

BUTLER UNIVERSITY FACULTY HANDBOOK

PREFACE

The Faculty Handbook is a compilation of the policies and procedures of the University as they affect faculty members. These policies and procedures are reviewed periodically and subject to revision by actions of the University, its Board of Trustees, and the Faculty Senate.

We hope that you will find this handbook to be a useful reference as you fulfill your role as a member of the Butler University Faculty.

2010/2011

Butler University Statement of Guiding Principles

Institutions of higher education are entrusted by society with great resources and commensurately great responsibilities for the creation, dissemination, and preservation of knowledge. The purpose of the University is to provide a quality education, and each member of the community aspires to maintain the highest professional standards in working to assure that students are well prepared for life-long learning following the Butler experience.

As members of the Butler University community, faculty, staff, students, volunteers, contractors, vendors and consultants all have a responsibility to adhere to and abide by the guiding principles established by the University to assure that the highest standards of ethical conduct are maintained in all University relations. These include but are not limited to the ethical dispositions of open-mindedness, creativity, curiosity, intellectual flexibility and civility.

The foundation of the guiding principles is based on an atmosphere of respect and dignity for each individual in all social interactions in the Butler University community. It is expected that all individuals behave in a fair and honest manner when dealing with members of all constituencies, and strive to promote an open and tolerant environment for voicing opinions. Members of the University community adhere to the established University policies and procedures which assure that all aspects of the university are conducted in an ethical and legal manner. The documentation for the guiding principles is found in the Faculty and Staff handbooks under Policies and Procedures. These include but are not limited to Code of Conduct, Workplace Violence, Anti-Harassment and Complaint, Consensual Relationships, and Conflict of Interest.

Legal Statement

This handbook is not a contract, and it does not contain an offer, statement, or confirmation of any guaranteed terms or conditions of employment. Readers of this handbook should be aware that Indiana courts consistently decline to construe employee handbooks as legally binding contracts. However, while the handbook does not confer any legal rights on any party, the faculty and Administration of the University agree that the handbook is intended to be a fair summary of the policies and procedures to be observed by all faculty and academic administrators. Its readers should also be aware that (1) it is not a complete statement of the procedures, policies, rules, and regulations of the University; (2) the University may change any procedure, policy, rule, program, etc. which appears in the handbook, and (3) the various colleges, departments, and programs of the University may have additional procedures and policies that supplement this handbook. This handbook represents a good-faith effort to define the terms and procedures that should regulate the conduct of faculty members and academic administrators of the University.

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Preamble

Butler University is an independent university composed of a college of liberal arts and sciences and five professional colleges. It is located on a 290-acre campus in a residential section of Indianapolis, one of America's most livable cities.

Mission

Butler's mission is to provide the highest quality of liberal and professional education and to integrate the liberal arts with professional education, by creating and fostering a stimulating intellectual community built upon interactive dialogue and inquiry among students, faculty and staff.

Commitments

1. Providing the highest quality of teaching and achieving the highest ideals of student learning, which include clear and effective communication, appreciation of beauty, and a commitment to lifelong learning, community service, and global awareness.
2. Being a national university which serves students from other regions and other countries, while recognizing its special responsibility to serve the undergraduate and graduate students of Indiana and the Midwest.
3. Being a residential campus, one on which both academic and non-academic aspects of student life receive important attention.
4. Recruiting and sustaining practicing scholars and professionals dedicated to intellectual self-renewal for the benefit of their students.
5. Cultivating an awareness and understanding of other cultures in its curriculum, and to promoting cultural and ethnic diversity of its faculty and its students.
6. Providing intellectual, cultural, and artistic opportunities and leadership to Indianapolis and the surrounding areas.
7. Providing opportunities and lifelong support to its alumni in recognition of their special relationship to the institution.

Butler University is accredited by the North Central Association, and seeks to abide by the standards of that organization.

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A. The Board of Trustees shall have and exercise the corporate powers prescribed by the laws of Indiana. The essential function of the Board shall be policy making, the assurance of sound management, and active participation in the provision of necessary funds. The Board has ultimate responsibility to determine general, educational, financial, and related policies deemed necessary for the administration and development of Butler University in accordance with its stated purposes and goals.

The Board shall consist of not more than thirty-five (35) members not including the President of the University, who shall be an ex-officio member of the Board. No other person who is a full-time employee of the University may serve as a member of the Board. Approximately one-third of the elected members shall be elected each year at the annual meeting of the Board, each for a three (3) year term. One (1) of such members to be elected shall be designated by the alumni, as provided in Sec. 6, Article I of the Bylaws. The Board, which elects its chair and vice-chair, is organized into permanent standing committees as follows: Audit Committee, Executive Compensation Committee, Executive Committee, Committee on Trusteeship; Academic Affairs, Student Affairs, Finance/Facilities, Advancement, Marketing , Holcomb Research Institute and Endowment and Investment committees.

B. The President. The President of the University, elected by the Board, shall be the chief executive officer of the University, who shall: (a) meet regularly with the Board and the committees thereof and report to and make recommendations to the Board; (b) prepare an annual budget estimating the revenues and expenditures for the next fiscal year, which budget shall be submitted to the Financial/Facilities Committee for review prior to submission to the Board for its action; (c) recommend to the Academic Affairs Committee, for approval of the Board, the appointment of faculty members; (d) have supervision of the curricula of the University and all social and athletic affairs; and (e) exercise such other power as may be delegated by the Board from time to time. The President of the University shall keep the Board advised on all matters of importance relating to the welfare of the University, and shall make periodic reports to the Board showing the condition of the University.

C. The Senior Advisory Group. This group, which functions in an advisory capacity and meets regularly with the President, includes the Provost; Vice Presidents; Academic Deans; Associate Provosts; Executive Directors of Clowes Memorial Hall, Human Resources Management and Development and Chief Diversity Officer, and University Relations; the Chief Information Officer; and the Athletic Director.

D. The Provost’s Advisory Council. The deans of the colleges are appointed by the Board of Trustees upon recommendation by the President and Provost. The Council, composed of deans of the colleges, and the two associate provosts, meets weekly with the Provost.

E. The Faculty. Effective September 1, 2009, with the approval of the Board of Trustees, the Faculty Senate was instituted as the official structure for faculty governance. The Constitution of the Faculty Senate follows.

F. Staff Assembly. Chartered In 2000, this assembly is comprised of all staff at the University. The Assembly represents the interests and concerns of staff in the overall governance structure of the University. The Assembly may formulate, review, revise and adopt policies regarding matters of importance to staff success and morale for recommendation to the President.

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COLLEGE OF LIBERAL ARTS AND SCIENCES

The College of Liberal Arts and Sciences seeks to extend knowledge and understanding and to convey the excitement of lifelong learning, thereby offering students ways to lead creative and thoughtful lives and to be useful and sensitive citizens of the community, of the country, and of the rapidly changing world. The college affirms the central role of liberal education and also provides students a variety of opportunities for specialization in a major field, preparing them for graduate or professional schools or more immediate career goals.

JORDAN COLLEGE OF FINE ARTS

The primary mission of the Jordan College of Fine Arts is to educate students in the arts as professions by means of its undergraduate and graduate programs. Such an education combines training in the arts as disciplines with the development of a lifetime commitment to creativity and communication, nurturing the view of the arts as interrelated and responsible to society.

All undergraduate degrees are enhanced by a required study of the liberal arts and sciences through Butler University's core curriculum. Moreover, certain degrees offered by the college associate professional education with a broader selection of the liberal arts and other disciplines.

The further mission of the Jordan College is to educate all University students in a fuller appreciation of the arts. Introductory, interdisciplinary and honors courses, plus programs leading to minors, help realize this goal, as do performances of the college and at Clowes Memorial Hall. Performances at the University, and many other forms of outreach plus cable and broadcast television, have the related purpose of connecting the college to the larger community.

COLLEGE OF BUSINESS ADMINISTRATION

The College of Business Administration's mission is to become one of the premier small private schools of management in the country—human-scaled; innovative in program and spirit; a model for interaction with and service to our professional community; striving for a dynamic balance between teaching and research; dedicated to a broad liberal arts base as a keystone for management education, and focusing its activities on a limited and carefully selected group of concerns, based upon the other elements in this mission.

COLLEGE OF EDUCATION

The mission of the College of Education at Butler University is to prepare individuals to be highly qualified professionals who exemplify our core values of integrity and responsibility, teaching, learning and mentoring, diversity and similarity, and theory, practice and collaboration.

COLLEGE OF PHARMACY AND HEALTH SCIENCES

The mission of the College of Pharmacy and Health Sciences is to provide effective educational experiences in the health sciences. By so doing, the College facilitates the development of life-long learners with a liberal arts foundation who are able to serve society as dedicated, competent health professionals and community leaders.

COLLEGE OF COMMUNICATION

Butler University College of Communication will prepare students for success in our digital and global society. Students will develop the ability to critically analyze and synthesize human and mediated communication, and learn to speak, write, and create responsible messages across dynamic communication contexts and media platforms. Outstanding faculty who are active scholars and leading professionals will deliver programs. The curriculum will reflect the centrality of communication as a basic human right. Our innovative, experiential approach to discipline-based education will empower graduates to excel in their chosen professional and post-graduate student. The strong grounding in liberal and creative arts will prepare our graduates to be socially responsible and civically engaged leaders in their careers and communities.

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Item: 10.30.10 Constitution of the Faculty Senate of Butler University	Page 1 of 4

PROLOGUE

The purpose of this constitution is to create a Senate whose objective is to represent the faculty members of Butler University in all areas where they have authority or interest. For the purposes of this constitution and the attending by-laws, the term faculty member refers to all fulltime teaching faculty of the university both tenure and non-tenure tracks.

ARTICLE I. Name

The name of the body shall be the Faculty Senate of Butler University.

ARTICLE II. Purposes and Responsibilities

Section 1. The faculty is the professional body of the University primarily responsible for educational policies, faculty productivity, curriculum, and instructional practices. The Faculty Senate is the forum and deliberative body for the expression of the faculty's recommendations regarding these matters. Faculty Senate also has interests in the economic welfare of the institution and in protecting the rights and interests of the faculty.

Section 2. The Faculty Senate, or bodies to which it delegates its authority, is the primary body with responsibility to formulate, review, revise, and adopt for recommendation to the President, all University policies having to do with the following matters:

- 1) curriculum and student learning
- 2) standards and criteria for determining faculty promotion, tenure and evaluation
- 3) aspects of student life which relate to the teaching and learning policies of the institution
- 4) granting of degrees and setting of degree requirements
- 5) scholarship and creative efforts of faculty
- 6) other matters of primarily academic or instructional import

Section 3. The Faculty Senate shares with other units of the University responsibility to formulate, review, revise, and adopt for recommendation to the President, University policies having to do with the following matters:

- 1) size and composition of the student body in relation to educational resources

- 2) institutional mission including the creation and discontinuation of academic program areas
- 3) existing or proposed physical facilities with special emphasis on those having primarily an educational purpose
- 4) budgeting priorities that affect educational programs
- 5) matters relating to faculty compensation
- 6) selection procedures for academic administrative personnel
- 7) faculty productivity
- 8) other matters of primarily administrative nature that also have significant academic or instructional import

Section 4. Recommendations of the Faculty Senate shall be forwarded to the Provost. The Provost will inform the chair of the Faculty Senate of the disposition of recommendations. Recommendations passed by the Faculty Senate that require the approval of the Board of Trustees shall be forwarded through the President. If the President of the University cannot support a recommendation of the Faculty Senate, he or she shall ask the Faculty Senate to designate a representative to present the views of the Faculty Senate to the Board.

Article III. Senators

Section 1. Each College shall be entitled to representation in the Senate according to the following method. In the spring of each year when representation is determined for the following academic year, the total number of full-time faculty in the college (tenure and non-tenure track, but exclusive of administrators above the level of dean who also may have faculty status in a college) at that time is divided by the number 9.5 and rounded to the nearest whole number. The result is the number of Senate seats for that college in the coming academic year.

Section 2. Each college must produce written procedures for how it will elect its senators. While each college can have its own procedures, they must conform to these requirements:

- 1) Senators must be full-time faculty members and must be elected by March 30 for what will normally be two-year terms except as necessary to ensure a staggering of terms for a college. Terms begin on June 1.
- 2) Senators may not serve more than 6 consecutive years
- 3) Senators must be elected by the faculty (not appointed by deans)

- 4) Senators who miss more than 3 Senate meetings in an academic year will not be eligible to return to the Senate the following year.

ARTICLE IV. Officers

Section 1. The Chair and Vice-Chair of the Faculty Senate shall be elected from and by the entire Faculty to serve simultaneous two-year terms. Such an election will be held no later than the March 1 of the academic year in which the Chair's term of office ends. The election shall be conducted by the Faculty Senate. The Chair and Vice-Chair will take office on June 1. The Chair may not serve more than two consecutive two-year terms in office. The Vice-Chair will be a full voting member of the Faculty Senate but is not a representative of a particular college. The Chair votes only in the case of ties and does not represent any particular college.

Section 2. Responsibilities of the Chair include the following:

- 1) serve as presiding officer for meetings of the Faculty Senate
- 2) represent the faculty at meetings of the Board of Trustees and other administrative meetings as the need arises
- 3) oversee the creation and full distribution of Faculty Senate minutes and other documents to all faculty members
- 4) coordinate the formation of faculty grievance committees
- 5) serve as Chief Faculty Marshall for commencement ceremonies

Section 3. The responsibilities of the Vice-Chair include the following:

- 1) fulfill all duties of the Chair in his or her absence
- 2) assist the chair in coordinating Senate elections, appointments to various councils and Board of Trustees' committees, and honorary degree nominations
- 3) perform other duties as requested by the Chair of Faculty Senate

ARTICLE V. Relations with Board of Trustees

Section 1. The Chair of the Faculty Senate shall represent the Senate at each meeting of the Board of Trustees as a guest of the Board.

