleyball team play their home events in the PAC. The pool is available for use by faculty and staff and lockers are available. For more information on the hours of the pool, please contact the PAC Counter.

## University Directory and Photo Headshot Database

**Date**

7/23

**Item**

G.11

The University's online directory is located at <https://www.usi.edu/directory/>. The directory lists names, titles, photo headshots, departments, buildings and office numbers, office phone numbers and an email form for employees. The information is populated using employee's official Banner records, as entered by Human Resources. A form to request directory changes, including an opt-out option for use of your headshot, is located on the same web page. A faculty and staff photo headshot database also is located at <https://www.usi.edu/photography/headshot-database/>.

The following are acceptable for the database photographs:

1. A photograph taken by Photography and Multimedia within the past five years.
2. Portraits older than five years will be scheduled and retaken by Photography and Multimedia.
3. For individuals who cannot come to campus, a placeholder will be used indicating that no photograph is available.\*

\*Exceptions are sometimes made for adjunct faculty and are handled on a case-by-case basis. Contact Photography and Multimedia if you have questions.

The full Headshot Directory Guidelines and Procedures can be found at: <https://www.usi.edu/photography/services-and-fees/headshots>

## Distribution Services

**Date**

2/23

**Item**

G.12

The USI Distribution Services team facilitates the processing and delivery of mail, parcels and packages to campus faculty, administrative staff and support staff each year. The network includes delivery stops at each college and department, and the collection and processing of all outbound business mail, packages and interoffice correspondence.

Most items that are delivered to campus are received and processed through the Distribution Services team. The department receives and delivers operating supplies from freight shipments. The department also supports the Physical Plant during new and remodel construction, by providing acceptance and storage of both new and used furnishings for pending projects. As well, the department manages the receipt and repurposing of all excess campus furnishings and the collection and processing of recycled lighting and print cartridges.

The Distribution Services team provides preparation and design consultation for the production and processing of large and small business and mail marketing projects for the colleges and departments. Such services include list management, addressing, folding, inserting and tabbing. The team also facilitates management of any mailing activities that are provided by outside vendors. The team is also the primary contact for all communications and business with the U.S. Postal Service.



## Use of University Distribution Services

Access to the University delivery network is controlled by Distribution Services. The use of University mail permits and postage affixing devices is limited to authorized Distribution Services personnel. Mail or packages handled by USI Distribution Services are subject to search or seizure if there is reasonable suspicion that the contents are lawfully prohibited, prohibited as stated below or are unsafe for delivery.

Whenever possible, USI Public Safety will be involved in search or seizure. Prohibited, restricted or limited use of the USI delivery network is outlined below:

- Use of the delivery network for dissemination of non-business materials or non-business information is prohibited.
- Personal mail should not be placed into USI logo or USI printed return address envelopes.
- Personal mail cannot contain the University 8600 Blvd return address.
- Deposit of personal outgoing package shipments into the University network is prohibited.
- Incoming personal mail is not allowed.
- Off campus business article pick-up and delivery requests will be considered, when time permits and at an additional expense. Each requires prior approval by the manager of Distribution Services.

## University Creative and Print

**Date**

2/23

**Item**

G.13

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 the University Creative and Print Department. This department provides the best design, print and copy value available for the University's marketing and communication needs by producing and managing jobs and projects in-house.

The department offers professional creative services, technical expertise and knowledge of printing industry best practices, purchasing specifications and experience with reputable industry vendors. Any requests for off-campus design or printing services by departments are facilitated through Creative and Print and require prior approval of the Director of University Creative and Print.

Creative and Print adheres to established University brand and style guidelines and mail piece design requirements of the United States Postal Service.

### Services include (but not limited to):

- Graphic design — print, web/digital, social media, animated graphics, large format, signage, promotional products
- Printing — digital press and offset press
- Fully equipped bindery
- Copying
- Large format printing, finishing and installation
- USI Brand library management

These services are obtained by accessing the appropriate order form on the department's website [www.usi.edu/creative-print/order](http://www.usi.edu/creative-print/order). Projects are professionally designed to meet established University style, brand consistency and quality requirements. University partners also are encouraged to visit the department's website to view helpful guidelines when planning a design/print project.

Any brochures, postcards, flyers, booklets, posters and other materials containing information about University programs, services and activities created by campus departments and offices are to be reviewed by the Director of Creative and Print before distribution.

Completed jobs are charged through the University's chargeback system. The department archives all printed and designed projects that it creates for University departments.

Copying/printing is provided by Copy Services, which is located in the Publishing Services Center or on satellite equipment located across campus.

## Copy Services

Press-quality color printing, large format printing, variable data printing and mail merge also are available in the Copy Center. A dedicated courier service ensures timely delivery of orders to all University departments. When copying more than 20 single black/white originals, it is advised to utilize the Copy Center for higher volume printing.

## University Fleet Copiers

The University's centralized copier program is managed and maintained by University Creative and Print. The satellite copiers are fully networked, allowing offices to print directly to these devices. Paper for the fleet copiers is ordered through Creative and Print utilizing the form provided at [www.usi.edu/creative-print/order](http://www.usi.edu/creative-print/order).

## University Brand Guidelines and Logos

Creative and Print maintains the official library of all University Academic and Athletic logos and Archibald "Archie" the Eagle artwork. These logos may be requested by the University community for approved uses.

The University Academic and Athletic logos are used on promotional literature, marketing collateral and other University and Athletic documents and merchandise. Alteration of any University Academic or Athletic logos and Archie Eagle artwork is prohibited. For a complete guide on usage and to download approved logos for reproduction, go to [www.usi.edu/brand](http://www.usi.edu/brand). Any reproduction of the USI logos must be approved by the Associate Director of University Brand and Special Projects of Marketing and Communication or the Director of University Creative and Print. Direct any questions or concerns to these individuals.

## University Seal



For the official usage policy regarding the University Seal go to [www.usi.edu/brand](http://www.usi.edu/brand).

## University Stationary

Approved USI letterhead, envelopes and business cards used by departments, centers, offices, colleges or other units of the University follows an adopted style in wording, type style, size of type and layout. The letterhead of the University should not be used to indicate University endorsement or support of any non-University associated enterprise. These items are ordered from the Creative and Print department at [www.usi.edu/creative-print/order](http://www.usi.edu/creative-print/order).

## Affirmative Action Statement

All publications, brochures or similar informational materials used for individuals or audiences external to the University must contain the following statement:

***The University of Southern Indiana's Equal Opportunity and Non-Discrimination Policy prohibits all forms of unlawful Discrimination and related Harassment toward any University community member on the basis of race, color, religion, sex, pregnancy or marital status, parental status, national origin or ancestry, age (40 and older), disability, genetic information, sexual orientation, gender identity, gender expression, veteran status or any other category protected by law or identified by the University as a protected class. Compliance with this Policy is a term and condition of a person's employment, membership, or affiliation with the University of Southern Indiana.***

Internal publications or those with limited written copy must contain, at a minimum, a shortened version of the previous statement:

***The University of Southern Indiana is committed to principles of equal opportunity and affirmative action.***

Questions regarding the appropriate language should be submitted to the Institutional Equity Office.

## Recreation, Fitness and Wellness Center

### Date

2/17

### Item

G.14

Recreation, Fitness, and Wellness is the combination of the programs: Intramural Sports, Recreation and Fitness, and Student Wellness, and is located in the Recreation, Fitness, and Wellness Center (RFWC).

## Intramural Sports

The Intramural Sports program offers a variety of recreational activities, which provide competition suitable for all students regardless of physical capabilities. By participating in Intramural Sports, Outdoor Adventure and Special Events students have the opportunity to enhance social relationships, stay physically active, promote sportsmanship, enjoy the outdoors and have fun. Intramural activities are open to employees. Intramural Sports staff can be reached in Room 227 in the Recreation and Fitness Center or by calling (812) 461-5268.

## Recreation, Fitness and Wellness Center

The Recreation, Fitness and Wellness 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, Fitness and Wellness Center include fitness consultations, facility orientations, health screening and seminars (e.g., stress management, proper nutrition, etc.), incentive programs, and equipment checkout (camping gear and bicycles). The Recreation, Fitness and Wellness Center also includes a 33-foot tall climbing tower and bouldering area. Guest passes are available for purchase at the RFWC welcome desk. An Eagle Access card is required. The Recreation, Fitness and Wellness Center staff can be reached at the welcome desk in the Recreation, Fitness and Wellness 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. Faculty and staff can request presentations for their classes and student groups on various wellness topics, including stress management, bystander intervention, and general wellness. The Student Wellness Office is located in Room 219 in the Recreation, Fitness and Wellness Center. The phone number is (812) 461-5483.

# Process for the Consideration of New Intercollegiate Sports Program

## **Date**

2/17

## **Item**

G.15

The University of Southern Indiana (USI) recognizes that students, faculty, staff, alumni and friends may desire the addition of new intercollegiate sports programs on campus. As a result, Athletics has established a process to facilitate the consideration of these requests.

All requests for the addition of a new intercollegiate sports program at USI must begin in the office of the athletic director. The director will decide whether to consider a program in consultation with the University president. A sport must be sanctioned by the National Collegiate Athletic Association (NCAA) to qualify for consideration, and sports with a recognized champion by the Ohio Valley Conference will receive preference.

The Facility Planning and Fiscal Integrity Subcommittee of the University Athletic Council (UAC) will review program proposals submitted by the athletic director. The subcommittee will evaluate the prevalence of competition in the region, the number of student athletes interested in participating, the availability of practice and competition facilities and costs among other factors.

When the Facility Planning and Fiscal Integrity subcommittee endorses the addition of a sport program, the subcommittee will work with the athletic director to compose a formal recommendation to the UAC. The recommendation must include total annual operating and scholarship costs for the program in addition to one-time expenses needed to start the program. The UAC will vote on the recommendation and, if approved, advance the proposal to the University president and the USI Board of Trustees for final approval.

## Faculty Handbook

### The Constitution of the Faculty

#### Article I: Membership and Organization of the Faculty

##### **Date**

7/15

##### **Item**

I

##### Section 1. Definition of Faculty

All members of the instructional staff, the administrative officers holding academic rank, 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

**Date**

7/15

**Item**

I

### 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 will be distributed 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

**Date**

8/21

**Item**

I

## Section 1. Membership

Each academic college will be represented by three members, the elected representatives or their alternates. Faculty members not affiliated with an academic college will be represented by one member, the elected representative, or their alternate. Two members and their alternates will be elected from the faculty at large. In the absence of any representatives, the elected alternate will be a voting member. Ex-officio, non-voting members will include the president, provost, and any other persons so designated.

All voting members of the faculty are eligible to serve as elected representatives on Faculty Senate excluding those holding the following positions:

- President or any position that reports directly to the President
- Vice-President or Associate/Assistant Vice-President
- Provost, Associate/Assistant Provost or any position that reports directly to the Provost's Office
- Director of Rice Library or Associate/Assistant Director of Rice Library
- Dean or Associate/Assistant Dean

## 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, or served for five consecutive years, 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 spring break, 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 to the faculty. Each year, two of the colleges will have two Senators complete their terms and the other two Colleges will have one Senator complete his or her term. In this way, six of the twelve college representatives will be replaced every year.

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. Before spring break, the chair of the Faculty Senate will call for nominations to fill the forthcoming vacancies for the faculty-at-large representatives and alternates to the Faculty Senate. The two At-Large representatives will serve alternating two year terms so that one seat is vacated each year. 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 to the chair of Faculty Senate within one week of the date on which they were distributed to the voting members of the faculty. 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.

#### C. Representation of Units not Affiliated with an Academic College

Before spring break, the chair of Faculty Senate will conduct an election to fill the forthcoming vacancies for the representative and alternate for faculty members of academic units not affiliated with an academic college.

The representative and alternate shall be chosen from and selected by those faculty members of the academic units not affiliated with an academic college.

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

The ballots will be returned to the chair of Faculty Senate within one week of the date on which they were distributed to the voting members of the faculty. 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 these voting members stating the names of those elected.

If a seat filled by a representative becomes vacant, the alternate will serve to the end of the unexpired term. 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 chair of the Senate will be elected as chair-elect the year before taking office by the existing Faculty Senate. The chair will take office on July 1. The secretary and chair-elect of the Faculty Senate will be elected at the first meeting of the Senate in the fall semester and will take office immediately. While the chair is serving as such, the chair-elect will assume the duties of a vice-chair for one year. In the following year the chair-elect will assume the duties of chair. In the event of a vacancy in the office of chair, the current chair-elect will assume the office. In the event that a chair-elect is unable to serve the subsequent academic year, a special election among the faculty senate will be held to fill the vacancy. In the event of an extended vacancy, the office of chair-elect will remain vacant, but the Senate may elect a vice-chair to serve the remainder of the term.