Section 2. For the core committees of the Board of Trustees the Chair shall nominate faculty members to attend all meetings as guests of the committees. These appointments shall be subject to approval by the Faculty Senate, the President of the University, and the chairs of the respective Board Committees. The appointees shall assume their duties on June 1 of each year.

ARTICLE VI. Meetings

The Faculty Senate shall hold regular meetings at least once every month during the academic year. In addition, special meetings shall be called upon petition to the Senate Chair from twenty percent of the Senate membership.

ARTICLE VII. Quorum

A quorum at any regular or special meeting of the Faculty Senate will consist of two-thirds of the members of the Faculty Senate.

ARTICLE VIII. Amendment of the Constitution

Amendments to this Constitution must first be approved by the Senate upon the motion of any senator. To take effect they must be approved by a two-thirds vote of all Faculty Members voting at a special meeting or through an electronic ballot and by the Board of Trustees of Butler University. Senators must have thirty days written notice of the amendment before the vote is taken and a quorum must be present at the meeting.

ARTICLE IX. Procedural Rules for Meeting

The Faculty Senate shall have the authority to establish its own rules and procedures and to implement the general principles established in the Constitution.

ARTICLE X. Exclusions

Nothing in this Constitution alters the traditional authority of each College over its unique professional standards and regular and special functions.

ARTICLE XI. Effect

This Constitution shall go into effect when ratified by two-thirds of the faculty members voting and upon the approval of the Board of Trustees of Butler University, but not sooner than June 1, 2008.

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ARTICLE I. Faculty Senate Committees

Section 1. There shall be five Faculty Senate committees. The University Curriculum, Core Curriculum and Academic Affairs Committees will be composed of seven faculty members, three from the College of Liberal Arts and Sciences and one from each of the other colleges. The Student Affairs and Faculty Affairs committees will be composed of one faculty member from each of the colleges.

Section 2. Colleges must determine their committee representation for the coming academic year by March 30. Committee members need not be senators although each committee must designate a member to attend and represent the committee at Senate meetings. Committee chairs must be selected from the incoming committee membership by April 30 each year.

Section 3. The term of committee service will be for two years, and the committee appointments will be staggered. No more than one-half of the membership of any committee will normally be replaced in any year, with the exceptions necessitated by resignations and retirements. Committee appointees will take office on June 1 for the coming year unless they are filling a vacated position. No faculty member may serve more than two consecutive two-year terms on any committee.

Section 4. The Faculty Senate committees, their areas of responsibility, and nonvoting ex officio members shall be as follows:

- 1) University Curriculum Committee with responsibility for policy recommendations for degree requirements, the addition or deletion of degrees or majors, and other curricular issues affecting more than one college.

Ex officio: The senior academic officer or designated representative, professional librarian representative, registrar or designated representative

Standing subcommittees: Graduate Studies, Honors

- 2) Core Curriculum Committee with responsibility for policy recommendations on matters related to the university core curriculum including approval of new core courses, changes to core courses, and deleting core courses. This committee shall coordinate with the University Curriculum Committee as appropriate and necessary.

Ex officio: The senior core administrator, a professional librarian representative, registrar or designated representative.

- 3) Academic Affairs Committee with responsibility for policy recommendations regarding issues of teaching, student learning, support services for academic programs, academic quality, institutional mission, and the creation or discontinuation of academic programs or units.

Ex officio: The senior academic officer or designated representative, dean of libraries or designated representative

Standing subcommittees: International Studies and Programs, Athletics, Service Learning

- 4) Student Affairs and Enrollment Committee with responsibility for policy recommendations regarding student life, campus safety, admission, enrollment and retention policies.

Ex officio: The senior student affairs officer or designated representative and the senior enrollment officer or designated representative

- 5) Faculty Affairs Committee with responsibility for policy recommendations regarding faculty rank and compensation, selection procedures for academic administrative personnel, scholarship and creative efforts of faculty, and faculty leaves.

Ex officio: The senior academic officer or designated representative

- 6) In the event of administrative reorganization, the new officer charged with the central duties of the officer listed shall assume the ex officio position for all Faculty Senate committees.

Section 5. Each of the five committees will meet monthly, or more frequently as needed, and will make a report at each Faculty Senate meeting. Standing subcommittees will meet as needed, and will report to their parent committees. The composition of the standing subcommittees will be determined by the Faculty Senate. Committees may constitute additional *ad hoc* subcommittees, as needed, to conduct their business. Committee chairs should report the composition and charge of each of their *ad hoc* subcommittees to the Faculty Senate. *Ad hoc* subcommittees expire at the end of each academic year, unless renewed by their parent committees and reported through the Faculty Senate.

ARTICLE II. Faculty Participation in University Councils and Operational Teams

Section 1. Faculty representation on the Councils and Operational Teams of the University is for the purpose of ensuring a well-articulated faculty voice in university-wide collegial governance, policy-making, and participative decision-making. Councils are standing bodies formed by the Cabinet to deal with ongoing policy issues, and Operational Teams are instituted for specific tasks and problem-solving. While the

administration is responsible for instituting Operational Teams, the Faculty Senate may suggest areas of concern for which such a team may be instituted.

Section 2. Selection and Terms of Faculty Members for Councils and Operational Teams.

- 1) During the Spring Semester, prior to the first of April, the Chair of the Faculty Senate will provide all members with a description of each Council and Operational Team for which there are openings, together with the charge and typical meeting times of each.
- 2) In the Spring Semester, no later than the end of the second week in April, each college will draw up a list of its faculty members interested in serving on Councils and Operational Teams. Persons serving on existing Faculty Senate Committees are encouraged to apply.
- 3) From the lists described in subsection 2 of this section, the Faculty Senate will select all of the faculty members for each of the Councils and forward the names to the President for appointment. Faculty members of each Council will identify one of their number to regularly communicate council activities to the Faculty Senate.
- 4) From the lists described in subsection 2 of this section, the Faculty Senate will select faculty members to serve on Operational Teams and forward the names to the President for appointment.
- 5) In selecting members for Councils and Operational Teams, the Faculty Senate will consider faculty members' interests and expertise in relationship to the functions of the councils for which they are selected. Council members are to represent the University as a whole.
- 6) Terms of service on Councils will be two years. Terms of service on Operational Teams can vary with the duration of each Operational Team.

ARTICLE III. Faculty Senate Committee Procedures

Section 1. All committees meet upon call of the chair, and must meet upon the call of one-third of their memberships; all may create internal structure such as *ad hoc* subcommittees.

Section 2. All matters except litigation or individual personnel matters should be subject to discussion in open session where faculty and administrators may express their views.

Section 3. Each committee shall be responsible for reporting committee discussion and actions to the Faculty Senate and for forwarding written motions from the committees to the full Senate.

ARTICLE IV. Faculty Senate meeting and voting procedures

Section 1. All faculty members will have access to the agendas and minutes of the Senate in a timely fashion.

Section 2. All faculty members may attend and be recognized to speak on an equal basis with senators in Senate meetings. Only senators may introduce motions, call for any other formal action, or vote on issues before the Senate.

Section 3. Motions made in one meeting may not be voted on until a subsequent meeting unless the Senate votes to suspend this rule.

Section 4. Voting on the election of Senate officers and changes to the Faculty Senate constitution must be done by all full-time faculty members rather than solely the Faculty Senate. Furthermore, other agenda issues may be put to a vote of all full-time faculty members if at least 40% of the Senate present and voting demands it.

Section 5. Voting by the Senate or the entire Faculty membership on any issue may be done by electronic ballot if the Senate approves that method.

ARTICLE V. Amendment of Bylaws

These bylaws may be amended by a two-thirds majority vote of the Faculty Senate present and voting at a regularly scheduled meeting. Written notice to all faculty members of the proposed amendments will be provided prior to the Faculty Senate meeting at which such a vote is to be taken. A quorum must be present at the Faculty Senate meeting in order for a vote to change the bylaws to be taken.

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Section: 10.40 Emendation of the Faculty Handbook	2010
Item: Emendation of the Faculty Handbook	Page 1 of 1

The Board of Trustees has ultimate authority over this handbook and over working conditions at the University, within the parameters established by local, state and federal law. It is in the best interest of all parties, however, for appropriate consultation to occur before changes are made to the Faculty Handbook. To that end, the following protocol for changing the handbook should be observed:

A. Section 10 should be changed only after a vote of the Faculty Senate. As described in sections 10.30.10 and 10.30.20, special conditions are necessary before changes can be made to the Constitutions and Bylaws. Should the President make changes to the administrative structure of the University, these changes should be presented to the Faculty and the appropriate changes to section 10.10.20 should be approved by Faculty Senate before they are included in the Handbook.

B. Section 20 may be changed by the Board of Trustees after consultation with the faculty through the regular governance structure of Faculty Senate and subsequent to review and recommendation by the President.

C. Section 30 may be changed as necessary to reflect current appropriate personnel policies. When a change is made to Section 30, a copy of the new policy should be distributed to all full-time faculty members of the University. When requested to do so, the Officer of the University who has initiated a change to section 30 should appear before Faculty Senate to answer questions and address concerns that arise as a result of a change in policy.

D. The Faculty Handbook will be updated annually. The Vice-Chair of the Faculty Senate is charged with this responsibility. The Vice-Chair will appoint a subcommittee to execute the update, made up of representatives from each college as well as the Provost (in an ex-officio capacity). This committee will operate as a subcommittee of the Faculty Affairs Committee and is charged with completing and submitting its work for review by the Faculty Senate no later than the end of the fall semester each academic year.

E. The Chair of the Faculty Senate will hold the single authoritative copy and/or electronic file of the most recently revised version of the Faculty Handbook. The Chair will make sure that this authoritative copy is electronically accessible to the Butler Community. This revision supersedes all previous versions.

Chapter: 20 Faculty Policies	Effective/Revised: 2010
Section: 20.10 Definitions of Faculty	
Item: Definitions of Faculty	Page 1 of 2

A. All instructors who offer courses for academic credit under contract with Butler University are faculty members of the University. Professional librarians are also faculty members. The University observes North Central Association standards for determining the credentials necessary for faculty appointments.

B. All faculty members who hold the title of Instructor, Assistant Professor, Associate Professor or Professor are full-time faculty members of the University, and are accorded the rights and responsibilities of full-time faculty members.

C. Part-time faculty members are not necessarily accorded either the rights or the responsibilities of full-time faculty members. The rights and responsibilities of part-time faculty members are defined elsewhere in this Handbook and also in the letters of appointment of individual faculty members.

D. Other faculty appointments may be defined in terms of specific responsibilities in areas including research, clinical supervision, artist-in-residence, or others as deemed appropriate by the faculty and dean of each College or dean of the libraries, with the approval of the Provost. These positions may be designated as part-time or full-time, as defined in the letter of appointment.

E. Administrators may hold faculty rank as defined by the letter of appointment. Faculty rank is generally accorded to non-teaching administrators whose primary area of responsibility lies within an academic area and who have a terminal degree in their area. When a search is conducted for such a position, the job description should indicate that the position carries faculty status, and the Provost will inform the Faculty Senate when faculty status is extended to an administrator. In cases where tenure is to be offered to an administrator, application should be made to the relevant department, college or library prior to the execution of a letter of appointment. Full-time administrators who hold faculty status have voting rights and may participate in the activities of Faculty Senate.

F. Administrators whose initial letter of appointment does not include faculty rank may subsequently be accorded faculty rank if they meet the criteria described in item E above. Prior to extending faculty status to administrator, the Provost will consult with the College Dean who oversees the area, with the faculty in the program or department in which the administrator has a terminal degree and with the Faculty Senate.

G. Visiting faculty may be appointed for defined short periods of times, typically one year. Their faculty status is as stated by their letters of appointment.

H. Emeritus Status

1. Appointment to emeritus status shall be made by the Board of Trustees upon recommendation of the President and faculty of the University.

In practice, the dean of each college or library shall submit to the President the names of faculty members who qualify, the President then submitting those names to the faculty for its approval. The President shall be responsible for presenting to the faculty the names of those qualified persons who are not members of any college. Upon approval by the faculty, the names of the qualified persons shall then be presented by the President to the Board of Trustees for its approval.

2. Eligibility for recommendation for emeritus status shall be subject to the following limitations:
 - a. The person must have been an administrative officer or full-time member of the faculty of the University for a minimum of five years.
 - b. To be appointed to emeritus status as an administrative officer, one must have attained the position of president, vice president, dean, director of an academic division, treasurer, or librarian.
 - c. To be appointed to emeritus status as a member of the faculty, one must have attained the rank of professor, associate professor, or assistant professor.
3. A person who holds both faculty and administrative rank upon retirement, and has held both positions for the minimum number of five years, shall be appointed to emeritus status in both categories. Otherwise, the person shall be appointed to emeritus status only in the faculty rank held.

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20.20.10 Academic Freedom

Faculty members are entitled to full freedom in research and in publication of the results, subject to the acceptable performance of other academic duties, but research for pecuniary return should be based upon an understanding with the authorities of the institution.

Faculty members are entitled to freedom in the classroom in discussing the subject of the course, but should be careful not to introduce into the classroom matter which has no relation to the subject of the course.

The college or university faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, a faculty member should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, faculty members should remember that the public may judge both the profession and the institution by the utterances of the faculty. Hence the faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he or she is not speaking for the institution.