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

1. For members of the instructional staff: Three hours of release time per Fall and Spring semester while holding the office and the equivalent of 3 hours during the summer term.  
For members of the professional librarians and others not affiliated with an academic college: an equivalent of work release time as determined by the appropriate administrator and the Provost.
2. Administrative support from the Academic Affairs office, including sufficient student worker assistance.
3. Funding for one professional development opportunity for each year served.
4. Support for attendance at required meetings.

## Article IV: Meetings of the Faculty Senate

### Date

11/12

### Item

I

#### 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

**Date**

11/12

**Item**

I

## 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

**Date**

7/15

**Item**

I

## 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.



## 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

**Date**

1/95

**Item**

I

### 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

**Date**

1/95

**Item**

I

### 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.

# By-Laws of the Faculty Constitution

## Article I: Faculty Meetings

**Date**

12/19

**Item**

II

### Section 1. Procedure

In all matters of parliamentary procedure, the Faculty Senate will follow the most recent edition of Robert's Rules of Order unless otherwise noted in these By-laws.

### Section 2. 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 3. Quorum

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

## Article II: Making Resolutions

**Date**

9/09

**Item**

II

### 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

**Date**

12/19

**Item**

II

## 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.

## Section 2. Procedure for Appeal

Any administrative official may 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

### **Date**

11/19

### **Item**

II

## 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 Romain College of Business, and the Pott College of Science, Engineering and Education will be elected in even-numbered years except on Faculty Committees where each college is represented by two members. In these cases, one member will be selected each year. Members should serve two-year terms and may be re-elected to serve one successive two-year term. Faculty Committees with two representatives per college include:

1. The Curriculum Committee as identified in Article V Section 1 of the By-laws.
  2. The Faculty and Academic Affairs Committee as identified in Article V Section 2 of the By-Laws
  3. The Economic Benefits Committee as identified in Article V Section 4 of the By-laws.
  4. The Faculty Awards for Service, Teaching, and Research Committee as identified in Article V Section 8 of the By-laws.
- 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 the appointment and the term of the 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

**Date**

5/23

**Item**

II

### Section 1. The Curriculum Committee

The committee is composed of two faculty representatives 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 two faculty representatives from each academic college. The provost and the director of the Library shall be ex-officio members of the committee. Other ex-officio members maybe 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.
- F. To prepare an annual report on Data Collection and Hiring Practices at USI. The report should compare the rate of expansion and number of administrative positions to the rate of expansion and number of faculty positions at the University of Southern Indiana. Expansion is to be interpreted as increase (change) in aggregate salaries for each group, administrators and faculty, as well as number of positions.

### Section 3. The Student Affairs Committee

The committee is composed of one faculty member from each academic college, one at-large faculty member, 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. Members of Student Affairs Committee are ineligible to nominate or recommend students for the University-wide awards including the President's Medal while serving on the committee.
- D. To monitor and report statistics in the committee's end-of-year report about student applicants for awards, particularly in terms of the students' colleges.

### Section 4. The Economic Benefits Committee

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

To prepare an annual report on faculty salary and benefits. The report should compare faculty salary and benefit patterns at peer institutions to the faculty salary and benefits at USI. The report should also recommend a range of increments in faculty salary and benefits for the following year in order to make sure that USI faculty salary and benefits keep pace with peer institutions.

### Section 5. The Promotions Committee

The committee is composed of one elected faculty representative from each academic college, one elected faculty representative from Rice Library and three elected at-large faculty members. Members of the committee must be of associate rank or higher.

The committee will review and recommend applications for academic promotion for any application which:

- 1) recommendations from the department, college, library, chair, and/or dean lack agreement.

OR

- 2) the applicant requests an additional review. In such case, applicants must request a review within 7 business days of written notification of their dean's or director's formal recommendation to the Provost.

During review, functions of the committee are:

- A. To receive applications for academic promotions from the deans or directors of the various colleges or library.
- 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 and render a recommendation regarding its merit. The merit of an applicant's portfolio shall only be measured using the guidelines for promotion published by the University and the applicant's department, college or the library.

- D. To inform each applicant in writing of the committee's recommendation.
- E. To forward the recommendations in D (above) to the Provost.

## Section 6. The Assessment Committee

The Assessment Committee is composed of one faculty representative from each academic college, and one at-large faculty member. 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 from each academic college and one at-large faculty member. 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 the president.

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

The committee is composed of two faculty representatives from each academic college. The provost and the executive director of Sponsored Projects and Research Administration 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.

## Section 9. The University Core Curriculum Committee

Chaired by the Director of University Core Curriculum, the committee consists of an elected representative and alternate from each academic college, two at large faculty members, plus one additional elected representative and alternate from the College of Liberal Arts and the Pott College of Science, Engineering, and Education who serve two-year staggered terms. The Director of University Core Curriculum will serve as a voting ex officio member but may only cast a vote in the event that the committee is deadlocked. Non-voting ex officio members are: (a) Associate Provost for Academic Affairs, (b) Associate Registrar, (c) Director of University Core Curriculum Assessment, and (d) an assessment designee from the Office of Planning, Research, and Assessment.

Functions of the committee are:

- A. To evaluate the general education needs of the University.
- B. To review core curriculum course applications and determine the composition of the University Core Curriculum.
- C. To evaluate and revise, where needed, the policies of the University Core Curriculum.
- D. To oversee and implement University Core Curriculum assessment.
- E. To evaluate the University Core Curriculum in its entirety and revise where appropriate.

## Article VI: Amendments

### **Date**

12/18

### **Item**

II

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).

## Faculty and Academic Policies

### Duties and Responsibilities of Faculty Members

#### **Date**

7/15

#### **Item**

III

*In this section of the faculty handbook the designation "faculty member" should be interpreted to include members of the teaching faculty, administrators holding academic rank, their staff having teaching responsibilities, and individuals classified as professional 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

### Date

8/20

### Item

III

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

1. Faculty members of the University of Southern Indiana are expected to be available for service at the University on the day specified in the contract 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 six 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 for assistant professor, assistant librarian, or higher, dates of such notification are as follows:

Employees in their second year	December 31
Employees in their third year and beyond	One Year

In cases of non-reappointment for clinical assistant, clinical associate, or higher, dates of such notification are as follows:

Employees in their second year	December 31
Employees in their third year and beyond	One Year

The initial term contract for all clinical faculty, regardless of rank, is 2 years. In cases of non-reappointment for all other contract, full-time teaching faculty, and not on a conditional contract, notification are as follows:

Employees in their first or second year	Any Time
Employees in their third year or beyond	One Year

Contract full-time teaching faculty serving on a conditional reappointment, notice can be given at any time, but the faculty member remains employed for the duration of the existing employment contract.

5. Faculty members at the University of Southern Indiana are expected to conduct themselves in a professional manner.

## Academic Freedom

### Date



**Item****III**

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

**Date**

1/95

**Item****III**

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

### **Date**

1/95

### **Item**

III

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

**Date**

12/18

**Item**

III

### 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/clinical track faculty members. Additionally, non-tenure track faculty members may have advising responsibilities depending on their job descriptions or on departmental expectations. The Undergraduate Admissions Office assigns all entering students to the academic discipline corresponding to the student's declared major; the advising centers and/or academic departments are responsible for appointing each student an academic advisor. The advising centers and/or academic departments are 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 Advising.

#### 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 graduate 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 faculty member in excess of the normal load; compensation will be at the approved University rate per credit hour. A faculty member will be paid for any hours worked over 12 in a semester. 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 as they come forward. It is the responsibility of the dean and the provost 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 USI Campus Store.**

#### **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 USI Campus Store 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 USI Campus Store.

#### **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 Registrar's Office, in consultation with the provost, for each semester. The two-hour final examination period assigned is part of the total commitment 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 must 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 Registrar's Office. 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, 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 Registrar's Office. 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 Registrar's Office 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 Registrar's Office. Any such change must be approved first by the dean of the college.

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

#### **G. Student Academic Integrity**

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. The campus is dedicated to a culture of civility among students, faculty, and staff. Academic integrity is vital to the campus mission and culture. The academic integrity statement serves as an educational tool, defining academic integrity, violations of academic integrity, outlining sanctions for violations and administration of academic integrity policy.

##### **Academic Integrity:**

- Demonstrates respect for all students' right to a safe, quality learning environment
- Does not interfere with others educational goals
- Promotes professional and ethical behaviors of all majors
- Appropriately cites others ideas, writings, and/or work
- Prohibits unapproved assistance with all academic endeavors which includes but is not limited to tests, writing, research, analysis, interpretation

##### **Academic Integrity ensures:**

- Fairness to students
- All students have the same opportunities

- Everyone receives appropriate credit for their work
- Academic honor
- A culture of civility

**Failure to uphold academic integrity:**

- Diminishes degree value
- Threatens the credibility of the institution and students

The benchmarks of any great university are high academic standards and academic integrity. Academic integrity is the hallmark of truth and honesty in an engaged university community. Students have the right and responsibility to pursue their educational goals with academic integrity. All members of the university are accountable for their actions in maintaining high standards of academic integrity. Students are responsible for completing academic requirements without action and/or material that violate academic integrity.

## Violations of Academic Integrity

**Cheating:** Cheating is intentionally using or attempting to use unauthorized materials, information, or study aids in any academic exercise. Examples of cheating include, but are not limited to:

- Using external assistance during any examination unless the instructor has specifically authorized such assistance. Examples of external assistance include but are not limited to: books, calculators, notes, formula lists, cues on a computer, photographs, cell phones, symbolic representation, and electronic devices
- Copying from another student's work. Examples include, but are not limited to: a test, paper, project, product, performance, or electronic document of file
- Completing assignments for someone or having someone complete an assignment for them
- Taking a test for someone
- Having someone take a test for them
- Submitting the same academic work more than once without permission from all instructors who may be involved.
- Obtaining a copy of an examination from an unauthorized source
- Submitting another's works as their own, using commercial term-paper companies, and/ or past papers

**Interference:** Interference is behavior that detracts from a safe, quality learning environment of others educational goals. Examples of interference include, but are not limited to:

- Disruptive classroom behavior
- Disrespectful classroom behavior
- Failure to comply with instructor instructions

**Fabrication:** Fabrication is creating something for the purpose of deception. Examples of fabrication include, but are not limited to:

- Creating false citations
- Falsifying research, lab, clinical activities, data, or source material

**Plagiarism:** Plagiarism is using the work and/or ideas of another person as if it is your own. Examples of plagiarism include, but are not limited to:

- Quoting another person's actual work without appropriate citation
- Using another person's ideas, opinion, or theory without appropriate acknowledgement
- Using facts, statistics, or other illustrative material without appropriate citation

**Academic Sabotage:** Academic sabotage is intentional impediment of others academic progress. Examples of academic sabotage include, but are not limited to:

- Destroying another's work
- Impeding another from completing their work
- Removing books, papers, journals and/or electronic devices from a student or the university
- Changing another students data, papers, results, and/or assignments
- Defacing resources

**Facilitating Academic Dishonesty:** Facilitating academic dishonesty is intentionally or knowingly helping or attempting to help another commit an act of academic dishonesty. Examples of facilitating academic dishonesty include, but are not limited to:

- Allowing another to copy assignments, papers, examination answers, lab results
- Providing copies of unauthorized examinations
- Providing copies of papers, examinations, lab results
- Developing methods for exchanging information during an examination

**Violation of research or professional ethics:** Violations in this category include professional ethical codes, university code of conduct, ethical research protocol and/or any professional standard communication by a professor or program. Examples of violations of research or professional ethics and/ or standards include, but are not limited to:

- Violation of professional ethical codes of behavior or professional standards
- Conducting research without completing university procedures
- Violation of HIPAA
- Misuse of funding
- Misuse of positions, such as teaching assistant, graduate assistant, or student worker

**Violations Involving Potentially Criminal Activity:** Violations in this category include actions such as theft, fraud, forgery, and/or distribution of unauthorized materials. Examples of violations include, but are not limited to:

- Stealing material, including electronic files
- Forging any university documents such as grade change forms
- Falsifying transcripts or grades
- Selling stolen materials
- Violating state and federal regulations governing a profession

**Repeated Academic Integrity Violations:** Students found responsible of multiple Academic Integrity related violations may be referred to the appropriate College Dean's Office for further action. Being found responsible of multiple Academic Integrity violations may result in disciplinary probation, removal from the academic program, removal from the college, and/or expulsion from the University.

## Student Rights and Due Process in the Academic Integrity Process

### Violation Policy

A student is considered to have violated the Academic Integrity Policy when the student:

- Admits to his/her responsibility for a violation; or
- Is found responsible for one or more provision of the Academic Policy

### Informal Resolution

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. The faculty member involved or appropriate administrator should meet with the student to discuss the alleged violation. In the event an informal resolution is reached, the faculty will notify the appropriate college administrator (typically an associate or assistant dean) of the violation and the outcome and provide documentation. The college administrator will create an academic integrity conduct case file and send an official informal resolution letter to the student recapping the charge and the outcome. The student will have five (5) university business days after receipt of the letter to request a formal resolution if they do not agree with outcome of the informal resolution.

### Formal Resolution

If the student and faculty member or administrator are not able to reach an informal resolution or if the student requests a formal resolution within five (5) University business days of the receipt of the letter, the faculty member or administrator should notify the appropriate college administrator (typically an associate or assistant dean) who will send a formal charge letter to the student.

### Presentation of Information Relevant to the Complaint Resolution Process

Charged students and complainants will be given every reasonable opportunity to present their information, including questions and presentation of additional testimony, during the complaint resolution proceedings. Students have the right against self-incrimination.

### Standard of Proof

The standard of proof will be "more likely than not" University policy has been violated. That proof need only show that the facts are more likely to be so than not so. Evidence, when considered and compared with that opposed to it, has more convincing force and produces in the hearing body's mind the belief that what is sought is more likely true than not true (Journal of College and University Law).

### University Advisor

The student and the complainant each have the right to an advisor. The student's advisor must be a member of the University community—student, faculty, administrator, staff, coach, recognized University affiliate, etc. The role of the advisor is to provide support and to assist in preparing for the hearing. Since the complaint resolution process is not a civil or criminal court hearing, the advisor's role is not that of an attorney representing you. This person may not address the hearing officer or hearing board or ask questions of any witnesses. For assistance in securing an advisor, contact the provost's office.



## Witnesses

Witnesses, including the student accused of violating policy, are permitted in all complaint resolution proceedings. Witnesses may present information on behalf of the student or the complainant. It is the responsibility of the student or the complainant to secure their witnesses or witness statements. Witnesses may be questioned by the hearing administrator or hearing board members, by the complainant and by the student. Witness(es) will be asked to provide information concerning only the violation(s) being adjudicated. Since the complaint resolution process does not have the authority to subpoena, witness statements may be submitted in place of having witness(es) present during the hearing.

## Academic Integrity Process Environment

All hearings are closed to the public. Only individuals involved in the situation may be present. Involved individuals may include:

- Hearing officer and/or hearing board members
  - Student accused of violating University policy
  - Advisor
  - Complainant
  - Witnesses\*
- \* Witnesses will remain only for the duration of their own testimony.

## Notification

Generally within ten (10) working days of receipt of the complaint, the associate or assistant dean will notify the charged student. This notification will include:

- The nature of the alleged inappropriate behavior.
- The date, time, and place of the alleged inappropriate behavior.
- The source of the complaint.
- A summary of information to be presented.
- The date, time, and place of the hearing.
- A description of the preservation and the release of information from the conduct record; and
- A notice that a decision will be made in the student's absence if the student chooses not to appear at the hearing, and failure to appear will be considered in reaching a decision whether or not the behavior code has been violated.

## Academic Integrity Resolution Procedures

### Academic Integrity Authority

The provost's office is charged with the development and administration of the University of Southern Indiana academic integrity process. Under the supervision of the provost's office, the following individuals will be charged with the execution of academic integrity proceedings:

- Associate Provost for Academic Affairs
- Director of Graduate Studies
- Academic Deans
- Associate and Assistant Academic Deans
- Department Chairs

## University Hearing Board

These individuals are appointed and trained by the dean of students to hear cases involving student conduct or academic integrity. When the University hearing board is convened, the dean of students/ associate provost of academic affairs or his/her designee will comprise the board by members of the University hearing board pool:

- Students residing in University housing
- Students who live off campus
- Undergraduate students
- Graduate students
- Undergraduate faculty members
- Graduate faculty members
- Administrative staff members

## Academic Integrity Process

In cases involving potential dismissal from an academic program or suspension or expulsion from the University, the student may request a hearing before the University Hearing Board. Most complaints are resolved via the administrative hearing process. An administrative hearing involves the student, the hearing officer (typically the department chair), and any other individuals necessary to determine whether the student is responsible for a violation of University policy. Advantages of an administrative hearing include a more timely resolution of the conflict and the involvement of fewer individuals.

An administrative hearing also may become necessary for those times when the full University hearing board is unable to meet. In such instances where the University hearing board would normally be convened, the associate provost for academic affairs or his/her designee will conduct the administrative hearing.

## Administrative Hearing Process

- Students will meet with a department chair. Members of the University hearing board will not conduct administrative hearings.
- Student rights will be reviewed by the hearing officer with the student.
- Charges will be reviewed with the student. At this time, students can indicate whether they believe they are responsible for the policy violation(s) or not responsible for the policy violation(s).
- A student will be given the opportunity to present his/her version of events to the hearing officer and respond to any of the materials associated with the violation.
- The hearing officer may ask questions of the student and any witnesses.
- The hearing officer will deliberate over the information and will make every attempt to reach a decision within five (5) business days from the date of the meeting as to whether or not the student is responsible or not responsible for the violation(s).
- The student will be notified of the outcome in writing. Any sanctions associated with the outcome will be included in the written notification.
- The appeals process will be outlined and included in the notification of outcome.

## University Hearing Board Procedures

- A student will meet with the University hearing board.
- Student rights will be reviewed by the hearing officer with the student.

- Charges will be reviewed with the student. At this time, the student can confirm whether he/she pleads responsible for the policy violation(s) or not responsible for the policy violation(s).
- The University representative bringing charges against the student will present his/her testimony to the University hearing board.
- The student will be given the opportunity to respond to the charges and to present materials associated with the violation.
- The University representative and accused student shall have the opportunity to present witnesses/witness statements to the University hearing board.
- The University representative and accused student may ask questions of the witnesses through the chair of the University hearing board.
- The University hearing board members may ask questions of the witnesses, the student, and the University representative.
- The University representative and accused student may summarize evidence and testimony through closing statements.
- The University hearing board will deliberate over the information and reach a decision generally within five (5) business days as to whether or not the student is responsible or not responsible for the violation(s). Decisions will be made by a majority vote of the University hearing board.
- Students will be notified of the outcome in writing by the chairperson of the board. Any sanctions associated with the outcome will be included in the written notification. Additionally, the appeals process will be outlined and included in this notification.

## Conflict of Interest

No member of the hearing board or no hearing officer who has a conflicting interest in a particular case may conduct an academic integrity hearing for said situation. Hearing board members and hearing officers with conflicting interests must recuse themselves from the proceedings. Either the student or the complainant may challenge a member of the hearing board or a hearing officer in writing with the provost's office.

## Findings

A hearing officer or the University hearing board will reach one of the following findings at the conclusion of the hearing:

- *Charges Dropped:* If the alleged conflicts prove to be unfounded, no action will be taken against the student. All written materials will be retained for a minimum of seven years and then destroyed.
- *Not Responsible:* The finding of the facts of the case found that it was NOT "more likely than not" that the student was responsible for the violation(s). No action will be taken against the student. All written materials pertaining to that charge will be retained for one year and then destroyed.
- *Responsible:* The finding of the facts of the case found that it was "more likely than not" that the student was responsible for the violation(s). Sanctions, restrictions, and/or stipulations can be imposed. All written materials will be retained for a minimum of seven years and then destroyed, except in the case of suspension or expulsion and/or at the discretion of the dean of students, which becomes a matter of permanent record.

## Level of Violations and Sanctions

A violation of academic integrity is a serious offense subject to sanction. The University of Southern Indiana classifies violations into three levels. Classification of violations depends upon several factors, such as premeditation/ planning, dishonest or malicious intent, first-time violation/ multiple violations, the academic experience, and the assignment. The classification of violations examines offenses in the context of the situation, facts, and evidence. Therefore, academic integrity violations committed by graduate students often are more

severely penalized than the same violation committed by an inexperienced undergraduate student. Violation of academic integrity, even a first offense, places the student in jeopardy of the most severe form of sanction – expulsion from the University.

Severity of Offense	Examples	Possible Sanctions
Level I	<ul style="list-style-type: none"> <li>◦ Small portion of work not cited</li> <li>◦ Unauthorized assistance/ collaboration on assignments</li> <li>◦ Disruptive classroom behaviors</li> <li>◦ First violation</li> </ul>	<ul style="list-style-type: none"> <li>◦ Failing the assignment</li> <li>◦ Educational activity</li> <li>◦ Rewriting the assignment for partial credit</li> <li>◦ Removal from the class</li> </ul>
Level II	<ul style="list-style-type: none"> <li>◦ Plagiarism</li> <li>◦ Using unauthorized devices or material on exams</li> <li>◦ Facilitating dishonesty</li> <li>◦ Multiple violations</li> </ul>	<ul style="list-style-type: none"> <li>◦ Failing the assignment</li> <li>◦ Failing the class</li> <li>◦ Dismissal from the program</li> <li>◦ Probation</li> </ul>
Level III	<ul style="list-style-type: none"> <li>◦ Falsifying data</li> <li>◦ Violating research and/or professional ethics or standards</li> <li>◦ Criminal activities</li> <li>◦ Destroying or obstructing another student's work</li> <li>◦ Multiple violations</li> </ul>	<ul style="list-style-type: none"> <li>◦ Dismissal from the program</li> <li>◦ Academic probation</li> <li>◦ Expulsion from the institution</li> </ul>

## Appeals

Students found responsible for a violation of the Academic Integrity Policy may appeal. An appeal from any decision, either administrative hearing or University hearing board, must be made in writing within two (2) business days following the date the hearing record notification is assigned and notice is received by the student. The University Disciplinary Appeal Form can be found at <http://www.usi.edu/deanofstudents/code>.

## Format of Appeal

An appeal shall be written and contain the student's name, the date of the decision or action, and the reason(s) for the appeal. The appeal letter must specify in detail one or more of the following bases for appeal:

- Student's rights were violated as a result of failure of due process (specify right believed to have been violated),
- Decision is arbitrary (no basis in University policy for decision) or capricious manner (the finding is against the substantial weight of the evidence),
- Significant new evidence is available that could change the outcome, and/or
- The appropriateness of the sanction is inconsistent with University community standards.

## Appellate

The dean of the College in which the alleged violation occurred will review appeals.

## Appeal Process

The appellate officer will review the written letter of appeal from the student and determine if one of the basis for appeal is present. If it is, a consideration of the appeal will be granted. The appellate officer shall review:

- The response from the hearing officer/body.
- Materials presented at the original hearing, and if available the recorded transcript of the hearing.

Appeals shall be decided upon the record of the original proceedings and upon the written briefs submitted by the parties. Decisions of the hearing bodies will be given great deference by the appellate decision maker. After reviewing these materials, the appellate officer may decide to do one of the following:

- Affirm the finding and the sanction imposed.
- If specified errors occurred, remand to the original decision makers to reverse the error, change the procedures, consider new evidence that could not have been discovered by a properly diligent accused before or during the original hearing, substitute new adjudicators, or otherwise repair the grounds that gave rise to the appeal.
- Affirm the finding and reduce, but not eliminate or increase the sanction if found to be grossly disproportionate to the offense.
- Cases may only be dismissed if the finding is held to be arbitrary and capricious.

A crucial point in the appeals process is the shifting of the burden of proof. At the initial hearing, the burden of proof lies with the complainant. Once there is a finding of responsibility, the burden shifts to the petitioner. The decision on the appeal will generally be made within ten (10) business days of receipt of the appeal, but may take longer during University recesses or in the event of complex cases.

## Provost Review

If the dean upholds the original decision, the Appellant may request that the dean's decision be reviewed by the provost or his/her designee if the outcome is dismissal from an academic program or suspension or expulsion from the University. Persons wishing to pursue this review must submit a request in writing to the provost's Office within ten (10) business days after the date of receiving written notice of the dean's appeal decision. Upon receipt of this written request from the appellant, the provost's office will request the complete file of the complaint and the dean's appeal evaluation. The provost or his/her designee will review all documentation and evidence that was used in support of both the original complaint outcome and the appeal decision. The provost or his/her designee will have the option to uphold the prior decision all or in part, to overturn and reverse the decision all or in part, or to refer all or part back to the department chair with recommendations for further action. Within ten (10) business days after receiving the request for review, the provost or his/her designee will notify the student of the outcome.

## Faculty Absences

### Date

9/11

### Item

III

Any faculty member who cannot meet his/her class or lab period must notify the department chair and 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. Faculty are not permitted to take vacation day(s) during the semester when they have teaching, service, or other professional obligations at the University – except when applied during an approved leave of absence under FMLA or under the University's personal leave of absence policy as described in policy D.7.

## Outside Services Performed by Faculty Members

### Date

8/20

### Item

III

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 University.

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:

## 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 and his/her department chair.
3. Consulting is permitted provided the faculty member's full time obligation to the University is met.
4. The academic activities of students and postdoctoral scholars must be free from the personal commercial and consulting interests of the faculty member.
5. If a faculty member serving as a consultant to an outside agency or company requires the use of University facilities and/or equipment for purposes of the consultantship, such usage shall only be with permission of the department chair or dean.
6. Preferential access to research results, materials or products generated from University teaching or research activities may not be provided to an outside entity for personal financial gain.
7. Confidential information acquired through conduct of University business or research activities may not be used for personal gain, or to grant unauthorized access to others; confidential information includes any information that comes into your possession as a result of your employment by the University that is not broadly available to the general public.
8. Reimbursement for service rendered to organizations not connected with the University will be in the amount agreed upon by the consultant and the organization.
9. 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.