20.20.20 Voting Status

- A. All full-time faculty members of Butler University, as qualified and defined in Article II of the Constitution of that organization are entitled to full voting rights herein.
- B. Each College shall elect full-time faculty members to serve in the Faculty Senate of Butler University and all elected Senators, as defined in Article III of the Constitution of that organization, are entitled to full voting rights herein
- C. Voting status of other than full-time faculty for college faculty meetings may be defined by the full-time faculty of each college.

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(See Appendix A for policy and procedures on *Academic Integrity*)

A. Class Meetings and Attendance

It is obligatory that faculty meet and conduct classes, laboratories, tests, and scheduled office hours or other student conferences:

1. in the places, at the times, and for the duration officially announced to the students;
2. on the basis of official registration lists;
3. in accordance with departmental syllabi and catalog descriptions;
4. in a manner (and at a noise level) mindful of the rights of other classes or conferences in session;

B. Problems arising out of any of the above should be reported to the department head, program director, chair, or dean, as should the instructor's illness, unavoidable lateness, or absence.

C. Syllabi

Faculty members should make available to students for each class taught a syllabus which explains the purpose and methods of the course, outlines the students' responsibilities and requirements, and provides a schedule of activities. These syllabi may also be collected by department head, program directors and/or deans for purposes of curriculum evaluation, faculty evaluation, advising information for students, or accreditation.

D. Grading

1. Faculty members should have a test and evaluation schedule which is adequate and appropriate to measure student accomplishment in every course offered.
2. Semester Reports
Faculty members are responsible for evaluating the work of each student at times designated in the academic calendar. Report forms should be carefully completed and submitted to the Office of Registration and Records before announced deadlines (see "Calendar" in the Class Schedule for each semester).

3. Final Examinations

All final examinations must be given on the scheduled date and at the scheduled time. (Any instructor who is unable to meet this obligation must arrange with the dean of the college for a proctor.) All students must take final examinations on the scheduled date. Absence from any final examination will result in either an "I" or an "F" in the course. A grade of "I" may be removed under the established rules regarding this grade.

If convinced that circumstances warrant it, an instructor may administer a make-up examination to a student who is unable to take the final examination on the scheduled date. No instructor, however, is authorized to administer a final examination before the scheduled date; any petition for an exception to this rule must be approved by the instructor and the appropriate department head, program director or dean.

Final examinations in four-, five-, and six-credit hour courses will be not more than three hours in length. All other courses will have examinations not more than two hours in length.

Examinations will be held in the room regularly occupied by the class unless a change is announced by the instructor. No room changes should be made without first checking with the Office of Registration and Records.

4. Reporting of Absences

Students are expected to attend every meeting of all classes in which they are enrolled. The definition of excessive absence, as well as the penalty for such absence, may vary with the nature of the course. It is the student's responsibility to learn and observe the rules governing each class.

Faculty members will keep records of student attendance, and will cooperate with the Registrar and Student Affairs in identifying students who do not attend classes.

E. Advising

1. Academic: Advising is the responsibility of the Butler faculty. Specific advising assignments will be made by the faculty member's supervisor. Advising is seen as a form of teaching. It is important that the advisor be kept informed about, and help his or her advisees conform to all relevant departmental, college-level, and University regulations and requirements for the degree or other programs in which they are enrolled.

The individual faculty member should have a clear understanding of the nature and extent of his or her advising responsibilities and carry them out diligently in keeping with University standards. Advising should be

considered an important component of the evaluation of teaching for salary, promotion, and tenure considerations.

2. Extracurricular: Generally at student request, a faculty member may be asked to serve as faculty advisor to a student organization. The faculty member must first sign an agreement form which will be obtained in the Pulse Office; subsequently the advisor should be kept informed of all activities. No faculty member will be granted a reduction in teaching schedule to act as an advisor to extracurricular activity groups.

F. Office Hours

Faculty members are expected to hold at least one office hour for each three hours of scheduled instruction, or instructional equivalent.

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A. Instructional Assignment: Teaching

1. The standard assignment for full-time faculty at Butler University is twelve teaching credit hours, or the equivalent, per semester. However, most faculty members will teach nine credit hours per semester, with three credit hours designated for ongoing research or creative productivity and special service activities. The precise teaching load for each faculty member will be determined by the head of the department, program, or the Dean of the College to which the faculty member is assigned. Factors to be used in determining an individual faculty member's teaching assignment will include the following: 1) the faculty member's level of scholarly or artistic productivity; 2) the needs of the program in which the faculty member teaches; 3) the faculty member's service activities.

2. Some exceptions to this standard assignment are possible by recommendation of the dean and approval by the President or his/her representative:
 - a. Department heads, program directors, and others who assume significant administrative responsibilities may have their teaching assignments reduced commensurate with the additional administrative duties.

 - b. Faculty members with unusually heavy responsibilities in research, teaching, or service (e.g. high expectations for research productivity, heavy graduate teaching schedule, unusually large numbers of students, special service assignments) may merit consideration for reduced teaching assignments in a particular semester.

 - c. In an emergency, when a faculty member is asked to assume teaching in excess of the standard assignment while carrying otherwise normal teaching, research, and service responsibilities, he or she may be eligible for additional compensation, on recommendation of the dean and approval of the President or his/her representative.

 - d. Individual colleges, in consultation with the President or his/her representative, develop policies to establish equivalencies to regular credit hours for laboratories, tutorials, individual studio and small group instruction, thesis supervision, and other non-standard classes or situations.

B. Scholarship, Research, and Creative Activity

All Butler faculty members are responsible for their development as scholars, researchers and artists especially as this development helps to challenge the minds of students in the important issues in faculty members' fields of study and in students' lives.

Scholarship may be defined as an activity that involves continuing immersion in the literature and ideas in a discipline resulting in steady development of one's own intellectual fullness. Scholarship often gives rise to research and creative work that involves original thinking within or across disciplinary boundaries—usually resulting in published works or public performances.

In addition to traditional forms of research and scholarship, Butler University recognizes as scholarship the value of applied research, grant writing, and scholarship that derives from partnerships with community members and community organizations where disciplinary expertise is brought to bear in collaborative efforts to address community problems and issues. When such endeavors are to be considered in evaluating a faculty member's scholarly performance, it is expected that the project will have a record of evaluation by external reviewers or processes.

Policies and philosophies for determining and evaluating research responsibilities and for differentiating between public service and scholarship vary across colleges and departments. Individual faculty members should work with their department head, program director, or dean to clarify expectations and responsibilities related to research during any given time.

C. Service

All faculty members are expected to be active participants in the life of the institution by undertaking activities, which serve the University's interest. These activities may include, but are not restricted to, committee memberships at the department, college or University level, advising for student groups, and service in professional or civic groups. The type and extent of involvement in service activities may vary with the individual faculty member's role in the college or stage of individual career. It is the responsibility of individual faculty members to discuss his or her service role with the relevant department head, program director, or dean and reach an understanding about the extent and type of service, which is appropriate.

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20.20.50 Academic Calendar Responsibilities

The official responsibilities of a full-time faculty member for the regular academic year begin with the first day of orientation in the fall and extend through Commencement. All faculty members are expected to be present in academic regalia at Commencement.

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20.20.60 Adjunct Faculty Responsibilities

Though most adjunct faculty members have only part-time responsibilities, teaching one or more courses under contract with a particular college, they are expected to maintain the high professional standards of the institution in all dealings related to their instructional duties. Their instructional responsibilities for class meetings and attendance, syllabi, and grading (Item 20.20.30 above, A, B, and C, respectively) are the same as those for full time faculty. Adjunct faculty will not normally be assigned formal advising duties, and are not required to keep the same office hours as full-time faculty members, but they are expected to be reasonably accessible to students for counsel on course content and student progress.

All adjunct faculty members shall be informed of University policies regarding classroom behaviors, sexual harassment and academic integrity, and they will be expected to uphold College and University policies regarding instruction and testing. It is the responsibility of the supervisor to make adjunct faculty members aware of these policies. All adjunct faculty members will be provided with a copy of this handbook.

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Item: 20.20.70 Professional and Ethical Responsibilities	Page 1 of 2

The following outlines the professional and ethical responsibilities that guide us as faculty.

A. Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subjects is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving their scholarly 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.

B. As teachers, faculty members encourage the free pursuit of learning by students. They hold before the students the best scholarly standards of their discipline. They demonstrate respect for the student as an individual and adhere to their proper role as intellectual guide and counselor. They make every reasonable effort to foster honest academic conduct and to assure that their evaluation of students reflects their true merit. They respect the confidential nature of the relationship between professors and students. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them. They protect the academic freedom of students.

C. As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they 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.

D. As members of the institution, faculty members seek above all to be effective teachers; not contravening academic freedom, they maintain their rights to criticize and seek revision. They determine the amount and character of the work they do outside the institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their services, they recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

E. As members of the 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 people, 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, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

F. As faculty members we are inherently in positions of authority and power. Abuse of this professional authority is unacceptable. Faculty members will not engage in acts of discrimination or harassment, theft or misuse of University property or funds, or the exploitation of students, staff, or other faculty members.

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Item: 20.30.10 Recruitment and Appointment Policies and Procedures	Page 1 of 1

Note that Faculty Hiring Procedures, the Process for New Appointment Offers, as well as the Faculty Appointment Form can be found as Appendices C-E

A. Full time Faculty Positions (see Item 20.10.B. above)

Appointment of a new faculty member normally begins with a request which is transmitted through the appropriate dean and the Provost to the President, for permission to fill a position. Justification for the position together with a statement of qualifications, probable rank, and approximate salary should be indicated in the request. If the President approves, the dean sends a letter to the prospective faculty member, including contractual information (see *Process for New Appointment Offers* and *Faculty Appointment Form* in Appendices D & E).

There are typically two possibilities for new faculty appointments:

1. Non tenure-track appointments are normally for one year, though a longer period may be agreed upon, but not to exceed a total of six years.
2. Tenure-eligible appointments are normally made for two or three years, with a probationary review required every two years.

B. Adjunct day, evening, summer, and other faculty appointments.

Appointments of faculty other than full-time faculty are initiated by the dean. It is the responsibility of the dean to specify the process for selecting qualified candidates.

After the appointment recommendation has been approved, a letter is sent by the dean to the prospective part-time faculty member requesting a response in writing by the agreed-upon-date. Part-time appointments may be for one term or for the academic year. Part-time faculty assignments are normally limited to fifteen hours per year. Assignments of more than fifteen credit hours will normally take the form of a full-time lectureship. When part-time assignments exceed fifteen credit hours per year, the reason for this load should be explained in the letter of appointment.

C. Equal Employment

Butler University is an equal opportunity employer and is committed to enhancing the diversity of the student body and our faculty and staff. In addition, hiring and other employment-related decisions are made on the basis of an individual's qualifications, past experience, overall performance and other employment-related criteria. It is the policy of the University to provide equal opportunities for employment and advancement for all individuals regardless of age, gender, race, religion, color, disability, veteran status, sexual orientation, national origin, or any other legally-protected category. For further details see the University's Non-Discrimination Policy.

D. Background Check and Substance Abuse Policies

These policies can be found on the Human Resources Management and Development website.

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The following outlines the basic criteria for faculty evaluation. More specific criteria will be found within each college, department, or program. Note that this section is an outline of a general framework. It does not attempt to define the instruments to be used in the evaluation process, nor does it presume to establish the guidelines for the interpretation of the data which have been collected.

A. Each faculty member will be evaluated periodically in the following areas:

1. Teaching
2. Research, Scholarship, and Creative Activity
3. Service

B. Input to the dean or department or program head for evaluation will be from the following sources:

1. Teaching
 - a. Students, self, department, program — required
 - b. Direct observation by colleagues—optional
2. Research, Scholarship, and Creative Activity
 - a. Self, department or program head— required
 - b. External peer evaluation — optional
3. Service
 - a. Self, department or program head — required
 - b. Committee chairs, organization officers, administrators — optional
4. The professional standards committee of the college may be involved in setting standards and guiding the evaluation process.

C. The dean or department chair, after consultation with the faculty member, determines the relative ratings of the three substantive areas in a way that reflects the assigned workload.

- | | | |
|----|--|-----------|
| 1. | Teaching: | 50% - 80% |
| 2. | Research, Scholarship, Creative Activity | 10% - 40% |
| 3. | Service: | 10% - 30% |
| 4. | Other Duties, as assigned | |

D. Appropriate portions of this evaluation may be used for the following purposes:

1. Personnel decisions

2. Faculty development
3. Salary increases

The reports from each of the various sources will be forwarded to the dean of the college. The faculty of each college will determine its own share of responsibility in the formulation of the internal procedures and collegial participation in the evaluation process. Faculty should receive a copy of their specific evaluation procedure, process and criteria at the time of hire or when requested.

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Item: 20.30.30 Promotions	Page 1 of 5

(See also *Tenure/Promotion Calendar* in Appendix F)

A. Procedures

1. The Provost will maintain a calendar setting the schedule for promotion, tenure, reappointment and review. At the beginning of each calendar year, the Provost will send to each College Dean a list of faculty members who are eligible for review during the coming academic year. This information will be shared with department heads and directors, and will subsequently be shared with the faculty members who are eligible for promotion or review.
2. A request for promotion is initiated by the individual faculty member.
 - a. Once a request for promotion has been submitted to the department or program head (or dean if no department or program head exists) it must be allowed to proceed through the complete review process unless it is withdrawn by the candidate prior to its submission to the Professional Standards Committee.
 - b. The following guideline would be the normal consideration for promotions for tenure-track faculty members:
 - 1) from assistant professor to associate professor, application is made in the sixth year, with any approved change of rank to go into effect at the beginning of the seventh year.
 - 2) from associate professor to professor after six years as associate professor or seventeen years of full-time faculty status.
3. The recommendation or the request should include the following:
 - a. Name, present rank, colleges attended, degrees attained.
 - b. Number of years at present rank at Butler and other universities.
 - c. Information concerning quality of teaching, scholarship, and University service (see criteria in next section).
 - d. A summary of student evaluations.