Arrangements for such outside payments should be made through the dean, the provost, and the Business Office and Human Resources.

## 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. In the event that a question arises about the conflict of outside work with effective service to the University, the faculty member is responsible for consulting with their respective department chair and dean. The decision by the dean, subject to review by the provost, shall be final on this point.

## Faculty Enrollment in Courses

**Date**

9/11

**Item**

III

A faculty member must have permission from the provost 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

**Date**

12/18

**Item**

III

### 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.

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.

### 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.

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 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.

### 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. The dean also may initiate steps to have a chair removed, as may the provost. 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 Leadership Committee and College Curriculum 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, Enrollment Management and Student Development 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 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

**Date**

12/18

**Item**

III

### 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.

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 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 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 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. The provost will approve visits for candidates.

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 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 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 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 will conduct an investigation, will communicate the outcome to the college, and will report them to the president for the University. The provost 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 Leadership 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:
    - Provost 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 outreach and engagement plan for the college in conjunction with the Associate Provost for Outreach and Engagement.
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 on appointments, reappointments, promotions, leaves of absence, dismissals, suspensions, salaries, and tenure of personnel.
  - f. Monitor faculty workloads and recommend to provost special assignments of faculty.
- 6. Students
  - a. Coordinate, with the Registrar's Office, Enrollment Management and Student Development, 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

**Date**

7/05

**Item**

III

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

The director of David L. Rice Library 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

The director is appointed on the recommendation of the provost. 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 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 in accordance with procedures the provost 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 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 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. The provost 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 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 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 giving support for such action. The provost will conduct an investigation and will forward the results to the president for the University. The provost 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, director, faculty, and staff are referable to the president.

### VI. Duties and Responsibilities of Director of Library

#### A. General

1. The director of David L. Rice Library is the ranking administrator, responsible to the provost for the total operation of the David L. Rice Library.
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 David L. Rice Library should proceed in providing optimum services to its clientele.
4. The director is responsible for representing the David L. Rice Library 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:
    - Provost's 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 David L. Rice Library.

3. Personnel
  - a. Assure that the interests of the David L. Rice Library 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 David L. Rice Library to their clientele.
  - b. Seek support, financial and otherwise, from the external community.
  - c. Represent the David L. Rice Library to professional groups.
  - d. Supervise the promotion of the David L. Rice Library and their use to their primary and secondary clientele.
5. Budget
  - a. Seek and distribute allocation of new resources into the David L. Rice Library 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 David L. Rice Library budget.
  - f. Prepare annual and other applicable budget requests and make necessary reports of expenditures.

## Academic Appointment, Promotion, and Tenure

**Date**

12/18

**Item**

III

### A. TERMS OF APPOINTMENT

1. The University of Southern Indiana is an equal opportunity employer.
2. The appointment of faculty members, library faculty and administrative officers is governed by professional considerations, not by political or other non-professional factors.
3. 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 or online) classes.
4. 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 faculty credentials.
5. The terms of employment of faculty and professional personnel employed on other than academic year contracts are established annually in a written agreement between the employee and the University.
6. The University retains the right, through the appropriate dean or director, 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 reasons.
7. Academic assignments are determined by the chair or director of the department, the dean or director, the provost, 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 person to another.

8. 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 rank-eligible or contract basis. Administrative or staff personnel who are not appointed to a faculty position are not considered faculty.
9. 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." A faculty member's home department shall be responsible for promotions, salary, and tenure recommendations. 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 evaluation is to be submitted to all departments in which the faculty member has been assigned.
10. 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. If the provost 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 no less than ten years as of the date of the most recent recommendation.

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.

## B. TYPES OF APPOINTMENT

Regular (non-temporary) faculty members may be appointed as either rank-eligible or contract faculty. All other faculty assignments are temporary.

### I. Rank-Eligible 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 or clinical track upon the completion of all 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 identified in the letter of appointment;
  3. Eligible for full participation in the affairs of the 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 to Rank-Eligible Teaching Faculty include the following:

**Assistant Professor.** Persons with an earned terminal degree as determined by the discipline but little or no professional experience are usually appointed to the rank of assistant professor.

**Associate Professor.** The associate professor holds an earned terminal degree as determined degree and has had significant professional experience.

**Professor.** The professor holds an earned terminal degree and has had extensive professional experience.

**Clinical Faculty.** Clinical Faculty serve primarily in practice disciplines and will be held to the same standards in teaching, advising, and service as are tenure track/tenured faculty. The scholarship expectations of clinical faculty consist of a focus on application, evaluation, and dissemination of clinical, industrial, or professional practice. Clinical faculty appointments are non-tenure positions with the same rank as tenure track/tenured faculty, but provide for renewable term appointment and are eligible for promotion.

**Clinical Assistant Professor.** Persons with an earned master's degree as determined by the discipline but little or no professional experience are usually appointed to the rank of assistant professor.

**Clinical Associate Professor.** The associate professor holds an earned terminal degree as determined degree and has had significant professional experience.

**Clinical Professor.** The professor holds an earned terminal degree and has had extensive professional experience.

**Regular Full-Time Library Faculty.** Regular Full-Time Library Faculty are appointed in ranks analogous to and modeled on faculty ranks. These are affiliate librarian, assistant professor of library science, associate professor of library science, and senior professor of library science. 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. Library faculty are both rank-eligible and tenure-eligible.

## II. **Contract Full-Time Teaching Faculty**

- A. Members of the teaching faculty appointed to serve in specified assignments and are not eligible to progress in rank. These assignments may be for one semester or an academic year and are on a full-time basis during the term of employment. 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
- 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**.
- 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. **Contract Assistant Professor, Contract Associate Professor, or Contract Professor.** Changes from contract appointments to regular faculty status must follow the customary procedures of the University. Persons holding contract appointments are not eligible for tenure.
  3. **Affiliate Faculty.** Affiliate Faculty may serve in a primary or secondary appointment. If in a primary appointment, the faculty member is in a non-credit program of the University. If in a secondary appointment, the faculty members are academic professionals whose primary role is outside of the department of affiliation, but are assigned to specific tasks related to departmental program. Affiliate appointments are non-board-appointed, nonvoting, and persons holding affiliate appointments earn no credit toward tenure. Affiliate Faculty will receive

no additional compensation for a secondary appointment. Affiliate appointments are recommended by the appropriate academic department/college and approved by the dean and provost.

### III. Temporary Contract Teaching Faculty

- A. Members of the teaching faculty appointed to serve in specified temporary assignments are not eligible to progress in rank and are not eligible for tenure. These appointments may be either on a full-time or a part-time basis.
  - 1. Temporary contract faculty assigned to teach full-time may be assigned for one semester or for an academic year.
  - 2. Temporary contract faculty assigned to teach part-time are assigned for a single semester.
  - 3. For benefits eligibility of temporary faculty, refer to University Handbook B.4 Employee Groups – Faculty, and C. Benefit Programs and Eligibility.
  - 4. Persons appointed as Temporary Contract Teaching Faculty are not considered members of the voting faculty as defined in Article I of the Faculty Constitution.
- B. Ranks which may be assigned include the following:
  - 1. **Adjunct Faculty:** 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 instructor must be approved by the academic department and recommended through the usual channels. Adjunct faculty are not eligible for tenure.
  - 2. **Visiting Faculty:** 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.
  - 3. **Post-Doctoral Fellow:** The title "Post-Doctoral Fellow" may be used for persons with an earned doctorate who are engaged in a temporary period of mentored research and/or scholarly training at the university. The person recommended to be a postdoctoral fellow must be approved by the academic department and recommended through the usual channels. Post-doctoral fellows are not eligible for tenure.
  - 4. **Dissertation Fellow:** The title "Dissertation Fellow" may be used for persons who have made significant progress towards their doctoral degrees who are engaged in a period of mentored research, teaching, and/or scholarly training at the university. The persons recommended for selection as dissertation fellows may be chosen by a selection committee, approved by the academic department, and recommended through the usual channels. Dissertation Fellows are not eligible for tenure.

### C. APPOINTMENT PROCEDURES

#### Selection of Tenure and Renewable Faculty Appointments

The number of faculty members needed in of each college or academic unit is 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 Provost's Office. Each dean or director is notified of that college's staff allocations.

A faculty search committee is convened by the dean or director who will typically delegate primary responsibility for the search to the chair of the department to which the faculty position will be assigned.

A search committee of at least three faculty members appointed by the department chair or director or will evaluate applications for all tenure or clinical track positions. In the case of hiring a department chair or director or in unusual circumstance, the search committee will be appointed by the dean or provost. The functions of the search committee are to evaluate applicants, to recommend to the dean or director 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 or director.

The provost will make recommendations for appointments to the president of the University.



## 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 consultation with the department's search committee.

## Faculty Credentialing Policy

### Faculty Qualifications and Tested Experience

#### A. Undergraduate Faculty policy

The University of Southern Indiana (USI) recognizes and adheres to the Higher Learning Commission (HLC) guidelines for determining qualified faculty through HLC's Criteria for Accreditation and Assumed Practices (B.2). USI employs competent faculty who are qualified to accomplish the mission and goals of the University. When determining acceptable qualifications of its faculty, including dual credit instructors, the University gives primary consideration to the highest earned degree in the discipline. This policy recognizes that in some instances, there may be a generally accepted standard with regard to some disciplines that allows for a faculty member's qualifications to be other than the required graduate hours in a sub-field. HLC's Assumed Practice B.2 allows an institution to determine that a faculty member is qualified based on tested experience outside of the classroom in real-world situations relevant to the discipline in which the faculty member would be teaching. As a result, the University may consider, as appropriate: competence; effectiveness; related work experience; certification(s); licensure; demonstrated competencies; and honors, awards and achievements that contribute to effective teaching and learning outcomes. The following are general guidelines for using *Tested Experience* to determine faculty qualifications:

1. Faculty holding a current and unrestricted national or state-issued license or certification in the field, and/or 5+ years of relevant work in the field, may teach introductory level courses.
2. Faculty holding a current and unrestricted national or state-issued license or certification in the field, with 10+ years of relevant work in the field, may teach any undergraduate level class.
3. Faculty who teach skill/activity based classes must have 5+ years of performance experience or demonstrated mastery in the skill/activity based teaching area.
4. Faculty who were hired prior to January 1, 2016 and have neither a master's degree in the field nor 18 completed graduate hours in the teaching discipline must have a documented plan for completion that is approved and signed by the relevant chair and dean.
5. Faculty who work in programs that hold national accreditation or have state board mandates must meet either the accreditation or state board expectations for faculty credentials.
6. Faculty who do not meet guidelines 1-5 above must show/demonstrate discipline-based expertise through scholarly activities, including but not limited to: publications, presentations, professional engagement, consulting, honors, awards, continuing education, etc.

For faculty who are deemed qualified to teach for USI by way of tested experience, documentation must be completed to provide a rationale and proper approvals must be obtained by the relevant chair and dean prior to the time an offer of employment is made.

1. In business, although Masters in Accounting, Finance, Management and Marketing degrees exist, for those faculty members with business practice, the MBA is a generally accepted qualification for someone teaching in these and other business fields at the undergraduate level.
2. A teaching license, even with extensive classroom experience, does not fulfill the guidelines for faculty qualifications and tested experience.

#### B. Graduate Faculty policy

The University of Southern Indiana (USI) recognizes and adheres to the Higher Learning Commission (HLC) guidelines for determining qualified faculty through *HLC's Criteria for Accreditation and Assumed Practices* (B.2). USI employs competent faculty who are qualified to accomplish the mission and goals of the university. When determining acceptable qualifications of its graduate faculty, the university gives primary consideration to the highest earned degree, and for graduate programs this is a terminal degree in the discipline. This policy recognizes that in some instances, there may be a generally accepted standard with regard to some disciplines that allows for a faculty member's qualifications to be other than a terminal degree determined by the discipline if there exists a demonstrable record of research, scholarship or achievement appropriate for the graduate program. HLC's Assumed Practice B.2 allows an institution to determine that a faculty member is qualified based on tested experience outside of the classroom in real-world situations relevant to the discipline in which the faculty member would be teaching. As a result, the university may consider as appropriate to the program and degree offered: research and scholarly work; competence; effectiveness; related work experience; certification(s); licensure; demonstrated competencies; and honors, awards, and achievements that contribute to effective teaching and learning outcomes. In situations where the faculty does not have the terminal degree in an appropriate discipline, the following guidelines may be used to determine tested experience:

1. Graduate faculty holding a master's degree in an appropriate discipline with national or state issued valid and unrestricted license or certification in the field and 2+ years of relevant work experience, may teach master's level courses.
2. Graduate faculty who teach master's level skill/activity based courses must hold a master's degree in an appropriate discipline and have 5+ years of performance experience or demonstrated mastery in the skill/activity based teaching area.
3. Graduate faculty who work in programs that hold national accreditation or have state board mandates must meet either the accreditation or state board expectations for graduate faculty credentials.
4. Graduate faculty who do not meet guidelines 1-3 above must show/demonstrate national or international discipline-based expertise through scholarly activities, including but not limited to: publications, presentations, professional engagement, consulting, honors, awards, continuing education, etc.