- e. Information concerning contributions to professional organizations and professional contributions to the community.
 - f. Other information and evaluations relevant to quality teaching, scholarship, University service, and contributions to the community.
4. The dean of the college will submit all recommendations and requests for promotion, with the supporting materials, to its Professional Standards Committee. The Professional Standards Committee should be elected from among the tenured faculty members of the College, and the Committee should be constituted in advance of the submission of applications for promotion and tenure. The committee will submit recommendations to the dean of the college. For each case, only the members of the committee holding a rank equal to or higher than the one which the candidate seeks will participate in deliberations and make recommendations. A faculty member will not be eligible to serve on a professional standards committee in a year in which he or she is a candidate for promotion or tenure.
5. After reviewing the committee's recommendation, the dean of the college will forward his or her recommendations to the Provost, with a copy to the professional standards committee.

B. Criteria for Promotion

1. The criteria for promotion to a rank above that of assistant professor shall be (a) quality teaching, (b) scholarship, (c) service to the University, (d) the earned doctorate or an appropriate terminal degree. In certain situations exceptions to the doctorate or terminal degree requirement may be made upon the recommendation of the college's professional standards committee.
2. In addition, the following minimum qualifications are established for each rank:
- a. For promotion to assistant professor:
 - 1) Effective teaching.
 - 2) Promising beginning of scholarship in his or her field.
 - 3) Participation in departmental, college, or University committees.
 - b. For promotion to associate professor:
 - 1) Effective teaching including efforts to increase teaching quality.
 - 2) The doctorate or appropriate terminal degree and scholarship.

- 3) Active service in the Butler academic community.
- c. For promotion to Professor:
- 1) Effective teaching with indications of initiative in curricular evaluation and development.
 - 2) Scholarship and recognition in his or her own field.
 - 3) Active service in the Butler academic community with indications of leadership.

C. Definitions (**PROPOSED POLICY STARTS HERE**)

The lists below are not intended to be a set of requirements and do not imply ranking, nor are they exhaustive; weighting, assessment, and procedures should be determined by each department or college.

1. TEACHING:

Teaching implies the transmission of knowledge and expertise to students in ways that lead them to think, act, write, and communicate as learned individuals.

1. Some indications of effective teaching are:
 - a. A vital interest in and command of subject matter, including a use of current and relevant materials.
 - b. A spirit of scholarly inquiry that leads to innovations in course content, course offerings, and teaching strategies, including, but not limited to: use of technology; demonstration; field work; service learning; or other pedagogical tools.
 - c. The ability to stimulate students' intellectual and creative interests and enthusiasm.
 - d. Fair evaluations of students' work.
 - e. Helpful and professional advising.
 - f. Respect for students and a concern for their intellectual well-being and wholeness.
 - g. The ability to communicate effectively with students.
 - h. Appropriate availability to the needs of students.
 - i. Participation in the Core Curriculum, Honors Program, interdisciplinary programs, and department or program curricula.
 - j. Mentoring, undergraduate or graduate research, creative or artistic collaboration, and other educational partnership activities with students.

2. SCHOLARLY AND CREATIVE WORK:

Scholarly work is understood as disciplined learning and/or creative undertakings, informed by thorough research, and leading to the dissemination of the results to be shared with peers and/or the public. It may also involve faculty in the current conversation of their disciplines and professions.

Indications of scholarly or creative activities may include:

- a. Peer-reviewed or refereed scholarship or creative activity, including but not limited to articles, monographs, compositions, exhibitions, performances, instructional materials, computer programs, videos or recordings, clinical reports, posters, or textbooks.
- b. Peer-reviewed or refereed academic or professional presentations.
- c. Academic professional presentations, exhibitions, or performances that are not defined as peer-reviewed scholarship.
- d. Continued study or post-doctoral studies that directly benefit Butler University or its students.
- e. Keeping abreast in one's discipline, including attendance at professional meetings and conferences.
- f. Leadership in or contribution to professional associations,
- g. Outreach to the community, which demonstrates professional expertise by communicating or applying it in ways which benefit citizens outside the University.
- h. Grant proposal writing.
- i. Participation in professional workshops and seminars.
- j. Research and experimentation, including that which involves undergraduate or graduate research associates.
- k. Service as a consultant, evaluator, or as a judge or reviewer of artistic or scholarly works.
- l. Scholarship of teaching and learning.
- m. Gathering and analyzing data and/or writing reports for assessment or accreditation purposes.

3. SERVICE TO THE UNIVERSITY, THE PROFESSION, AND COMMUNITY

Service is understood as representing the participation of faculty to the governance and advancement of the institution's mission, at the departmental, college-wide, university-wide levels, as well as to the profession and the wider community.

Indications of service to and involvement with the University, profession, and community may include:

- a. Effective participation in the Faculty Senate, Senate committees, or other University committees, and on department, program, school, or college committees.
- b. Leadership or service to academic programs.
- c. Advising or sponsorship of student organizations or activities.
- d. Leadership or service within the wider community.
- e. Participation in Admission, alumni, or community events.
- f. Service on appointed task forces, advisory groups, and search committees.
- g. Other contributions to the University's mission.

(PROPOSED POLICY ENDS HERE)

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Item: 20.30.40 Tenure Policy and Procedures	Page 1 of 5

(See also *Tenure/Promotion Calendar* in Appendix F)

A. Policy Statement

Note that Butler University's policies regarding tenure are consistent with the intent of AAUP to protect academic freedom and provide academic due process.

A request for tenure status is initiated by the individual faculty member. Once a request for tenure status has been submitted to the department or program head (or dean if no department head exists) it must be allowed to proceed through the complete review process unless it is withdrawn by the candidate prior to its submission to the Professional Standards Committee. Faculty members may seek tenure status any time during the probationary period. Once the tenure request is forwarded to the Professional Standards Committee of the college by the dean, there will be no withdrawal of the tenure request. Nor can a second request be submitted to the Professional Standards Committee for tenure status.

The tenure decision will be made no later than during the sixth year of full-time teaching. After tenure is awarded, faculty members shall have continuous appointment and their service may be terminated only for adequate cause or financial exigencies of the University.

B. Probationary Period

Beginning with appointment to the rank of assistant professor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education. This is subject to the provision that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his or her new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice should be given at least one year prior to the expiration of the probationary period if the faculty member is not to be continued in service after the expiration of that period.

Leaves taken during the probationary period may or may not count toward a faculty member's eligibility time for tenure. See the following sections for policies governing this matter: 20.30.70, 30.70.10, 30.70.20 and 30.70.60.

C. Criteria To Be Considered in the Tenure Decision

1. The faculty member being considered is evaluated on the quality of performance as described in Item 20.30.30 above.

2. Specific criteria for evaluation in the areas of teaching, scholarship and service will be established by the College, Department, or Program to which the faculty member is assigned. A written copy of these criteria will be given to faculty members at the beginning of their probationary periods. If these criteria are changed during a faculty member's probationary period, the faculty member will be provided with a written copy of the updated criteria.
3. To be eligible for tenure, a faculty member must hold the rank of at least assistant professor. Granting of tenure will usually result in an assistant professor being promoted to the rank of associate professor.
4. Each faculty member must show that tenure is deserved by providing evidence of promise for continuing good teaching, scholarship, and value to the University demonstrated during the faculty member's probationary period.
5. The University may base tenure decisions on changing academic needs as well as on long-range educational goals of the University.

D. Procedures

1. Probationary Reviews
Regular review of untenured faculty members is essential. During the probationary period department heads and/or deans will conduct thorough reviews of each untenured faculty member and write reports based on these reviews. The report shall deal with the faculty member's progress toward tenure in each of the three areas identified above. This report will be shared and discussed with the faculty member concerned, as well as placed on file with the appropriate department or program head or dean.
2. Initiating the Tenure Process
At the beginning of each calendar year, the dean will notify all untenured faculty members who will be entering their sixth year of college teaching in the Fall of that calendar year (or their second year prior to the end of the probationary period) that they may be considered for tenure. The dean will ask all faculty members being considered to prepare a tenure application, which is composed of the candidate's curriculum vitae, selected publications, and other materials which document achievement in teaching, scholarship, and service.

If the candidate chooses or is required to include outside peer evaluations in the tenure application, arrangements for the completion of these evaluations should be made in the Spring prior to the submission of the application. The candidate will work with his or her department head or dean to identify suitable evaluators, and will arrange for the evaluations to be in the tenure application when it goes to the department for review.

In September, the dean will forward the names of all candidates for tenure and their probationary service reports to the Professional Standards Committee of the college and to the department head, where applicable. The Professional Standards Committee will be responsible for the college-level tenure review; the tenured faculty members of a department will be responsible for the department-level tenure review.

The professional standards committee and departmental committee consider all evidence which they consider relevant to a candidate's teaching, scholarship and service.

3. The Tenure Application

The tenure application begins when the individual is notified that he/she is a candidate for tenure. The candidate then prepares a letter of application and submits the letter, curriculum vitae, and supporting material listed below to the department head (or dean if no department head exists).

a. Curriculum Vitae

The faculty member should submit a complete curriculum vitae.

b. Supporting Materials

The candidate should also compile material which supports achievement in:

- 1) Teaching: materials such as course outlines, lectures, innovative course materials, peer evaluations of teaching, summaries of student evaluations.
- 2) Evidence of scholarship: documentation of significant works such as publications, summaries of works-in-progress, papers presented at conferences, service to professional associations, grant applications, documentation and reviews of performances.
- 3) Service to the University: materials such as grant applications, documentation of committee and advising work, work with student organizations, other work in support of the mission of the University.

These materials should be organized in such a way that they are easily identifiable to the members of the committees.

Probationary service reports compiled by the college will be added to the materials supplied by the candidate. The tenure

application should be completed no later than September 20 and should then be submitted to the faculty member's immediate supervisor.

4. **Departmental Review**
For those colleges with departments, the first step in the tenure review process will be in the department. For those colleges without departments the first step will be the college's Professional Standards Committee. The departmental committee, composed of all the tenured faculty members, will make recommendations regarding tenure decisions using the tenure applications and whatever other material it may have compiled. The department will report its recommendation to the dean of the college. This report will be submitted to the dean who will refer it to the Professional Standards Committee no later than October 15. A copy of the department's report will be given to the candidate upon request, after indications of authorship have been removed where appropriate.
5. **College Professional Standards Committee Review**
The committee will make recommendations regarding tenure decisions using the tenure application and whatever other material it may have compiled. The College Professional Standards Committee will be elected by the full-time faculty in the College and will be constituted in advance of the submission of applications for promotion and tenure; only tenured members may participate in the review of applications for tenure. A faculty member who holds the rank of assistant, associate or full professor, but does not hold a tenure-track appointment, may review applications for promotion, but may not participate in the tenure review process. The committee will report its recommendation to the dean. This report will be submitted to the dean no later than November 15. A copy of the committee's report will be shared with the candidate upon request, after indications of authorship have been removed where appropriate.
6. **Review by the Dean of the College**
The dean of the college will review the committee's and the department's (where applicable) recommendation(s) and he/she will make every reasonable attempt to forward his or her recommendation to the Provost no later than December 10, with a copy to the committee(s). The dean's recommendation to the Provost will be in the form of a report. If the dean's recommendation differs from the department's or the Professional Standards Committee's, the reasons for the differences must be clearly outlined. A copy of the report will be shared with the candidate. The Provost will make every reasonable attempt to refer dossiers of the candidates to the University Promotion and Tenure Procedure Review Committee (UPTPRC) no later than December 15.
7. **Review by the University Promotion and Tenure Procedure Review Committee (UPTC)**
The UPTPRC will conduct for each promotion or tenure candidate a review of the departmental and college evaluation procedures, which resulted in the college-level recommendation on promotion or tenure. Prior to its review of candidates' dossiers, the UPTC will review each College's written criteria for promotion and tenure (see

section C.2. above), and make recommendations to each of the College promotion and tenure committees for changes in these criteria that would ensure greater consistency in standards across the University. The Committee will then examine each candidate's dossier, paying particular attention to the question of whether college-level evaluation procedures were consistent with established criteria for promotion and tenure and with college, University, and AAUP policies on academic freedom, non-discrimination, and adequate consideration. . The Committee will consist of one tenured member from each of the college professional standards committees. The UPTPRC will make every reasonable attempt to submit the report to the Provost no later than January 15.

7. Review by the University Promotion and Tenure Committee (UPTC).

The UPTC will conduct for each promotion or tenure candidate a review of the departmental and college evaluation procedures that resulted in the college-level recommendation on promotion or tenure. Prior to its review of candidates' dossiers, the UPTC will review each written criteria for promotion and tenure for each college and for faculty librarians (see section C.2. above), and make recommendations to each of the Professional Standards Committees (PSC) for changes in these criteria that would ensure greater consistency in standards across the University. The UPTC may also choose to make recommendations concerning University-wide promotion and tenure policies. These recommendations should be brought to the Faculty Affairs Committee of the Faculty Senate. The UPTC will examine each candidate's dossier, paying particular attention to the question of whether college-level evaluation procedures were consistent with established criteria for promotion and tenure and with college, University, and AAUP policies on academic freedom, non-discrimination, and adequate consideration.