For faculty who are deemed qualified to teach graduate programs for USI by way of tested experience, documentation must be completed to provide a rationale and to obtain approvals from the relevant chair and dean prior to the time an offer of employment is made.

#### D. PROMOTION, AND TENURE

Members of the regular, full-time faculty may be eligible for promotion and/or tenure. A strong faculty possesses a diversity of skills, academic preparation, and experience. In general, however, when making judgments about initial appointments, promotion recommendations, and tenure,

members of the teaching faculty, chairs, and administrators should consider achievements in the following basic areas: 1) teaching/professional performance, 2) scholarship and professional activity, 3) practice (for clinical faculty), and 4) service.

## **I. Evaluation Areas**

### **A. Teaching/Professional Performance**

#### **1. Rank-Eligible Full-Time Teaching and Clinical Faculty**

For teaching faculty, teaching occupies a central position among academic duties. 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 the faculty member has primary responsibility. Moreover, effective teaching assumes intellectual competence and integrity, innovative and effective pedagogical techniques that stimulate and direct student learning, cooperation with students and colleagues, and scholarly inquiry which results in constant assessment and improvement of courses and curricula consistent with new knowledge.

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 of teaching; letters of evaluation 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.

Teaching also includes effective academic advising. Because the university identifies academic advising as a crucial element in students' educational development, academic success, and post collegiate goals, quality advising is considered a significant component in the evaluation of faculty. Effective academic advisors demonstrate an interest in mentoring students, provide accurate information relating to the university core curriculum and major requirements, and assist students in identifying and pursuing educational goals. Faculty members should provide documentation of advising activities. Such evidence could include communications with students, number of advisees in relation to overall department average, peer evaluations, records of contributions to departmental advising events, and participation in advising related professional development opportunities.

#### **2. Library Faculty**

For library faculty, 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 professor and professor 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.

## **B. Scholarship and Professional Activity**

### **1. Rank-Eligible Full-Time Teaching Faculty**

**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 evidence such 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.

**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.

### **2. Clinical Faculty**

**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 collaborating with researchers or leading clinical research investigations; activities leading to

participation in and papers presented to professional meetings and the publication of articles and books with a focus on clinical practice; establishing evidence-based practice protocol; peer-reviewed documentation of applied research projects and their impact; and the receipt of professional honors, grants, and awards.

**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.

**Practice (for Clinical Faculty).** Practice is the foundation for teaching and professional activity in a practice, industrial, or professional discipline. Evidence in practice expertise include designing and implementing a clinical milieu for students' learning experiences; demonstrating leadership in practice through consultation and improvement of practice guidelines; and being recognized for practice expertise at the regional and national level.

### 3. Library Faculty

**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.

**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.

## C. Service

### 1. Rank-Eligible Full-Time Teaching, Clinical and Library Faculty

**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.

**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 stemming from their disciplinary and professional expertise and skills.

#### D. **Criteria for Promotion and Tenure**

Criteria and requirements listed below should guide all concerned with academic promotions and/or tenure decisions. 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 is met when a candidate meets all requirements to be considered for promotion.)

Ordinarily faculty members serving a probationary period may not submit applications for promotion until the final year of probation, but application may be made earlier if eligible according to the quantitative and qualitative criteria.

Tenure can only be granted to those individuals who apply for and meet the criteria for promotion to the rank of associate professor, or who have already attained that rank at the University of Southern Indiana. After satisfactory service during a probationary period and upon meeting the conditions below, a faculty member who holds the rank of assistant professor or higher shall be considered for academic tenure.

Once tenure is granted, an individual shall be terminated from employment only for adequate cause, except under extraordinary circumstances, like, but not limited to, 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 the probationary period of full-time service in accredited educational institutions, three years of which must have been served at the University of Southern Indiana, faculty members who meet criteria for promotion to associate professor or higher rank shall become eligible for tenure. 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).
4. Tenure is ordinarily granted at the close of the probationary period, simultaneous with the consideration for promotion to associate professor. Faculty members who are

unsuccessful in their application for promotion at the end of their probationary period shall not be granted tenure and their notification of non-reappointment will be dated not later than twelve months before the expiration of the appointment.

5. Probationary faculty members holding the rank of associate professor are not required to apply for promotion and tenure simultaneously. Untenured associate professors shall apply for tenure at the end of their probationary period, the length of which shall be mutually agreed upon at the time of hire.

## Criteria for Rank-Eligible Teaching Faculty

### Instructor to Assistant Professor

#### A. Quantitative Criteria

1. Should attain three years of teaching experience in rank.
2. Should complete 30 semester hours of graduate work beyond the master's degree, or the equivalent, in an area relevant to the teaching assignment.
3. Should have at least five years of teaching experience or equivalent professional experience.
4. Should have taught at the University of Southern Indiana at least three years.
5. Shall be eligible for promotion the academic year following completion of the doctorate or terminal degree.

#### B. Qualitative Criteria

1. Should meet the criteria for Assistant Professor in teaching, scholarship/professional activity and service.
  - a. Teaching: Teaching performance should be supported by demonstrable evidence of development in pedagogical techniques, cooperation with students and colleagues, and scholarly inquiry. Advising performance should be supported by demonstrable evidence of development in effective advising techniques.
  - b. Scholarship and Professional Activity: Academic preparation should be sufficient for progress in teaching, independent scholarship, and creative work. A foundation of professional activity should be in evidence.
  - c. Service: University service should be in evidence at least at the college level. The candidate should demonstrate activity with the University's continuing education area or membership and activity in local community and public service agencies, groups, and other organizations.
2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

### Assistant Professor to Associate Professor

#### A. Quantitative Criteria

1. Should have attained an earned doctorate or terminal degree.
2. Should have attained four years in rank.
3. 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.

4. Should have at least five years of teaching experience or equivalent professional experience.
  5. Should have taught at the University of Southern Indiana at least three years.
  6. Should have received or be eligible to receive tenure. Individuals not currently tenured, who are applying for promotion to associate professor, are required to simultaneously apply for tenure.
- B. Qualitative Criteria
1. Should meet criteria for Associate Professor in teaching, scholarship/professional activity, and service.
    - a. Teaching: Teaching performance should be supported by demonstrable evidence of continuing development and implementation of effective pedagogical techniques, evidence of student learning, cooperation with students and colleagues, and independent scholarly inquiry as reflected in the revision of course content to improve student learning. Advising performance should be supported by demonstrable evidence of engagement and understanding of departmental and university advising programs, processes, and goals.
    - b. Scholarship and Professional Activity: The production of scholarly or creative works should be of sufficient merit to gain local, state, or regional recognition. Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.
    - c. Service: Effective University service at various levels should be apparent. The candidate should demonstrate effective community service at various levels.
  2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

### **Associate Professor to Professor**

- A. Quantitative Criteria
1. Should have attained an earned doctorate or terminal degree.
  2. Should have attained four years in rank.
  3. Should have at least ten years of teaching experience or equivalent professional experience.
  4. Should have taught at the University of Southern Indiana at least three years.
  5. Should have held the doctorate or other terminal degree at least six years.
  6. Should have received or be eligible to receive tenure. Individuals not currently tenured who are applying for promotion to professor, are required to simultaneously apply for tenure.
- B. Qualitative Criteria
1. Should meet criteria for Professor in teaching, scholarship/professional activity, and service.
    - a. Teaching: Teaching performance should be supported by demonstrable evidence of continuing development of effective pedagogical techniques and significant cooperation with students and colleagues, evidence of student learning supported by continuing scholarly inquiry through which new knowledge affects course and curricular revision to improve student learning. Advising performance should be supported by demonstrable evidence of engagement and understanding of departmental and university advising programs, processes, and goals. Faculty should be mentors for early career faculty.
    - b. Scholarship and Professional Activity: The production of scholarly or creative works should be of sufficient merit to gain regional, national, or



- international recognition. 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: Effective leadership in University service at various levels should be apparent. Leadership within local and regional groups should be apparent.
- 2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

## Criteria for Rank-Eligible Clinical Faculty

### Instructor to Clinical Assistant Professor

- A. Quantitative Criteria
  - 1. Should hold a master's degree in discipline or related field.
  - 2. Hold valid and unrestricted state/national certification/licensure in area of expertise.
- B. Qualitative Criteria
  - 1. Should meet criteria for Assistant Professor in teaching, scholarship/professional activity, practice, and service.
    - a. Teaching: Teaching performance should demonstrate competency in classroom and clinical, industrial, or professional teaching; evidence of depth in area of specialty; and responsible for curriculum implementation and evaluation. Advising performance should be supported by demonstrable evidence of development in effective advising techniques.
    - b. Scholarship and Professional Activity: Academic preparation should be sufficient for progress in teaching, demonstrating expertise in clinical, industrial, or professional practice, and contributing to the development of materials pertinent to practice. A foundation of professional activity should be in evidence.
    - c. Practice: Designs and implements clinical, industrial, or professional environment for students' experiences, facilitates collaborative relationships, and has advanced clinical, industrial, or professional experience.
    - d. Service: University service should be in evidence at least at the college level. The candidate should demonstrate activity with the University's continuing education area or membership and activity in local community and public service agencies, groups, and other organizations.
  - 2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair/director, and dean.

### Clinical Assistant Professor to Clinical Associate Professor

- A. Quantitative Criteria
  - 1. Should have attained the terminal degree in discipline as determined by the college and program.
  - 2. Should have attained six years in Clinical Assistant Professor rank.

3. Hold valid and unrestricted state/national certification/licensure in area of expertise.
  4. Should have taught at the University of Southern Indiana at least three years.
- B. Qualitative Criteria
1. Should meet criteria for Associate Professor in teaching, scholarship/professional activity, practice, and service.
    - a. Teaching: Teaching performance should be supported by demonstrated evidence of effective classroom and/or clinical, industrial, or professional teaching; documentation of innovative student clinical experiences, evidence of student learning, and proof of leadership role in curriculum activities. Advising performance should be supported by demonstrable evidence of engagement and understanding of departmental and university advising programs, processes and goals.
    - b. Scholarship and Professional Activity: Assumes a leadership role in the development of materials pertinent to practice, presents evidence of clinical, industrial, or professional scholarship and/or applications, and initiates research utilization in practice setting. Has a regional reputation as an expert in clinical, industrial, or professional specialty. Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.
    - c. Practice: Demonstrates expertise through clinical, industrial, or professional practice and/or applications, leadership through clinical, industrial, or professional consultation and improvement of clinical, industrial, or professional guidelines. Also participates in the development of clinical, industrial, or professional programs.
    - d. Service: Effective University service at various levels should be apparent. The candidate should demonstrate effective community service at various levels.
  2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair/director, and dean.

## Clinical Associate Professor to Clinical Professor

- A. Quantitative Criteria
1. Should have attained an earned doctorate.
  2. Should have attained four years in Clinical Associate Professor rank.
  3. Hold valid and unrestricted state/national certification/licensure in area of expertise.
  4. Should have taught at the University of Southern Indiana at least three years.
- B. Qualitative Criteria
1. Should meet criteria for Professor in teaching, scholarship/professional activity, practice, and service.
    - a. Teaching: Teaching performance should be supported by demonstrable evidence of continuing development of effective teaching in classroom and/or clinical setting. Assumes leadership role in program development and evaluation, and mentors faculty in advising.
    - b. Scholarship and Professional Activity: The production of scholarly works should be of sufficient merit to gain regional and national recognition. Hold national reputation as an expert in clinical, industrial, or professional specialty and mentors early career faculty with scholarly activities.

- 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. Practice: Demonstrates clinical, industrial, or professional expertise and leadership at regional and national levels and serves as a consultant to professional colleagues on practice at the regional or national level.
- d. Service: Effective University service at various levels should be apparent. Leadership within local and regional groups should be apparent.
- 2. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair/director, and dean.

## Criteria for Library Faculty

### Affiliate to Assistant Professor

- A. Quantitative Criteria
  - 1. Should attain three years of librarian experience in rank.
  - 2. Should have at least one year of librarian experience or equivalent professional experience.
  - 3. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.
  - 4. Attainment of master's degree
- B. Qualitative Criteria
  - 1. Should meet criteria for assistant librarian in professional performance, scholarship/professional activity, and service.
    - a. Professional performance: Professional performance should be supported by demonstrable evidence of development of professional techniques, cooperation with students and colleagues, and scholarly inquiry.
    - b. Scholarship and Professional Activity: Academic preparation should be sufficient for progress in professional performance, independent scholarship, and creative work.
    - c. Service: University service should be apparent at least at the department level and may include committee work.
  - 2. Should have positive recommendations for promotion from the internal promotions committee and the director.