The UPTC will consist of one tenured faculty member from each college, elected from among those faculty members who have previously served on the college PSC, but who are not currently serving. Colleges should forward the names of their PSC representative to the Provost's office by September 15. The Provost shall convene a meeting of the UPTC soon thereafter. The UPTC shall elect its chair at this first meeting. The Chair of the UPTC will schedule and lead the committee's subsequent meetings. Meetings to review dossiers are to occur as soon as possible after the December 15 deadline for receipt of materials from Deans. The UPTC will make every reasonable attempt to submit its report to the Provost no later than January 15.

8. Review by the Provost

The Provost will review the recommendations from the College Professional Standards Committee, the Dean, and the UPTPRC, and will make every reasonable attempt to forward his or her recommendation to the President no later than February 1. The Provost's recommendation to the President will be in the form of a report. If the Provost's recommendation differs from the Professional Standards Committee's or the dean's, the reasons for the differences must be clearly outlined. A copy of the report will be shared with the candidate.

9. Review by the President
The President will review all recommendations and make a recommendation to the Board of Trustees for action. The President's recommendation will be in the form of a short report. If the President's recommendation differs from the Provost, the reasons for the differences must be clearly outlined, and the dean's and the committee's reports may be forwarded to the Board.

10. Notification
The Provost shall send written notice of the Board's tenure decision to each faculty member being considered for tenure, no later than April 1 of the year following the initiation of the tenure process.

11. Faculty Members Previously Tenured at Other Institutions
Normal practice is to defer consideration for tenure at Butler at least until the second year of service.

A recommendation for award of tenure at the time of initial Butler appointment may be made by the President only after consultation with the tenured faculty in the appropriate department and/or college.

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Section: 20.30 Policies and Procedures	
Item: 20.30.50 Research/Scholarship/Professional Activities	Page 1 of 5

The following describes the general policies and procedures related to research, scholarship or other professional activities.

A. Ownership

The University claims ownership from the results of "work product" to the extent the development of such product was directly supported by the University unless the University has released its claim in advance. (Income will be shared 50% with the faculty/staff inventor and 50% with the University.)

The University lays no claim to a product produced solely by one or more members of the faculty, staff, or student body without substantial or special use of University property and/or equipment and/or time allocated through University procedures (e.g., release time, sabbatical, etc.) and without financial support from the University-administered funds. The University makes no claim to the rights or income from copyrighted books, manuscripts, and other publications and works in all media now or hereafter known. To avoid the appearance of conflict of interest, royalties from purchase by Butler students which are required by the author for use in a class shall be paid to the University Fund of choice. (The University's intellectual property policy can be found at www.butler.edu/birs.)

B. Integrity

Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subjects is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. (A Responsible Conduct of Research policy is currently being developed by BIRS pursuant to federal regulations.)

C. Policies Governing Research

1. Protection of Human Research Subjects

Butler University complies with all appropriate federal, state and local regulations for the protection of human research subjects and acknowledges and accepts its responsibilities for protecting the rights and welfare of human subjects. Any Butler-associated research involving human subjects is required to conform to these standards.

Butler University Institutional Review Board (IRB) reviews research that involves human subjects. This can include class projects that require students to gather data from human subjects. If the data gathered are part of a class project and will not be publicly disseminated or presented, IRB approval may not be needed. In the following pages, the official University policy is presented. In the case of student research, it is the responsibility of the faculty

advisor to inform students of the policies and procedures for obtaining proper approval. Such approval is required prior to the commencement of any contact with human subjects.

Application materials and copies of the Butler policy document are available on the web at: <http://www.butler.edu/BIRS> or from the Institute for Research and Scholarship. In addition to the application forms, a program statement describing the project, a detailed description of the methods to be employed, a copy of any materials (e.g. questionnaires) to be used, and the informed consent form must all be submitted. The investigator, whether student or faculty, should submit the applications to the Director of the Butler Institute for Research and Scholarship. Once the IRB has made a decision, the investigator will be notified via campus mail. Any changes made to the protocol of the project must be approved by the IRB prior to their implementation.

For further information regarding the IRB application process, please contact the Butler Institute for Research and Scholarship at 317-940-9766 or at <http://www.butler.edu/birs>.

2. Animal Use Policy

Butler University complies with the letter and the intent of appropriate federal, state and local regulations governing institutional animal care and use. The Butler University Institutional Animal Care and Use Committee reviews all protocols involving vertebrate, non-human animals to ensure the ethical treatment of them. This includes animals to be used in laboratory courses as well as in research. It also includes animals that will be used off-campus by members of the Butler Community. Everyone working with animals is required to review the Butler University Principles of Humane Use of Laboratory Animals and sign a verification that they are familiar with the information contained in that document. That document can be accessed online at: <http://www.butler.edu/birs> or downloaded to the investigator's own computer.

Information regarding the application process can be obtained from the Animal Care Technician or from the Butler Institute for Research and Scholarship office (ex. 9766).

3. Institutional Biosafety

The Institutional Biosafety Committee provides oversight of all Butler University research or instructional activities involving recombinant DNA (rDNA). In addition, this committee reviews animal care and use protocols to ensure the proper disposal of biohazardous materials. Additional responsibilities addressed by the committee include but are not limited to

oversight of laboratory safety concerns for both academic and research laboratories. The committee is composed of Butler faculty members with expertise in areas such as rDNA techniques, pathogens or chemical hygiene; a representative from the Environmental Programs office; the Director of the Butler Institute for Research and Scholarship; and two members of the Indianapolis community at large. Members of the committee are allowed to submit protocols for approval by the committee but must absent themselves from the deliberations regarding their own protocol. For more information, please contact the Butler Institute for Research and Scholarship at ex. 9766.

D. Conflict of Interest

The University is a non-profit educational corporation organized under the laws of the State of Indiana. As a non-profit institution, it is prohibited from engaging in any activity the primary purpose of which is to benefit financially any individual directly or indirectly. Moreover, the tax exempt status of the University further prohibits any institutional income to be used for the personal benefit of any individual or group of individuals. In connection with the restrictions set forth above this policy has been prepared to offer broad guidance to the members of the University's faculty and administration.

Employees are expected to remain free of interests or relationships which are, or appear to be, detrimental to the best interests and reputation of the University. Employees must avoid circumstances which cast doubt on their ability to act objectively and fairly regarding the University's business and interests. Should any such situation occur, the employee must discuss it with his/her immediate supervisor. The supervisor will be expected to exercise good judgment in deciding whether the case should be forwarded to the department chair, program director or the dean in order to advise the employee on the proper course of action. When issues involving conflict of interest cannot be resolved at the department, program, or college level, the Provost will make a determination. Failure to follow the Provost's directives with respect to the elimination of a conflict of interest will result in disciplinary action, up to and including termination of employment. (Refer to specific Conflict of Interest Policy for further details).

E. Grants and Contracts

1. External Grants, Fellowships and Contracts

Every proposal submitted for external funding to any agency or organization must receive administrative approval by the University before it is submitted. Such proposals include those submitted for grants and fellowships for research, scholarly, creative and programmatic projects, as well as contracts and subcontracts for external grants.

At least two weeks prior to the grant or fellowship deadline, faculty should complete the *External Grant/Fellowship Proposal or Contract Submission Approval Form* and obtain the signatures of his/her chair and dean. (The form can be found on the BIRS website.) This form, along with a draft of the proposal and budget, should be taken to BIRS in Jordan Hall 109. Faculty may still be fine-tuning their proposals during the two-week period between

its submission and the application deadline. Only a near-finalized proposal narrative and budget are required for the review process to begin. Once the application has been approved, faculty will receive a copy of the completed form and approval to submit the proposal. This process guarantees that the Associate Provost, Provost, Vice President of Finance, departmental or program chairs and college deans all approve of the timing of the award, as well as any other commitments (staffing, equipment and space, programmatic, curricular and/or financial impact) made on behalf of the University. Awarded grants and fellowships are then administered through the University's Budget and Grant Administration office.

2. Butler Awards Committee Grants

The Butler Awards Committee (BAC) makes awards to support research and faculty development programs in the creative arts, social sciences and humanities. BAC awards are made for research projects, for travel to present at conferences, for instructional development, and for courses that support faculty development. The program is overseen by the Director of the Butler Institute for Research and Scholarship (BIRS), and awards are made by the Butler Awards Committee. For a complete description of BAC grant opportunities, including application deadlines and requirements, see the BIRS website: www.butler.edu/birs

3. Holcomb Awards Committee Grants

The Holcomb Awards Committee (HAC) makes awards to support research projects and faculty development programs in the natural sciences, the social sciences, and the mathematical and physical sciences. HAC awards are made for research projects, for summer fellowships, for travel to present at conferences, for instructional development, and for courses that support faculty development. The program is overseen by the Director of BIRS, and awards are made by the Holcomb Awards Committee. For a complete description of HAC grant opportunities, including application deadlines and requirements, see BIRS website: www.butler.edu/birs.

In the interest of supporting students' interest and accomplishments in conducting creative and research projects, Butler University has made funds available to aid these endeavors. Specifically, there are two types of grants available to Butler undergraduate students; the Travel-to-Present Grant and the Thesis Grant. In addition to these grants, the Butler Summer Institute (BSI) offers students an opportunity to work on a project during the summer. All proposals (including BSI) are considered by the Holcomb Undergraduate Grants Committee. The committee is made up of faculty members from across the University. The Director of BIRS is the liaison between students and the committee. Information regarding the Undergraduate Student Research Program can be found on the BIRS website: www.butler.edu/birs.

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Section: 20.30 Policies and Procedures	
Item: 20.30.60 Policies on Outside Consulting/Commitments	Page 1 of 1

A. Outside Consulting and Commitments

A full-time faculty member’s primary professional responsibility shall be to Butler University. Therefore, a full-time member of the faculty shall request prior approval for, and report to his or her dean, any outside employment for compensation or non-compensated external commitment which may draw significantly on the faculty member’s time.

Compensated outside employment and other such commitments shall not exceed a reasonable proportion of the faculty member’s time—normally the equivalent of 1 day per week—or infringe upon stated conditions of employment. Such commitment shall be appropriate to the professional status of the faculty member, and shall not interfere with class schedules, academic advising, research, committee service, or other customary faculty obligations.

Each college dean in consultation with the college faculty and the Provost may establish additional guidelines appropriate for that college. It is the responsibility of each college dean to review faculty adherence to University and college guidelines.

B. Outside Teaching

Resident full-time faculty members are not ordinarily permitted to teach at other institutions. However, a faculty member may, with the approval of the dean and the Provost, accept a limited teaching assignment for another institution if such assignment will not have a deleterious effect upon his or her duties at Butler. Such outside assignments ordinarily are for one semester.

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Item: 20.30.70 Leaves: Sabbaticals, Leave without Pay, Exchange	Page 1 of 3

A. Sabbaticals

1. Purpose of the Sabbatical

The sabbatical should contribute to the professional development of the faculty member and to the enhancement of the University's academic programs.

It is incumbent upon the candidate to demonstrate that the sabbatical will contribute to his or her professional growth and to Butler University.

2. Policies

- a. Sabbatical leaves may be taken for one semester with full pay or for two semesters with half pay.
- b. A faculty member must have completed at least six years of consecutive full-time service at Butler University and hold the rank of assistant professor or higher before taking a sabbatical leave. A faculty member who has been granted a sabbatical leave shall serve six years after the completion of that leave before taking another sabbatical leave. Exceptions to the six-year waiting period may be made by arrangement with the college dean.
- c. Faculty members are expected to teach at Butler University for at least one year following a sabbatical leave.

3. Procedures

- a. An application for sabbatical leave is initiated through discussion of the applicant's plans with the department or program head who will make a recommendation to the dean. Applications must be submitted to the department or program head, or dean where no departments exist, by September 1 for sabbatical leaves for the following academic year. (The form required to make application for a leave is available either on the University's network server or from the faculty member's dean's office.) The department or program head forwards the application, with a recommendation, to the dean. The dean reviews the application, and forwards it, together with the recommendations of both the dean and the department or program head, to the Provost by November 1st. The Provost then reviews the application and the

recommendations, and informs both the dean and the application of the disposition of the application by December 1.

In cases where an application for a full year's leave depends upon extramural funding, the Provost may offer tentative approval on December 1, and full approval once the outcome of a grant proposal is known. If a funding proposal fails but the project is deemed viable, the Provost will consult with the Dean and the faculty member to determine whether a one-semester sabbatical is appropriate.

- b. When necessary, a sabbatical leave may be applied for up to two years in advance in order to facilitate making grant applications and avoiding other scheduling problems.
- c. Recipients of sabbaticals will be required to submit a detailed report to the department head and dean within two months after the beginning of the semester immediately following the leave. The dean shall review and forward the report, together with his or her evaluation, to the appropriate administrative officers.

B. Faculty Leave Without Pay

1. Purpose of Faculty Leave Without Pay
Unpaid scholarly leave should promote professional development and intellectual achievement of the individual faculty member and enhance the stature of Butler University. Faculty members may also request leave on the basis of medical or family circumstances (see 30.70.10, 30.70.20 and 30.70.60).
2. Policies
 - a. Such leaves will normally not exceed one academic year.
 - b. Leaves of absence do not count as eligibility time for sabbatical leaves. At the discretion of the dean of the college and provided the leave is directly related to one's professional development, the leave may count as eligibility time for promotion and tenure. This decision must be made in advance of the leave.
3. Procedures
 - a. A faculty member who wishes to request leave without pay should consult the department or program head and dean as soon as possible, allowing at least one full semester of notice.
 - b. In establishing the salary of a returned faculty member who has been on leave for professional reasons, the department or program head and

dean will take into consideration the nature of the faculty member's services and experiences since the last evaluation for salary purposes.