### Assistant Professor to Associate Professor

- A. Quantitative Criteria
  - 1. Should have attained four years in rank.
  - 2. Should have at least five years of librarian or equivalent professional experience.
  - 3. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.
  - 4. Should have received or be eligible to receive tenure. Individuals not currently tenured, who are applying for promotion to associate professor, are required to simultaneously apply for tenure
- B. Qualitative Criteria

1. Should meet criteria for associate professor in professional experience, scholarship/professional activity, and service.
  - a. Professional Performance: 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.
  - b. Scholarship and Professional Activity: 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 and analysis of other library 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. Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.
  - c. Service: Effective University service at various levels should be apparent. The candidate should demonstrate effective community service at various levels.
2. Should have positive recommendations for promotion from the internal promotions committee and the director.

## Associate Professor to Professor

### A. Quantitative Criteria

1. Should have attained four years in rank.
2. Should have a least ten years of librarian or equivalent professional experience.
3. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.
4. Should have held the terminal degree at least six years.
5. Should have received or be eligible to receive tenure. Individuals not currently tenured, who are applying for promotion to associate professor, are required to simultaneously apply for tenure.

### B. Qualitative Criteria

1. Should meet criteria for professor in professional performance, scholarship/professional activity, and service.
  - a. Professional Performance: 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: 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, analysis of other library 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.
- c. Service: Effective leadership in University service at various levels should be apparent. Leadership within local and regional groups should be apparent.
- 2. Should have positive recommendations for promotion from the internal promotions committee and the director.

## E. PROCESS FOR PROMOTION AND TENURE FOR RANK- ELIGIBLE TEACHING AND LIBRARY FACULTY

During the probationary period, the appointee is given sequential term appointments of two two-year terms 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 at the current address maintained by the Human Resources Office.)
2. If unusual circumstances exist, faculty members may submit a written request to break the sequence of the probationary period to the dean and the provost for approval.
3. Any interruption of the probationary period that reduces the time spent actually working during 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.
4. During the probationary period, the faculty member shall have the same academic freedom enjoyed by all other members of the faculty.
5. At all levels of evaluation during the probationary period, faculty members will be notified of weaknesses or evidence of unsatisfactory performance or of any condition that might serve as a basis for non-renewal of their appointment.
6. Service under a part-time or adjunct appointment shall not be counted as part of the required probationary period of service.
7. Faculty members on term appointment may submit their resignation prior to the official notification of non-renewal of their appointment.
8. A leave of absence without pay granted during the probationary period will delay tenure eligibility.
9. If an appointee is granted one year of credit for service at another regionally 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.
10. If an appointee is granted two years of credit for service at another regionally 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.

11. If an appointee is granted three years of credit for service at another regionally 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.

## F. PROCESS FOR REAPPOINTMENT AND PROMOTION FOR CLINICAL FACULTY

The appointee is given appointments for multi-year periods based on rank that are subject to satisfactory outcome of comprehensive reviews and needs by the program and college.

1. Faculty at the rank of Clinical Assistant Professor rank will hold two-year appointments that are renewable for two-year periods with yearly annual review. Faculty at the Clinical Associate Professor rank will hold three-year appointments that are renewable for three-year periods with yearly annual review. Faculty at the rank Clinical Professor will hold five-year appointments that are renewable for five year periods with yearly annual review.
2. Faculty must have held the rank of Clinical Assistant Professor for six years to be eligible for promotion to Clinical Associate Professor. Faculty at the rank of Clinical Assistant Professor are eligible to apply for promotion to Associate Clinical Professor during the fall of their seventh year of service. Faculty must hold the rank of Clinical Associate Professor for four years to be eligible for promotion to Clinical Professor. Faculty at the rank of Clinical Associate Professor are eligible to apply for promotion to Clinical Professor during the fall of their fifth year of service.
3. The notification of reappointment or non-reappointment for faculty at the rank of Clinical Assistant Professor at the University of Southern Indiana shall be dated not later than December 15 of the second year of the two-year appointment. The notification of reappointment or non-reappointment for faculty at the rank of Clinical Associate Professor at the University of Southern Indiana shall be dated not later than December 15 of the third year of the three-year appointment. The notification of reappointment or non-reappointment for faculty at the rank of Clinical Professor at the University of Southern Indiana shall be dated not later than December 15 of the fifth year of the five-year appointment. (The notification shall be by first-class mail at the current address maintained by the Human Resources Office.)
4. If unusual circumstances exist, faculty members may submit a written request to break the sequence of the appointment period to the dean and the provost for approval.
5. Any interruption of the appointment period that reduces the time spent actually working during the academic year to less than a full-time service period will result in a delay of promotion eligibility until the entire appointment period has been completed.
6. Clinical faculty members shall have the same academic freedom enjoyed by all other members of the faculty.
7. At all levels of evaluation during the appointment period, faculty members will be notified of weaknesses or evidence of unsatisfactory performance or of any condition that might serve as a basis for non-renewal of their appointment.
8. Service under a part-time or adjunct appointment shall not be counted as part of the required appointment period of service.
9. Faculty members on term appointment may submit their resignation prior to the official notification of non-renewal of their appointment.
10. A leave of absence without pay granted during the appointment period will delay promotion eligibility.

## Procedures for Promotion

**Date**

12/18

**Item**

## I. Rank-Eligible Teaching, Clinical and Library Faculty

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 Provost's Office 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 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.

## Opportunity to Withdraw an Application

### Date

12/18

### Item

III

Once submitted to the dean, an application for promotion is automatically routed through the various faculty committees and administrative offices of the university regardless of the nature of the recommendations that may be made regarding the application for promotion unless the individual faculty member requests in writing 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 President's Office.

## Dismissal from Employment

### Date

12/18

### Item

III

Termination 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 to the president for the University.

## Responsibilities of Personnel Involved in the Promotions Process

### Date

12/18

### Item

III

To avoid the even the appearance of a potential conflict of interest, any individual who is a candidate for promotion and/or tenure may not participate in the formal review process at any level during the year of their candidacy.

### A. Applicant

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 in November or to transmit it to the department chair at an earlier prescribed date if a departmental evaluation is to be used.
3. An applicant may withdraw the promotion application by written request to the Provost at any time prior to its being transmitted to the Board of Trustees.

**B. Chair of Academic Unit (may not be applicable to all academic units)**

The Chair will assume these responsibilities:

1. To receive the applicant's promotion application.
2. To evaluate pertinent information concerning an applicant's qualifications for promotion and/or tenure in the areas of evaluation specified in the University Handbook.
3. To provide the dean or director with a written evaluation of the applicant's strengths and weaknesses.
4. To forward the applicant's promotion application and any other pertinent information to the dean or director.

**C. 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 in the areas of evaluation specified in the University Handbook.
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.

**D. Dean or Director**

The dean or director will assume these responsibilities:

1. To evaluate and observe 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 cut-off date 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 by the first Monday of classes of the spring semester.
7. Upon request, to confer with an applicant regarding his/her strengths and weaknesses for promotion in the areas of evaluation specified in the University Handbook.

**E. University Promotions Committee**

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



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 an applicant's qualifications for promotion in the areas of evaluation specified in the University Handbook.
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 concerning those for whom promotion should be recommended and those for whom promotion should not be recommended.

#### **F. Provost**

The provost will assume these responsibilities:

1. To make applications for promotion available to any faculty member upon request.
2. To suggest to any faculty member whom the provost deems worthy of consideration that they submit an application for promotion to the dean or director.
3. To receive recommendation for promotion transmitted by the chair of the University Promotions Committee. DATE: 1/17
4. To analyze such recommendations and to seek additional data deemed necessary.
5. To make a written recommendation 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 in the areas of evaluation specified in the University Handbook.

#### **G. President for the University**

The president for the University will assume these responsibilities:

1. To suggest to 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 all completed promotion applications, all promotion 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 in the areas of evaluation specified in the University Handbook with applicants who received conflicting recommendations from the provost and the University Promotions Committee.

#### **H. University Board of Trustees**

The University Board of Trustees will assume these responsibilities:

1. To receive from the president all recommendations for promotion and/or tenure.
2. To approve or deny said recommendations for promotion and tenure.

# Leaves of Absence

Date

1/17

Item

III

## 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 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 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 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. 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.
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

### Date

8/19

### Item

III

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 holding academic rank, 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 misconduct is alleged, the University's Sexual Misconduct & Relationship Violence Policy, Equal Opportunity & Non-Discrimination Policy, and related procedures for complaint reporting 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 to review the grievance by filing a written request within 10 working days after the action taken by the dean. The provost shall meet with the initiator within 10 working days after the receipt of such a request. Upon notification by the provost, the dean shall file with the provost 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 provost 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, 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 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 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.
4. The provost/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 provost/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 provost 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 any time before the hearing, the initiator may withdraw the grievance by written notice to the Chair of the Faculty Senate and the provost. 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 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/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.
- 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

### **Date**

3/23

### **Item**

III

The Academic Planning Council and the New Program Development Committee are structured to provide efficient, timely, and rigorous pathways for the proposal, development and implementations of new degree programs at the University of Southern Indiana. The purpose of a continuing long-range plan (Academic Planning Council) 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 or certificates the New Program Development Committee will provide guidance in the development and preparation of the plan that aligns to the Indiana Commission for Higher Education's checklist of criteria to be used in taking action on new degree programs or certificates. 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 "APC"), composed of the provost, the vice president for Finance and Administration, the vice president for Student Affairs, the vice president for Marketing and Communications, the vice president for Strategic Enrollment Management, the associate provost for Academic Affairs, the academic Deans, the director of Library, the director of Graduate Studies, the registrar, the chair of the Faculty Senate, the chair of the University Curriculum Committee, and the chair of the New Program Development committee. The provost or his/her appointee will serve as chair. The Chief Data Officer is an ex-officio member. In addition, the APC may invite participation in academic planning from other University staff members, consultants, and resource persons.

### **B. Function of Academic Planning Council**

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

The major function of the APC is to recommend to the president for the University the feasibility of initiating new majors, minors, certificate, or programs. The APC also reviews changes to curricular programs which include: merging existing degree programs, splitting a degree program into multiple degree programs, eliminating degree programs, changing a programs name, moving a degree program online, or adding a new location for a degree program. The APC does not become involved in particular courses which compose

program studies related to a major, minor, certificate or program. This function lies with the University Curriculum 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.

At least annually the APC will review preceding Academic Planning Calendars and programs to prepare new plans as appropriate.

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

#### **C. Structure for the New Program Development Committee**

The proposed constituency of the New Program Development Committee (hereinafter called “NPDC”) is as follows:

- a. one appointed faculty representative from each academic college (voting),
- b. one appointed representative from Faculty Senate (voting),
- c. one representative from the Office of the Provost (ex officio),
- d. one representative from Finance and Administration (ex officio)
- e. the chair of the University Curriculum Committee (ex officio)
- f. one representative from the Registrar’s Office (ex officio) and
- g. the director of Graduate Studies (ex officio).

The faculty representatives from the academic colleges will serve a three-year term. The committee chair will be selected from the faculty representatives and will serve a two-year term. Other constituencies will be invited to participate in NPDC deliberations as needed. These constituencies include, but are not limited to: college deans, academic department representatives, and Institutional Analytics Office representatives.

#### **D. Implementation of Academic Planning**

Any University academic discipline or college may 1) be invited by the APC to explore data in support of a proposed new degree program, new certificate or new curriculum, or 2) petition the APC for permission to prepare data. Invitations will be forwarded from the APC via the provost through the appropriate dean to the academic discipline committee.

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 APC.