C. Faculty Exchanges

1. Faculty exchanges are encouraged if the result is enrichment of University programs.
2. Faculty members may apply to the dean for funds to cover exchange costs.
3. The order in which the application is considered for approval is to the department or program head, dean, the Provost, and the President.

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Item: 20.30.80 Severance Policy and Procedures	Page 1 of 1

A. Notification of non-reappointment of full-time faculty during the probationary period will be given as follows:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of the academic year; or, if a one-year appointment, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that academic year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment, after two or more years in the institution.

B. Resignation

As a matter of fairness and professional ethics, the University expects faculty members to be bound by the traditional dates of notification: that is, not later than May 15, or thirty days after receiving notification of the terms of continued employment the following academic year, whichever date occurs later.

C. Termination of Tenured Faculty

Termination of tenured faculty members shall be for cause only, except when demonstrable financial exigencies of the University or formal discontinuance of a program or department of instruction permit no other course of action. Causes which warrant termination of employment may include, but are not limited to, professional incompetence, conduct which substantially impairs the faculty member's performance of his/her responsibilities, or medical reasons.

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Item: 20.30.90 Anti-Harassment, Consensual Relationships, Workplace Violence	Page 1 of 1

It is the policy of Butler University to provide an educational, employment and business environment free of unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct, intimidation or communications constituting sexual harassment as defined and otherwise prohibited by state and federal statutes. The Butler statement on Anti-Harassment, Consensual Relationships and Workplace Violence appears in Appendix G.

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Section: 20.30 Policies and Procedures	
Item: 20.30.95 Non-Discrimination Policy	Page 1 of 1

Butler’s policy is to make sure all employees and applicants are accorded equal opportunity in all phases of employment without regard to race, religion, sex, age, national origin, citizenship status, disability, or any other legally protected classification. Every effort is made to ensure that hiring and promotion decisions are made strictly on the basis of job-related factors and that the relationship between the University and its employees is free from discrimination. The University also seeks to provide a work environment free from any form of unlawful harassment.

Any person employed by the University who believes that he or she has been a victim of some form of discrimination should report the incident immediately to his or her supervisor or to Human Resources Management and Development.

Persons submitting complaints of discrimination are assured that a thorough investigation of such complaints will be conducted. Information collected during such an investigation will be considered confidential and will not be disclosed to persons not involved directly in conducting the investigation and determining what action, if any to take in response to the complaint. No adverse action will be taken against any employee because he or she reports an incident of discrimination unless it is found that the report was made in bad faith.

If, following a complaint of discrimination, an investigation reveals that some act of discrimination has occurred, the person who has violated the above-described prohibition of discrimination will be subject to sanctions or penalties. The sanction or penalty administered under this policy will depend on all circumstances, including the offending employee's prior work record and the specifics regarding the nature of the violation. It should be understood that suspension and/or termination of employment may very well be the penalty administered to persons who violate this policy. If the offender is not an employee of the University, the University will take reasonable measures to the extent the University can exercise any control over the problem.

Any person who is dissatisfied with the outcome of an investigation of a charge of discrimination may make use of the University’s grievance procedures.

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Item: 20.30.100 Grievance Policy and Procedure	Page 1 of 4

A. Preliminary Procedures and Conditions

The grievance procedures outlined herein should be initiated only after a genuine attempt has been made to resolve differences informally. A faculty member who feels aggrieved should attempt to meet with the appropriate individual or individuals to discuss the matter and reach a mutual understanding or resolution if at all possible. Only if the matter cannot be resolved informally should recourse to these formal grievance procedures be utilized. The grievance process must be initiated no later than sixty (60) working days after the discovery of the circumstances giving rise to the grievance.

B. Definition of Terms

1. Grievance

A grievance is a written complaint against the University by an individual about a decision or action of the University directly affecting her/him. The grievance must be based on a complaint by an individual that a decision was made or action taken by the University in a manner which violated duly established procedures, or that the individual was not accorded fair and impartial treatment.

Reviews of tenure, promotion, and reappointment decisions are to be in accord with AAUP grievance policy on such matters. This policy states that the review of negative decisions believed to be the result of inadequate consideration should address procedural rather than substantive issues, with the understanding that the review committee should not substitute its judgment on merits for that of the faculty body. The Professional Appeals Committee may request reconsideration by the faculty body if it believes adequate consideration was not given to the faculty member's performance.

2. Grievant

All those members of the faculty as defined in Section 20.10 above, including those on approved leave of absence with or without pay, may avail themselves of these grievance procedures. A former faculty member whose appointment is no longer in effect may not file a grievance.

3. Respondent

The Dean of the College shall respond to the grievance except when this responsibility is delegated to the Provost or his/her designate when the College Dean is substantially involved in the grievance.

4. Working Day

Working days are defined as Monday through Friday of those periods during which the administrative offices of the University are open.

5. Professional Appeals Committee

The Professional Appeals Committee shall be composed of seven faculty members, one tenured faculty member elected by the faculty of each of the six colleges and one elected from the faculty librarians. Both the grievant and the University shall remove one member of the committee to form a five-member Grievance Committee for each individual case. Removal of a committee member by both the University and the grievant shall occur independently. If the same person is removed by both parties, the final additional person shall be removed by lot. Each five-member Grievance Committee shall elect its own chairperson. The standing Professional Appeals Committee will serve for one year, from September through August. Grievance Committee members will serve until the grievance is resolved or the committee's work on that grievance is complete.

C. Procedures for Grievance

1. The grievant addresses a letter of complaint to the Chairperson of the Faculty Senate with a copy to the dean of the grievant's college and the Provost. The letter shall contain a statement that a grievance is being filed, a statement of the circumstances giving rise to the grievance, a description of the efforts made to resolve the matter informally with an identification of all persons involved in those efforts, and a statement of the remedy sought or proposed resolution. The grievant is encouraged to support the letter with any documentation, which supports the contention. The letter of the grievant must be in the hands of the Chairperson of the Faculty Senate no later than sixty (60) working days after the discovery of the circumstances or administrative decision giving rise to the grievance.

The Chairperson of the Faculty Senate shall respond to the letter of complaint and inform the grievant of the process that will be followed. The grievant will be notified of the time limits of the process and of his/her right to have access to his/her personnel file. The grievant shall be reminded that the subsequent discussion is limited to the original letter of complaint. New charges cannot be introduced during the process.

At this time, the Chairperson of the Faculty Senate will constitute the grievant's Professional Appeals Committee within fifteen (15) working days following receipt of the letter of complaint and shall refer all grievance material to the Committee.

2. The Chairperson of the Professional Appeals Committee shall request and receive a written response to the grievant's letter within twenty (20) working days from the Provost or his/her designee. A copy of the response shall be

forwarded to the grievant. The response shall state the University's position with respect to the facts alleged by the grievant, shall provide any additional relevant facts, and shall comment on the grievant's proposed resolution. The chairperson and/or the Professional Appeals Committee may subsequently, at their discretion, meet with the grievant or Provost in an effort to clarify relevant facts soon after receipt of the University response.

The chair of the Committee may also suggest to the grievant that an additional effort to resolve the matter informally should be undertaken. The grievance process cannot, however, be stopped without a written request to do so by the grievant and the consent of the respondent (see item 5 below).

3. Within fifteen (15) working days after receipt of the University's response, the Professional Appeals Committee will decide whether the preliminary procedures have been followed and will so inform the grievant in writing, with a copy to the Provost. If preliminary procedures have been followed, the Committee will then schedule a hearing to be held within twenty (20) working days. However, an attempt may be made to resolve the matter informally.
4. The grievance hearing is not a legal process but a collegial process, which is an effort by peers to make a fair determination. The grievant should inform the Committee of his/her desire to include advisors at the hearing by presenting to the Committee the names of the advisors as well as a list of witnesses. The Professional Appeals Committee reserves the right to dismiss a witness if it appears that the testimony is irrelevant. The witnesses will be informed of the time and place of the hearing, together with their scheduled time for appearance. At the time the grievant suggests witnesses, the Professional Appeals Committee should be informed of the questions the grievant would like asked of the witness. The witness list will be given to the University by the Professional Appeals Committee after the witness list is available so that the University will have at least one (1) week to prepare.
 - a. The hearing is closed, and no observers will be allowed. In addition to the Professional Appeals Committee, only the grievant, the University, advisors of the grievant and the University, and the individuals giving testimony may be present. The University will usually be represented at the hearing by the college Dean. The Provost and/or his/her designee may also attend.
 - b. The letter of complaint from the grievant and the letter of response from the University are read. The letter of response from the University must state reasons for not agreeing with the grievant's position.
 - c. The grievant presents evidence to support his/her claim of a grievance, calling whatever witnesses he/she chooses. All evidence and witnesses presented must pertain to the

allegations as stated in the original grievance. New charges cannot be introduced during the hearing process. The grievant has the right to respond to the University's response to the grievance.

- d. The Committee will conduct the hearing and the Chair will direct the proceedings. Advisors are present only to advise participants and will not be permitted to question witnesses or others. With permission of the Chair, the grievant or the University has the right to question directly each witness after that witness has concluded his/her testimony.
- e. The University may present evidence to support a contention that the grievant's claim should not be allowed. The University may also call witnesses and question the grievant directly during the hearing.
- f. The grievant and the University will have the opportunity to present a closing statement to the Committee.
- g. Following the hearing, the grievant or University may present additional supporting materials or documentation pertaining to issues raised during the hearing. Notice of intention to submit additional materials must be given to the Committee no later than two (2) working days after the hearing. These materials must be submitted no later than five (5) working days following the hearing to the office of the chairperson so that the Committee may consider these materials during its post-hearing deliberations.
- h. The Professional Appeals Committee will meet in private to discuss and decide the case.

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Item: 20.30.110 Scholarly and Scientific Misconduct	Page 1 of 1

The Provost must be notified of any and all allegations of possible scholarly or scientific misconduct. He/She reviews the case and is required to keep a file of each allegation and its disposition.

Where there is substantial preliminary evidence of misconduct, as found by the Provost, the President may appoint a faculty review board to investigate the allegations. The individual will be informed of the allegations and the investigation in writing, and will have the opportunity to respond to the allegation. The review board may be asked to recommend sanctions if they determine that there is a preponderance of evidence of guilt.

The review board will consist of a member of each of the colleges of the University, appointed by the President with the approval of the Chair of Faculty Senate.

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Section: 20.40 Discontinuance or Reorganization of Programs	
Item: Discontinuance or Reorganization of Programs	Page 1 of 2

Programs at the University may be discontinued, reduced, or substantially reorganized for reasons of financial exigency or substantial educational reasons.

In any discontinuance or reorganization of programs, it is the policy of the University to fulfill these goals:

- A. to protect the integrity of the University and its programs, and
- B. to make any reductions follow an orderly and predictable process.

For any discontinuance or reorganization of programs involving considerations of terminating full-time faculty members, it is the policy of the University (to the extent consistent with the degree of financial exigency) to do the following:

- A. to preserve the rights of tenured faculty members,
- B. to fulfill contracts with untenured faculty members, and
- C. to share the burden of corrective action with various categories of personnel of the University.

Financial Exigency: Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of a specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, i.e., an imminent financial crisis which threatens the survival of the institution as a whole and which cannot be alleviated by less drastic means.

Discontinuance of Program or Department Not Mandated by Financial Exigency: Except in the most extraordinary circumstances, all tenured faculty members and those on continuous appointment will retain their positions. The following standards and procedures will apply:

- A. The decision to discontinue a program or department of instruction will be made by the Board of Trustees only after full deliberation on the educational considerations. It is the function of the faculty as a whole to report to the Board its view concerning the relevant educational considerations in such cases. "Educational considerations" do not include cyclical or temporary variations in enrollment. They reflect long-range judgments that the educational mission of the institution as a whole will be enhanced by the discontinuance. The Faculty Senate will follow regular governance procedures for reviewing and responding to proposals from the Administration for such program discontinuance, referring the latter to the appropriate committees and councils.
- B. Before the Administration issues a notice of its intention to terminate a faculty member as a result of such program discontinuances the institution will make every effort to place the faculty member concerned in another suitable

position (there is no intent to force faculty members or a department or unit in cases in which faculty or affected departments or units have a substantive objection to such placement). If placement in another suitable position would be facilitated by a reasonable period of training, financial and other support for such training will be offered.

- C. A faculty member may appeal a proposed relocation or termination resulting from a discontinuance of program and has a right to a full hearing before a faculty committee. See the grievance procedure specified above.
- D. The Administration will provide written notification to all faculty affected by the discontinuance or reorganization including (a) a statement of the basis for its action, (b) a description of the manner in which the decision in question was reached, and (c) information regarding procedures for appealing the decision.
- E. The Administration recognizes its obligation to reappoint personnel who have been terminated through a reduction in faculty insofar as circumstances permit within a three-year period following such action, during which time affected faculty members will be granted first refusal of re-established positions for which they are qualified.
- F. The Administration will make every effort to extend to affected faculty members, from the date of termination to the second anniversary of the date of notice, all health insurance benefits to which they would have otherwise been entitled.

Chapter: 30 Faculty Benefits and Services	Effective/Revised:
Section: 30.10 Eligibility; 30.20 Salary	2010
Item: Eligibility; Pay Schedule, Supplement. Compensation, Withholdings	Page 1 of 1

The Human Resources Management and Development Management & Development Department (HRM&D) administers employee benefit plans for faculty. Circumstances beyond the University's control may require adjustments in some benefits between revisions of this *Handbook*. The University will make every effort to keep faculty informed of changes as they occur.

30.10 Eligibility

All full-time faculty as defined in Section 20.10 are eligible for the benefits and services outlined below. Some benefits are available to part-time (adjunct) faculty.