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

#### **E. Additional Procedures**

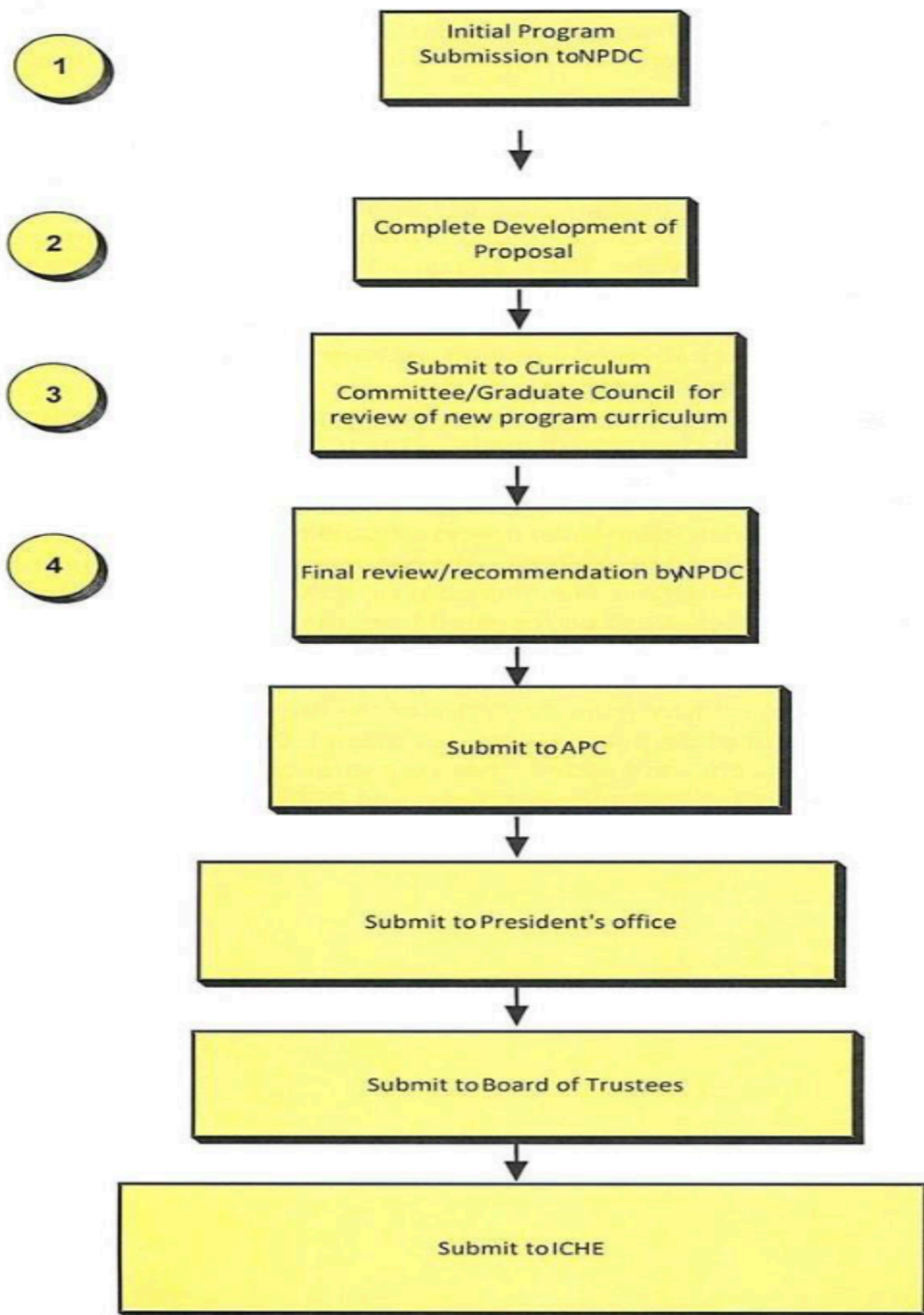
1. Initial program submission to NPDC should contain brief summations to items 1-6 in the Checklist of Criteria To Be Used by the Commission in Taking Action on New Degree Programs from the Indiana Commission for Higher Education. The initial submission should be no longer than two pages. Initial submission should also include a timeline for final submission to the Indiana Commission for Higher Education. Consideration of the new program proposal will be made by the NPDC in consultation with academic deans.
2. Once initial approval is granted by the NPDC, a complete and detailed development of the new program proposal can begin. The aforementioned checklist should serve as the template for proposal submission. All pertinent information must be included in the final program proposal.
3. After the final program proposal has been completed, it will be submitted through the USI website for Curriculog™ viewing by all concerned parties. The University Curriculum Committee (UCC) or



the Council of Graduate Program Directors and Chairs as appropriate to the proposed program deliberates on the entire program. They do not deliberate on individual courses that comprise the curriculum. Items for consideration by the UCC or UGC include, but are not limited to:

- a. total credit hours,
  - b. core requirements,
  - c. upper-level course requirements,
  - d. multidisciplinary issues,
  - e. other.
4. Following approval of the proposal granted by the UCC or UGC, the proposal will be returned to the NPDC for final review. If no substantive changes are made to the proposal by the NPDC, a recommendation will be submitted to the APC. If revisions of importance are made to the proposal, it will be returned to the UCC or UGC for reconsideration.
  5. Steps 1 through 4 of this proposed program submission process should not exceed 12 months in duration. Once a program is initially submitted to the NPDC, the proposed program will have one year from submission date to receive final approval from the APC. If the proposed program fails to meet this deadline, the process must be repeated from Step 1.
  6. Following the review of the proposal, the APC will recommend action to the president for the University.
  7. Action by the president for the University will be:
    - a. Notification to the academic unit(s) of APC non-approval, with explanations, or
    - b. transmission of the APC action, with recommendations to the Board of Trustees.
  8. Approval of APC recommendations by the president for the University, Board of Trustees, and the Indiana Commission on Higher Education 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.
  9. Itemized courses, including catalog descriptions, which constitute the program of studies will be submitted to the proper faculty committees for study. These committees will make recommendations to Faculty Senate for undergraduate programs or the Graduate Council for graduate programs.
  10. Affirmative Faculty Senate (through the University Curriculum Committee) or Graduate Council action on the curriculum and concurrence by the president will constitute permission to the academic unit to begin implementing the new program.
  11. Approved major, minor and certificate programs consistent with the recommendations of the APC and approved by the Board of Trustees and the Indiana Commission for Higher Education will be implemented.
  12. A schematic of the Program Submission Process is illustrated below:

## Program Submission Process



## Procedures for Changes in Undergraduate Curricula

Date

3/23

Item

### III

Procedures for the review of the undergraduate curriculum, including the curricular content of new programs or certificates, approval of new courses, and the modification of existing courses and program curricula are described below. Petitions for changes in curricula are available in Curriculog.

#### 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. The following changes to an existing program are considered to be a modification of a curricular program and are completed using the Undergraduate Program Modification proposal: 1) 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, minor or certificate, 2) changes in the title of the degree or certificate, 3) additions and deletions of any specific courses, 4) merging two programs or certificates into one program or certificate, and 5) splitting a program or certificate into multiple programs or certificates.  
The following program changes are completed using the Program Delivery Change Request form: 1) adding the offering of a program or certificate in an online format, and 2) adding new locations for programs or certificates.
2. The following changes are not considered to be petition-requiring modifications: 1) changes in course numbers or titles following course modifications, 2) removal of a deleted course from a list of electives, and 3) changing the timing of specified courses (i.e. from fall semester to spring semester or from sophomore year to junior year).
3. 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, in prerequisites or in delivery format (i.e. online) will be interpreted as modifications of a course.
4. All petitions for new academic programs and certificates must be submitted to the UCC by the 3rd Monday in September or the 3rd Monday in January to ensure time for review by NPDC, APC, and the Board of Trustees
5. All petitions for academic program modifications and curricular changes must be submitted to the provost according to the following schedule:  
Third Friday of October for courses to be offered during the following fall term, Friday before Spring Break for courses to be offered the following spring and summer terms.
6. Petitions are to be prepared in accordance with petition formats available in Curriculog. All petitions must meet the following criteria:
  - a. Approval by a majority of the eligible voting faculty members in a department. A department is defined for this purpose as an academic discipline.
  - b. Approval by the college curriculum committee.
  - c. In the case of interdisciplinary course changes, approval by a majority of faculty members in all relevant departments and their college curriculum committees. Interdisciplinary is defined as any program involving two or more academic disciplines, each of which contributes 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 Pott College of Science, Engineering, and Education.  
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.
7. The chair of the University Curriculum Committee will establish the committee's agenda, meeting time, and meeting place at least one week prior to meeting.
8. All program and certificate changes at the University are effective at the start of the fall semester each year.
9. All proposed curricular changes may be reviewed by all faculty throughout the approval process in Curriculog.

#### B. Procedures for Introducing a New Curricular Program/Certificate

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 Indiana Commission for Higher Education guidelines. New program requests are then submitted to the appropriate state agencies and national agencies. If the new program is not related to a present department or college, the program may be initiated and prepared through the Provost's Office and shall be prepared by the academic unit requesting the change.

The **ORIGINAL** petition must be submitted in Curriculog

2. Once the petition is launched, the petition must be approved by a majority of the department's faculty, the department chair, the college curriculum committee, the college dean before the petition is reviewed by the University Curriculum Committee.
  - a. 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 must also be approved by the dean of the Pott College of Science, Engineering, and Education. The dean may also require information that 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 requested by the state for evaluation.
3. In evaluating petitions, the University Curriculum Committee will extend invitations to the originator and concerned faculty members to attend committee meetings and may request additional information that it considers necessary. Petitions are available for review by all faculty and affected parties through Curriculog. Upon approval by the University Curriculum Committee, such petitions will be submitted to the Faculty Senate at the end of each academic year.

Petitions are then reviewed by NPDC, APC, president for the university, Board of Trustees, Indiana Commission for Higher Education and any additional state or national agencies as required. Approvals at each level of review are maintained in Curriculog.

4. Program changes will appear in the next published academic bulletin.
5. 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 in Curriculog. 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 curriculum committee of the discipline concerned. A department is defined for this purpose as an academic discipline. In the case of a cross-listed course the approval must include a majority of eligible voting faculty from each department involved in the course.
2. The **ORIGINAL** petition must be submitted in Curriculog . Once the petition is launched, the petition must be approved by a majority of the department's faculty, the department chair, the college curriculum committee, and the college dean before the petition is reviewed by the University Curriculum Committee.

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 must also be approved by the dean of the Pott College of Science, Engineering, and Education. The dean may also require information that shows how the new course relates to those already existing. In this event, the course must be submitted to the dean in the format requested by the state for evaluation.

- a. If the course is proposed for core credit, a petition for Core 39 must also be launched in Curriculog for review by the Core 39 Council. Please refer to the procedures for modifying the University Core Curriculum section for more information.

3. In evaluating petitions, the University Curriculum Committee will extend invitations to the originator and concerned faculty members to attend committee meetings and may request additional information which it considers necessary. Petitions are available for review by all faculty and affected parties through Curriculog®. After approval by the University Curriculum Committee, the petition will be reviewed for final approval by the provost. At the end of the academic year, a summary report of all petitions will be submitted to Faculty Senate by the chair of the University Curriculum Committee.
4. Approvals at each level of review are maintained in Curriculog and curricular changes will appear in the next published academic bulletin.

#### 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.
2. The proposal is to be prepared as a petition in Curriculog by members of the department. A department is defined for this purpose as an academic discipline. Once the petition is launched, the petition must be approved by a majority of the department's eligible voting faculty, the department chair, the college curriculum committee, the college dean before the petition is reviewed by the University Curriculum Committee. In the event of an interdisciplinary course or program, the approval must include a majority of eligible voting faculty from each department involved in the course of the program. If the petition does involve a program or courses in elementary or secondary education which is on the state approved list of majors, minors or electives, the petition must also be approved by the dean of the Pott College of Science, Engineering, and Education.

- a. Memorandum-required modifications for existing courses are described in section b (below).  
Memorandum-required modifications include changes in grading method (letter grades or Satisfactory/Unsatisfactory), 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 prerequisites 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 through the memorandum form in Curriculog. A memorandum requesting approval of these modifications may include up to two modifications. 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. After the memorandum is launched by the department chair, the memorandum must be approved by the college dean, the chair of the University Curriculum Committee, and the provost. Approvals at each level of review are maintained in Curriculog and curricular changes will appear in the next published academic bulletin.
3. The **ORIGINAL** petition must be submitted in Curriculog. Once the petition is launched, the petition must be approved by a majority of the department's faculty, the department chair, the college curriculum committee, the college dean before the petition is reviewed by the University Curriculum Committee.
  - a. If the petition does not 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 must also be approved by the dean of the Pott College of Science, Engineering, and Education. The dean may also require information that 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 requested by the state for evaluation.

- b. If the course is proposed for core credit, a petition for Core 39 must also be launched in Curriculog for review by the Core 39 Council. Please refer to the procedures for modifying the University Core Curriculum section for more information.
4. In evaluating petitions, the University Curriculum Committee will extend invitations to the originator and concerned faculty members to attend committee meetings and may request additional information which it considers necessary. Petitions are available for review by all faculty and affected parties through Curriculog. After approval by the University Curriculum Committee, a summary report of all petitions will be submitted to Faculty Senate by the chair of the University Curriculum Committee at the end of the academic year.
5. The petition will be reviewed for final approval by the provost. Approvals at each level of review are maintained in Curriculog and curricular changes will appear in the next published academic bulletin.

## E. Experimental 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.

- a. The Provost's Office serves as the administrative vehicle for experimental courses. An experimental course must be approved by the college dean, the chair of the University Curriculum Committee, and the provost. Approvals at each level of review are maintained in Curriculog. For courses which logically do not fall under any of the established colleges, the Associate Provost for Outreach and Engagement 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 course is launched as a petition through Curriculog. The petition format is the same as for introducing new courses as a regular part of the curriculum and 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. Technology, software 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 department chair in consultation with the dean and the registrar's office will assign a new or unused course number. The course number is to be followed by the letter "X" to signify an experimental course. If the dean approves of the course, the department chair in consultation with the dean and the registrar's office will assign a new or unused course number. The course number is to be followed by the letter "X" to signify an experimental course.
  3. Approval for continuation of experimental courses may be granted for one consecutive academic semester only.
  4. After completion of the course and the review of the evaluation results, the department may recommend inclusion of the course in the formal curriculum. If this recommendation is made, the department will complete a new course petition following the procedures outlined "Procedures for Initiating New Courses".

5. A department may initiate a new course petition before completion of the course and evaluation. Formal application must be made no later than the curriculum deadlines of the semester when the course is offered an "X" for the second semester.
  6. Except under unusual circumstances, experimental courses will not be used to satisfy Core 39 requirements. If an exception to this policy is requested, the director of Core 39 must serve on the committee to approve the course.
- F. An undergraduate certificate is a programmatic or topically-linked series of courses, either from a single field or across disciplinary boundaries. The certificate provides a focused, structure, and interrelated set of courses that enhances the undergraduate experience. Creating relevant and academically rigorous undergraduate certificates presents an opportunity to respond to the evolving environmental conditions in higher education and concurrent shifts in student needs. Interested students should contact the academic department for more information.

#### Guidelines

1. Any student admitted to the University is eligible to pursue an undergraduate certificate. However, some certificate programs may have specific admission and/or prerequisite requirements. .
2. All interested students must declare a certificate as a part of their curricular record by contacting the appropriate academic department.
  - a. Students may declare a certificate before completing degree requirements.
  - b. Certificates may be declared as stand-alone programs.
3. The total number of credit hours required for an undergraduate certificate may vary by academic discipline but must require a minimum of nine (9) credit hours. At least six (6) must be upper division units (300/400—level) of USI course work.
4. All University policies apply, including academic, grading admission, retention, contact hours, and faculty eligibility to teach.
5. Credit hours earned for a certificate may be applied toward another degree program. However, a student cannot earn a certificate that is fully embedded (or subsumed) with the requirements of his/her majors or minor, but must include at least three (3) unique credit hours.
6. Academic departments may determine whether coursework taken to complete the certificate may also be applied to a degree program. However, a minimum of six (6) credit hours used to satisfy certificate requirements must be taken in residence at USI.
7. Coursework taken more than four (4) years before the certificate is awarded may not be applied.
8. Certificates may be structured as either discipline-specific or cross-disciplinary. Academic departments applying for certificates must consult with and/or obtain support for related programs and departments who insure the availability of courses required for the certificate.
9. Separate concentration may not be offered under an approved certificate.
10. Certificates may be stand-alone or linked to an existing degree program.
11. Courses applied to a certificate must be legitimate academic courses approved by the University Curriculum Committee.
12. All certificates (including post-baccalaureate) must be approved through the University's curricular review process as a new program.
13. Certificates should enhance existing programs. Sufficient resources must exist to support the certificate without penalizing existing academic programs, including minors and concentrations.
14. Officially approved certificates will be posted to University of Southern Indiana transcripts and will be issued by the Registrar's Office. A formal Application for Graduations must be completed for certificate programs.

For information about proposing a new undergraduate certificate-application procedures and approval process- as well as procedures for managing approved certificates can be found in the University Handbook under Procedures for Changes in Undergraduate Curricula.

## G. Undergraduate Concentration Definition and Guidelines

An undergraduate concentration is a coordinated grouping of courses that represent a sub-specialization within a major field of study. The number of credit hours for a concentration varies but must be contained within the credit hours for the major. Generally students will complete the required courses for a core area of study (the major) and a designated set of directed electives to complete the concentration. Declared concentrations are designated on university transcripts when the degrees are awarded.

Terms such as track, emphasis, and specialization will not appear on transcripts but refer to course listings used for academic advising and marketing purposes.

### Guidelines

1. All concentrations that will appear on transcripts must be approved through the University's curricular review process as additions (modifications) to existing programs.
2. If a degree program includes different concentrations, students must declare a specific concentration to be part of their curricular record by contacting the appropriate academic department and submitting the Change of Academic Program form to the Registrar's Office for processing.
3. The total number of credit hours required for an undergraduate concentration may vary by academic discipline but must require a minimum of 12 credit hours. At least six (6) credit hours of the concentration must be coursework taken at the 300/400-level.
4. Credit hours earned for a concentration may be applied toward another concentration. However, each concentration must include six (6) unique credit hours.

## Procedures for Modifying the University Core Curriculum

### 1. General Policies

- a. The University Core Curriculum 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, Engineering, and Education.

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 60 semester hours by the time his/her term of office begins. The Student Government Association will nominate three candidates to the provost, 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, 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, who will announce courses approved for the program.
- 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. 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.

- 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 University 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.
- 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 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 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 120 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
700 - 800	Doctoral 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. Courses numbered in the 700 series and above are open only to doctoral 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

### **Date**

12/18

### **Item**

III

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 through Curriculog™, the online curriculum management system.

### **A. General Guidelines**

1. The term curricular program is defined as the specific course requirements for any master's, doctoral 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. All petitions for new academic programs must be submitted to the UCC or UGC by the 3rd Monday in September or the 3rd Monday in January to ensure adequate time for review by NPDC, APC and the Board of Trustees.
4. 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:

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

5. 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 college level Graduate Council
  - c. Approval by the dean, or in the case of interdisciplinary courses, by the deans of all affected colleges.
  - d. Approval by the director of Graduate Studies
6. The college level Graduate Council will review all petitions for curriculum changes and, when necessary, make recommendations to the provost.
7. The director of Graduate Studies will publish the Graduate Council's meeting time and place at least one week prior to meeting.
8. All curriculum changes at the University are effective on August 15 each year.

## **B. Procedures for Introducing a New Curricular Graduate Program**

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 Indiana Commission of Higher Education guidelines. 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 Graduate Studies or the Provost's Office. It shall be prepared by the college requesting the change.

1. The original of the petition must be submitted in Curriculog® to the director of Graduate Studies for review by the Council of Graduate Program Directors and Chairs.
2. In evaluating petitions, the Council of Graduate Program Directors and Chairs 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 Council of Graduate Program Directors and Chairs, a description and the rationale for the program will be published. The faculty will be given ten instructional days from the time of publication in which to present to the Council of Graduate Program Directors and Chairs written support or objection to the proposal. If objections have been received and cannot be resolved through discussion by the concerned parties, the Council of Graduate Program Directors and Chairs will consider the petition again.
3. Following its evaluation, the Council of Graduate Program Directors and Chairs will submit the recommendation to the Academic Planning Council. Upon approval by the Academic Planning Council, the recommendation will be submitted to the president.
4. Notice of final administrative approval will be published by the provost .
5. 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 available in Curriculog® curriculum management system. 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, the college level graduate council, the dean of the college that will have the primary evaluation responsibility for the course or program, and the director of Graduate Studies. A department is defined for this purpose as an academic discipline.

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. Upon completion of the approval process as noted above, the petitions will be reviewed by the provost.
3. Notice of the final administrative decision will be published by the provost.

## **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, the college level

Graduate Council, the dean of the college that will have the primary evaluation responsibility for the course or program, the director of Graduate Studies, and the provost. A department is defined for this purpose as an academic discipline.

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. Their agreement will constitute approval of the modification(s) and the provost will publish a notice of this approval.

#### **E. 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. Also included are courses which may require initial experimentation and development before inclusion as a regular part of the curriculum.

The Provost's Office serves as the administrative vehicle for experimental and special courses. Approval of experimental and special graduate courses is by a committee including the provost, 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 for approval. Approved courses will be announced.
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 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 college level graduate council for formal approval according to the normal procedure.

## F. 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.

## G. 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 120 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
700 - 800	Doctoral 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. Courses numbered in the 700 series and above are only open to doctoral 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 Online Learning Courses

### Item

#### III

Faculty interested in developing a course for distance learning should obtain approval from the department chair, dean, and the Executive Director for Online Learning. The development of a new course for distance delivery (one not previously offered) must be approved by the University Curriculum Committee.

## Faculty Compensation for Online Learning

### Item

#### III

Faculty members developing online courses may receive a stipend (\$1000/credit hour not to exceed \$4000). The stipend is for the performance of duties for course development that are outside the scope of the academic period of their contracted agreement and, for administrative staff, for the performance of duties that are outside the usual position function and schedule. The stipend for all faculty must fall within the guidelines for extra compensation. The development of the course with stipend is a Work Made for Hire per USI's Intellectual Property Policy.

# Duties and Responsibilities of the Graduate Faculty and Graduate Council

**Date**

7/05

**Item**

III

## I. 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 two categories of graduate faculty membership.

### A. Categories of Graduate Faculty Status

#### Regular Graduate Faculty

1. Regular membership is reserved for faculty members who hold the terminal degree in his/her field, have a renewable appointment in excess of one year and is tenured or on the tenure or clinical track. The graduate faculty member shall have successful teaching experience and an active record of research and publication. Regular Graduate Faculty members shall teach graduate courses; direct graduate theses, final or capstone projects, and dissertations; and participate in department or program graduate committees. Graduate faculty status will be reviewed every six years for tenured graduate faculty. The tenure and promotion process will serve as the first six year review for graduate faculty membership for tenure track faculty. Graduate faculty status will be reviewed at the beginning of the appointment cycle for multi-year renewable contract faculty and clinical track faculty holding the terminal degree in their discipline.

Regular Graduate Faculty members will receive three credit hours of release time during any semester in which they teach one of more stand-alone graduate-level course(s).

#### Affiliate Graduate Faculty Status

2. Affiliate graduate faculty status is assigned to graduate faculty members who hold one year contracts and/or adjunct or part-time faculty. Affiliate graduate faculty members 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 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 status is approved yearly. Affiliate graduate faculty members may be approved for years subsequent to their first appointment. In that event, evidence of teaching effectiveness must be presented. Affiliate graduate faculty are not eligible for the three credit hours of release time.

### B. Criteria for Election or Reappointment to the Graduate Faculty--necessary for regular graduate faculty 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. Faculty completion of application for graduate faculty membership in the Curriculog™ curriculum management system.
2. Review of graduate faculty application by the college level Graduate Council.
3. Recommendation of approval/disapproval of graduate faculty status to the dean of the college by the chair of the college level Graduate Council.
4. Recommendation of approval/disapproval of graduate faculty status to the Director of Graduate Studies by the dean of the College.
5. Recommendation of approval/disapproval of graduate faculty status to the Provost by the Director of Graduate Studies.
6. Decision of approval/disapproval by the Provost.
7. The Director of Graduate Studies informs the faculty member of the decision.

## II. The Council of Graduate Program Directors and Chairs



The Council of Graduate Program Directors and Chairs is the academic, executive, and planning committee of the graduate faculty. Its membership consists of the director or chair of each graduate program. In addition, the Registrar, Director of Library and the provost are ex officio members. The Director of Graduate Studies serves as the chairperson.

**A. The Council of Graduate Program Directors and Chairs**

1. Develops the policies and standards for graduate education;
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. Serves as the long-range planning committee for graduate studies at the University.

**B. Meetings**

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

**C. The College Level Graduate Council**

1. The college level graduate council is comprised of the following individuals:
2. An assistant/associate dean of the college who serves as a non-voting, ex officio member and chair of the council. The assistant/associate dean also serving as program director is eligible to vote.
3. Every graduate program director in that particular college serve as voting members.
4. At least two elected faculty representatives from the college serve as voting members.
5. The director of Graduate Studies serves as a non-voting ex officio member.
6. The Registrar or designee and the Collections Development Librarian serve as non-voting ex officio members.

**Role of College Level Graduate Council**

The college level graduate council serves as the college's graduate curriculum committee and as the college's graduate faculty vetting committee. The college level graduate council will determine the standards for teaching and scholarship for graduate faculty with their college when evaluating applications for graduate faculty membership.

## Student Academic Grievance Procedure

### Item

#### III

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 misconduct, may be filed with the Affirmative Action Officer.

### **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 Council of Graduate Program Directors and Chairs 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 or 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 for review and action. If the provost does not accept the recommendation, the provost 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 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**

### **Date**

9/06

### **Item**

III

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, the Counseling Center, the Student Financial Assistance Office, the Registrar's Office, 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 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, the Counseling Center, the Student Financial Assistance Office, the Registrar's Office, 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.
3. The dean will press charges following the procedures in the Student Code of Conduct.

## Faculty/Student Expectations

**Date**

10/07

**Item**

III

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 Registrar's Office, 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

**Date**

10/07

**Item**

III

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 of 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**

### **Date**

10/07

### **Item**

III

#### **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 Faculty Awards for Service, Teaching and Research Committee may not nominate or be nominated during the period of their service on the Faculty Awards for Service, Teaching and Research 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**

### **Date**

10/07

### **Item**

III

#### **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 Faculty Awards for Service, Teaching and Research Committee may not nominate or be nominated during the period of their service on the Faculty Awards for Service, Teaching and Research 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

### **Date**

10/07

### **Item**

III

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

### **Date**

10/07

### **Item**

III

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 Grants

### **Date**

10/07

### **Item**

III

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. Awards will be made by the Provost 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 Provost's Office and the Office of Sponsored Projects and Research Administration.

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

## Textbook and Educational Materials Royalties

### **Date**

1/15

### **Item**

III

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.

# University of Southern Indiana Employee Handbook

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