30.20 Salary

30.20.10 Pay Schedule

Faculty are paid once a month on the last working day scheduled for the University. Those on a nine- or ten- month contract may elect to have payments made over twelve months by making that request in writing to HRM&D prior to the first pay in September.

30.20.20 Supplementary Compensation

Extra pay such as grants, summer stipends, etc., are paid in monthly installments as outlined on the faculty appointment form and are added to any other pay that is scheduled for that month. Supplementary compensation is not included in the base salary for purposes of benefits.

30.20.30 Withholdings

The federal government, the State of Indiana, and the counties require withholding of personal income tax in accordance with certificates of withholding allowances filed by faculty in the office of the Provost. Additionally, the federal government requires the University to deduct and remit social security (OASDI/Medicare) tax from employee earnings and to make matching contributions to the fund. Deductions for benefit plans are taken as the individual indicates on enrollment forms; these forms are filed in HRM&D. Court-ordered wage garnishments are the only deductions taken from paychecks without written authorization of the faculty member.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.30 Retirement Status	
Item: 30.30.10 Retirement Plans; 30.30.20 Benefits for Retired Faculty	Page 1 of 2

There is no mandatory retirement age. Some benefits do have a years-of-service requirement. Upon retirement, faculty may be nominated for emeritus status by the Faculty Senate for recommendation to the Board of Trustees.

30.30.10 Retirement Plans

A. Defined Contribution Retirement Plan

A Defined Contribution Retirement Plan is available to regular, full-time and adjunct faculty upon completion of one year of continuous full-time service at a qualified institution or a 12 credit hour teaching commitment within the last twelve (12) consecutive months. This service requirement can be met if the prior employer was at any higher education institution with no more than a 3-month break. Participation in the plan is not required but is strongly recommended.

The plan calls for members to make a pre-tax contribution of five percent of their base pay. In turn, the University contributes ten percent of base pay. New faculty who already hold regular TIAA-CREF retirement contracts at other institutions can continue to make contributions, but the University will not make its contribution until after the waiting period has been satisfied. Details of the retirement plan are available in HRM&D.

B. Supplemental Tax Deferred Annuity Plan (TDA)

Faculty contributions to the TDA Plan are available to regular full-time and adjunct faculty immediately upon hire. Additional information is available in HRM&D.

30.30.20 Benefits for Retired Faculty

Retired faculty members can continue membership in the University's medical plan at full cost of active plan participants if he/she is not eligible for Medicare. If the retiree is eligible for Medicare at the time of retirement, he/she may participate in the Medicare supplement plan (medical/Rx) offered through the University.

Retired faculty are entitled to a continuation of tuition remission benefits at Butler University as outlined in the tuition remission policy. A copy of the policy and procedures is located in HRM&D or on line at butler.edu/hr.

Retired faculty are invited to Senate meetings, where they have the privilege of the floor; and to convocations of the faculty, where they have the privilege of marching in processions in academic regalia.

They are entitled to continued participation in college activities, use of the University's facilities and services such as the library, access to email and helpdesk support, as well as the opportunity to pay for a membership to the Health & Recreation Complex (HRC). They are entitled to an identification card and any discounts associated with the use of the

identification card. They may use special equipment and room space to the extent of availability.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.40 Insurance Benefits	
Item: 30.40.10 - 30.40.80	Page 1 of 2

30.40.10 Group Medical and Dental Insurance

Group medical and dental insurance is provided to regular, full-time faculty and eligible part-time (adjunct) faculty. Enrollment is voluntary and coverage begins on the first day of active employment for full-time faculty. For part-time faculty, eligibility begins after 12 credit hours of teaching commitment within the last twelve (12) consecutive months has been satisfied.

It is important to note that one must join the group plan (s) within 30 days of hire. Proof of insurability is required if a request is made to join the plan after this period. This is true for the employee, spouse and dependents. The insurance company reserves the right to decline coverage if not enrolled during the eligibility period.

The faculty member, his/her dependents or both (family coverage) may be insured. Premium costs are shared between the University and enrolled participants. Those who choose to participate in the plan pay their portion of the premium cost through regular payroll deductions. These deductions are on a pre-tax basis. Details and information (including plan descriptions, brochures and premium rates) are available from Human Resources Management and Development and on-line at butler.edu/hr.

30.40.20 Vision Insurance

The University offers a vision services plan that provides coverage for eye examinations, eyeglasses or contact lens. The full premium is paid on a pre-tax basis by the faculty member.

30.40.30 Medicare

Upon reaching Medicare eligibility (generally at age 65), the University's medical, dental and vision plans continue to be primary as long as the faculty member is working for the University in a full-time status or working in an eligible capacity as an adjunct faculty member.

30.40.40 Income Protection

Income protection provides 100% salary continuations for personal illness or injury for up to sixty (60) calendar days or for intermittent or a reduced schedule medical leave. Medical certification is required for this benefit.

Full-time regular faculty on a 9-, 10-, or 12-month schedule are eligible for income protection after completing one year of continuous service.

30.40.50 Group Short and Long Term Disability Insurance

Group short and long term disability plans are provided to regular, full-time and eligible adjunct faculty after one year of continuous full-time service (or in the case of adjunct faculty, a teaching commitment of 12 credit hours during the last 12 consecutive months).

The Plans provide a percentage of income for specified time periods after satisfying Plan waiting periods and meeting Plan criteria. The University pays the full cost for both short and long-term disability plans.

30.40.60 Group Term Life Insurance

The University provides regular, full-time and eligible adjunct faculty (as defined above) with term life insurance immediately upon employment. The University pays the full cost of the coverage, which is based on the faculty member's base pay. There is a double indemnity clause for accidental death and dismemberment.

30.40.70 Long Term Care Insurance

This program is designed to help pay for covered expenses for long term care at home, in the community, or in a nursing facility. Coverage is available to faculty and other family members at full cost to the employee.

30.40.80 Flexible Spending Account (FSA)

The University participates in IRS Section 125 flexible spending accounts. These accounts provide the opportunity to deduct pre-tax monies to pay for non-reimbursed medical expenses and dependent day care expenses. Full-time faculty and eligible adjunct faculty (as defined above) are eligible to participate.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.50 Personal Assistance Counseling; 30.60 Statutory Programs	
Item: Employee Assistance Program; Social Security, Unemployment, Worker's Compensation	Page 1 of 1

30.50 Employee Assistance Program

Butler provides confidential, professional counseling for employees and their immediate family members through an Employee Assistance Program with Methodist Hospital of Indiana. The Methodist Assistance Program provides up to six free visits for each family member per year to assist with stress and anxiety management, depression, family and/or marital counseling, drug and alcohol abuse.

30.60 Statutory Programs

All faculty, whether regular or temporary, full-time or part-time, are protected with benefits provided under these programs mandated by law:

30.60.10 Social Security

Each employee of the University, under Federal Law, is covered by Social Security (OASDI/Medicare). Benefits include retirement income, disability income, survivor and children's benefits, and so on. The employee and the University contribute to Social Security under rates established by the federal government.

30.60.20 Unemployment Insurance

Each employee of the University is protected by the Unemployment Insurance Laws of the State of Indiana. This insurance is funded by the University. Unemployment benefits are determined by the State Department of Employment Security.

30.60.30 Worker's Compensation

Each employee of the University is protected by the Worker's Compensation Law of the State of Indiana. In the case of injury on the job, medical expenses are paid by worker's compensation insurance. Other benefits may include weekly income benefits during time lost from the job because of occupational injury and payments for permanent disabilities.

In the case of injury on the job, all details of the injury must be reported immediately to HRM&D. Injured faculty are directed to the University's medical provider. Failure to comply with the University's medical provider could result in non-payment of medical treatment. Appropriate forms are completed by the injured person and his/her supervisor for forwarding by HRM&D to the insurance company and the state.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.70 Leaves	
Item: 30.70.10 Benefits while on Sabbaticals	Page 1 of 1

(See procedures for approval of sabbaticals)

A. Medical, Dental and/or Vision Insurance

A faculty member on sabbatical may choose to discontinue coverage of the University's Plan(s), without penalty, if he/she proves that coverage is being provided as a part of the sabbatical leave arrangement with another institution. The faculty member is reinstated in the University Plans upon returning to Butler provided that the member is actively at work, and subject to the terms and conditions of the group insurance policies. This provision does not apply if the member is planning to use a socialized or national medical plan of another country.

If a faculty member chooses to stay on the plan(s), the premium(s) are at the same contribution level as active faculty members for up to one year.

B. Income Protection and Life Insurance

If on a paid sabbatical, coverage continues and benefits are based on the base salary. If on an unpaid sabbatical, benefits continue for only six months.

C. Short Term and Long Term Disability Insurance

If on a paid sabbatical, coverage continues and benefits are based on the base salary. If on an unpaid sabbatical, benefits continue for only six months. .

D. Retirement Contributions

University retirement contributions continue based on the sabbatical salary and continued contributions by the faculty member. If the sabbatical is unpaid, no contributions are made.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.70 Leaves	
Item: 30.70.20 Military Leave; 30.70.30 Jury Duty; 30.70.40 Bereavement	Page 1 of 2

30.70.20 Military Leave

A. Notification

Department or program head, college dean, and Human Resources Management and Development Management & Development must be informed of the dates the faculty member is required to be on reserve or active duty in advance of the date.

B. Pay/Health Coverage

For a leave commitment of up to two weeks, the University will pay the difference between the service payment and University pay. All benefits remain the same. If the military commitment is longer than two weeks, the faculty member may continue existing health plan coverage for up to twenty-four (24) months while in the military.

C. Qualifying Exigency

Effective January 16, 2009 faculty who are family members of a covered military member may take leave under the Family Medical Leave Act (FMLA) to address common issues that arise when a covered military member is deployed, such as attending military-sponsored functions, making appropriate financial and legal arrangements, and arranging for alternative child care. A covered military member is the faculty member's spouse, son, daughter or parent who is on active duty or call to active duty status. (See FMLA Policy).

D. Service members' Relatives

Effective January 28, 2008, an eligible faculty member who is the spouse, son, daughter, parent or next of kin to a covered service member is entitled under the FMLA to a total of twenty-six (26) workweeks of unpaid leave during a twelve (12) month period to care for a covered service member. (See FMLA policy).

30.70.30 Jury Duty

For the duration of jury duty service, the University will pay the difference between the service payment and University pay. The same applies if a faculty member is subpoenaed (other than as a consultant) to appear as a witness, except as a party to the suit.

30.70.40 Bereavement Leave

Full-time faculty are eligible for up to three consecutive workdays to arrange for and/or attend the funeral of an immediate family member. Immediate family refers to: spouse, same-sex domestic partner, child, sibling, parent, grandchild, grandparent, and the "step" or in-laws of the above named relationships.

A paid leave of one workday is granted to attend the funeral of a close relative. A close relative is defined as: aunt, uncle, niece, nephew, or cousin.

In very special circumstances, a leave without pay may be granted. The request must be made in writing to the appropriate department or program head and approved by the college dean. It is important the arrangements are agreed upon in writing concerning the length of the leave, coverage of classes, coverage of other responsibilities during the leave, and the availability of the same position with the same responsibilities upon returning.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.70 Leaves	
Item: 30.70.50 Family Medical Leave	Page 1 of 2

In accordance with the Family Medical Leave Act (FMLA) of 1993, Butler University provides eligible employees with a combined total of 12 weeks of job-protected, unpaid leave during any 12-month period for the following situations:

A. To care for the birth of a child of the employee or the placement of a child with the employee for adoption or foster care within the first 12 months of the birth or placement of the child.

In the event that both husband and wife work for the University, only one 12 week leave (between the two employees) is granted for the birth, adoption, or foster placement of a child.

B. To care for the employee's spouse, child, or parent who has a serious medical condition.

C. To care for the employee's own serious health condition.

D. An employee who is the spouse, son, daughter, parent, or nearest blood relative of a "covered service member" is provided with a combined total of twenty-six (26) work weeks of unpaid leave during a twelve (12) month period to care for a covered service member.

E. An employee who is the spouse, son, daughter, or parent of a "covered military member" is provided Qualifying Exigency Leave to address common issues (such as attending military- sponsored functions, making appropriate financial and legal arrangements, arranging for alternative child care) that arise when the covered military member is called to active duty or is on active duty.

Eligibility: An individual who has been employed (part-time or full-time) for at least 12 months, and who has worked at least 1,250 hours during the 12 month period immediately prior to the start of a leave.

Upon return from FMLA leave, employees return to the same or equivalent position held prior to the leave with equivalent benefits, pay, and other terms and conditions of employment. The length of the leave is counted as time worked for purposes of determining benefit eligibility. Employees covered by the University's medical, dental, and vision plans may continue coverages during the length of their leave provided that the employee makes arrangement through HRM&D to pay the employee's portion of health care premiums.. If the employee does not return from the leave for other than health reasons, the employee is charged retroactively for the full premium cost of the health care coverage(s).

Procedure: The employee should obtain a Request for FMLA Leave Form from HRM&D. The form should be completed, approved by the supervisor and returned to HRM&D. For

more complete information on Family Medical Leave, see the specific policy for further details or go to butler.edu/hr. A meeting with an HRM&D benefits representative is necessary to finalize details surrounding all FMLA leaves.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.70 Leaves	
Item: 30.70.60 Other Leaves	Page 1 of 1

A. Application

There may be circumstances where other leaves of absence may be granted. Application must be made through the deans and must receive approval from the Provost and in some cases the President (see procedures in Item 20.30.70 above).

B. Health Insurance

If a non-medical leave is granted, coverage may continue under the group plan(s) for up to one year but the cost is the responsibility of the faculty member.

If the faculty member who has been granted a non-medical leave does not return to work at the end of one year, the faculty member is eligible to continue coverage as defined by the provisions of COBRA.

C. Life Insurance /Short-Term and Long-Term Disability

There are no life insurance or disability coverages available.

Upon returning from leave, the faculty member may be reinstated for life and disability coverages subject to the terms and conditions for re-enrollment in the group insurance plans.

D. Retirement Contributions

No retirement contributions are made by the University during unpaid leaves of absence.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.80 Moving Expenses; 30.90 Tuition Benefits	
Item: Moving Exp; Tuition Benefits: Butler, Exchange, Deceased Faculty	Page 1 of 2

30.80 Moving Expenses

The University offers a moving package for new full-time tenure-track faculty members who are moving to take a position at Butler. The University pays a part of this benefit utilizing selected moving companies.

If a faculty member chooses to move him or herself or uses a company other than those recommended, the University pays a part of these expenses as outlined in the policy and procedure guide available in the HRM&D Department or on line at butler.edu/hr.

30.90 Tuition Remission Benefits

30.90.10 At Butler University

A. Undergraduate Coursework

Upon completion of nine months of continuous full-time service at a qualified institution, regular, full-time faculty and their spouses are eligible to take courses at Butler University under a tuition remission program. Dependent children of regular, full-time faculty may attend Butler University under the tuition remission program, in the undergraduate division only, provided they meet all entrance requirements and are admitted to the program. A dependent child means a child born of or legally adopted by the faculty member or a stepchild who is primarily supported by the faculty member as determined by Internal Revenue Service regulations. Requisition for tuition remission must be filed each semester along with a minimal administrative fee. Forms are available in HRM&D or on-line at butler.edu/hr.

B. Graduate Coursework

Regular, full-time faculty and their spouses are eligible to take graduate course work at Butler University under the tuition remission program. There is a minimal administrative fee.

Eligible adjunct faculty receive some tuition remission benefits. Contact HRM&D for details.

30.90.20 At Another Institution as Part of the Tuition Exchange Program

Dependent children (as defined above) of regular full-time faculty who choose to attend another accredited college or university in a full-time undergraduate program, in pursuit of the first baccalaureate degree, are eligible to participate in the Tuition Exchange Program for eight semesters. This program enables children of faculty/staff of one institution to receive benefits from another member institution depending on space availability in the other institution. Information is available in HRM&D or on-line at butler.edu/hr.

30.90.30 Children and Spouse of Deceased Faculty

Surviving children of faculty members who die while under contract with Butler University and who qualify for admission are eligible for both tuition remission and tuition exchange in accordance with the established policy. A letter should be sent to the HRM&D Department (Faculty Benefits File) identifying eligible dependent children.

The surviving spouse of a faculty member who dies while under contract with Butler University, and who qualifies for admission, is eligible for tuition remission in accordance with the established policy.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.100 Prof. Travel; 30.110 Loans for Computers; 30.120 Purchasing	
Item: Professional Travel; Loans for Computers; Purchasing Guidelines	Page 1 of 1

30.100 Professional Travel

Faculty members traveling with the support of University funds are asked to use the recommended travel agent to assist with arrangements. The deans and HRM&D have details on the current company, its policy and procedures.

With the appropriate approvals, a faculty member may receive a cash advance. Forms need to be completed and filed with the Business Office within the prescribed deadlines, and according to university procurement policy. Otherwise, an expense report should be filed for reimbursement.

30.110 Loans for Computers

A loan program is available to assist faculty members with purchase of a personal computer. The policy, procedure and certification form are available via the following: My.Butler → Employee Resources → Forms Central (click under PC or MAC users) → Human Resources Management and Development → Personal Computer Loans.

Specific questions about the loan program should be addressed to the Office of the Vice President of Finance.

30.120 Purchasing Guidelines

The University has policies to guide the procurement of goods and services, as well as travel and other reimbursable business expenses. These policies are revised periodically. The most current version may be obtained by accessing bufiles/general/Forms/Business Forms/Business Policies.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.130 Miscellaneous Benefits	
Item: 30.130.10 - 30.130.60	Page 1 of 1

30.130.10 Discounts

Discounts are available for the following:

- A. Athletic Tickets - Call Athletic Office
- B. Clowes-sponsored events - Call Clowes Hall Box Office
- C. Movie tickets for the Indianapolis area- Call the PULSE Office located in Atherton.

30.130.20 Health & Recreation Complex (HRC)

Butler faculty may purchase a membership to the HRC. Faculty may take advantage of some fitness classes sponsored by Healthy Horizons without a membership, but with presentation of a Butler I.D. Visit the HRC website for details at butler.edu/HRC.

30.130.30 Parking

A faculty/staff parking sticker may be purchased for a minimal fee in the Butler University Police Department upon showing your Butler I.D. Annual renewal is done on-line and via payroll deduction of the parking fee. The parking sticker allows you to park in designated areas on campus. Stickers are available for additional cars.

30.130.40 University Post Office

The University Post Office provides normal postal services including choices of express mail, and coordinates the campus mail delivery system.

30.130.50 University Health Services

Health Services may be able to provide immunizations required for University related travel; please call prior to visiting the Health Center. The cost of the immunization is charged back to the faculty member's department.

Chapter: 30 Faculty Benefits and Services	Effective/Revised: 2010
Section: 30.140 Liability	
Item: Liability	Page 1 of 1

30.140 Liability

The University carries a liability policy for all faculty and staff while serving as a representative of the University. The policy covers individuals who drive a University vehicle for approved University business. If operating a personal vehicle on University business, the individual's personal insurance policy is in effect.

Chapter: 50 Appendices	Effective/Revised:
Section: 50.10 Appendix A: Academic Integrity Policy for Students	2010
Page 1 of 2	

Please note that the following comes from the Student Handbook and is intended for students. However, faculty are expected to meet the same standards the University would expect from students.

Butler University is an academic community. It exists for the sake of the advancement of knowledge, the pursuit of truth, the intellectual, ethical, and social development of students, and the general well-being of society. All members of our community have an obligation to themselves, to their peers, and to the institution to uphold the integrity of Butler University. In the area of academic integrity, this means that one's work should be one's own and that the instructor's evaluation should be based on the student's own efforts and understanding. When the standards of academic integrity are breached, mutual trust is undermined, the ideals of personal responsibility and autonomy are violated, teaching and learning are severely compromised, and other goals of the academic community cannot be realized.

Academic dishonesty in all its manifestations is deplorable. Students must be fully aware of what constitutes academic dishonesty; claims of ignorance cannot be used to justify or rationalize dishonest acts. Academic dishonesty can take a number of forms, including but not limited to cheating, plagiarism, fabrication, and interference.

Cheating is receiving or giving help on papers, experiments, reports, compositions, projects or examinations without the instructor's permission. It includes submitting part of or all of the completed assignment of another student as one's own work. Of special note and concern is the use of purchased research papers. It is a violation of the regulations of Butler University for a student to purchase a term paper. Cheating is also using unauthorized materials and aids, such as books, one's own notes or those of another, and calculators, during an examination.

Plagiarism is the fraudulent misrepresentation of any part of another person's work as one's own. Submitting any writing, including take-home exams, that does not properly acknowledge the quoting or paraphrasing of another person's words, or that fails to give proper credit for another person's ideas, opinion, or theory is plagiarism. Any unacknowledged use of sources to which one is indebted including but not limited to are, music, video, audio, theatre projects, compositions, and computer software constitutes plagiarism.

Fabrication is the falsification or invention of information or data in reports, lab results, bibliographies, or any other academic undertaking.

Interference includes the theft, alteration destruction, or obstruction of another student's work. Interference may take the form of the theft, defacements, or destruction of resources, e.g. library periodicals and books, so as to deprive other students of information.

The requirements of academic integrity also extend to academic activities involving computers and networks.

A person who violates the standards of academic integrity undermines the values integral to the educational mission of Butler University. Academic dishonesty is a serious offense, harming both the community and the perpetrator, and Butler University has, accordingly, adopted the following procedures for dealing with possible instances of academic dishonesty:

Chapter: 50 Appendices	Effective/Revised: 2010
Section: 50.20 Appendix B: Academic Integrity Procedures for Students	
Page 1 of 2	

Note that the following procedure refers to students. Please refer to Scholarly and Scientific Misconduct for faculty procedure.

Academic Integrity

Butler University is an academic community. It exists for the sake of the advancement of knowledge; the pursuit of truth; the intellectual, ethical and social development of students, and the general well being of society. All members of our community have an obligation to themselves, to their peers and to the institution to uphold the integrity of Butler University. In the area of academic integrity, this means that one's work should be one's own and that the instructor's evaluation should be based on the student's own efforts and understanding. When the standards of academic integrity are breached, mutual trust is undermined, the ideals of personal responsibility and autonomy are violated, teaching and learning are severely compromised, and other goals of the academic community cannot be realized. Students are responsible for being fully aware of what constitutes academic dishonesty; claims of ignorance cannot be used to justify or rationalize dishonest acts. Academic dishonesty can take a number of forms, including but not limited to cheating, plagiarism, fabrication, facilitation, and interference:

Cheating includes receiving or giving help on papers, experiments, reports, compositions, projects, or examinations without the instructor's permission. It also includes submitting part of or all of the completed assignment of another person as one's own work. Of special note and concern is the use of purchased research papers. It is a violation of the regulations of Butler University for a student to purchase a term paper. Cheating is also using unauthorized materials and aids, such as books, one's own notes or those of another, and calculators during an examination.

Plagiarism is the fraudulent misrepresentation of any part of another person's work as one's own.

Submitting any writing, including take-home exams, that does not properly acknowledge the quoting or paraphrasing of another person's words, or that fails to give proper credit for another person's ideas, opinion, or theory is plagiarism. Any unacknowledged use of sources to which one is indebted including but not limited to, music, video, audio, theatre projects, compositions, web site, and computer software constitutes plagiarism.

Fabrication is the falsification or invention of information or data in reports, lab results, bibliographies, or any other academic undertaking.

Facilitating academic dishonesty involves assisting someone in an act of dishonesty.

Interference includes the theft, alteration, destruction, or obstruction of another student's work. Interference may take the form of the theft, defacements, or destruction of resources, e.g., library periodicals and books, so as to deprive other students of information.

The requirements of academic integrity also extend to academic activities involving computers and networks and unethical/unprofessional conduct specific to academic programs. (See "Computer Use Policy," Section VI)

A person who violates the standards of academic integrity undermines the values integral to the educational mission of Butler University. Academic dishonesty is a serious offense, harming both

the community and the perpetrator, and Butler University has, accordingly, adopted procedures for dealing with possible instances of academic dishonesty. A college may also adopt its own procedures for dealing with academic integrity issues. In such a case, the college's procedure may be followed in addition to or as an alternative to the procedures set forth below:

The Student's Act of Academic Dishonesty Takes Place in a Course in Which the Student is Enrolled

[*Note: "days," as used throughout the student handbook, except where otherwise stated, means "calendar days." The reference "dean" may also refer to the dean's designee.]*

1. Imposition of sanctions by the instructor.
 - (a) The instructor has a conference with the student. The instructor should explain the nature and basis of the allegation of academic dishonesty. The student must be provided with the opportunity to respond.
 - (b) The instructor has the option of consulting his or her department chair in order to determine whether an infraction has occurred, if a penalty should be imposed, and, if so, what it should be. The department chair may attend the conference with the student. Deans of the colleges without department chairs may appoint a faculty consultant for the same purpose. The instructor may apply other procedures formally agreed to within his or her college.
 - (c) If the instructor concludes that the alleged infraction did take place, the instructor will report this in writing to the student, generally within seven (7) days after the conference. A copy of the report will be sent to the dean of student services. The report will state the nature of the offense, the penalty imposed, and how the decision can be appealed. The report will also inform the student that the vice president for student affairs may impose an additional penalty (as determined by the procedures stated in V.3).
 - (d) The instructor may impose a penalty ranging from lowering the grade for an assignment or test to failing the assignment, the test, or the course. The Office of Registration and Records should be informed immediately when the penalty is an "F" for the course, so that the student may not withdraw from the course and receive a "W." This grade may be changed subject to the outcome of an appeal.
2. Imposition of sanctions by the dean of the student's college.
 - (a) The instructor may request that the dean of the student's college handle the allegation of academic dishonesty. The instructor may opt for this course of action either before or after a conference with the student accused of academic dishonesty. In either case, if the dean decides to handle the allegation of academic dishonesty, the dean will have a conference with the student, explain the nature and basis of the allegation and provide the student with the opportunity to respond. The dean may invite the instructor to attend the conference.
 - (b) If the dean concludes that the student did commit the alleged infraction, the dean will impose a penalty and follow the procedures described in V.1 (c) and V.1 (d).
3. Actions by the vice president for student affairs.
 - (a) After receiving a report of an act of academic dishonesty, the vice president for student affairs must examine whether the student has a previous record of academic dishonesty in order to determine if additional action should be taken. If further action is taken, the vice president must report his/her decision in writing to the student, generally within 10 days. A

copy of the report will be sent to the dean of the student's college. The report will mention how the action can be appealed.

- (b) If the student has no previous record of academic dishonesty, the dean of student services or the vice president for student affairs may advise the student to have a conference with the dean of his college with the purpose of assisting the student in finding ways of realizing academic success without dishonesty.
- (c) If the student has a record of one prior offense the student is required to have a conference with the dean of his or her college.
- (d) If the student has a record of two prior offenses the student will be immediately suspended for the semester in which the last offense took place. If that semester has already passed, the student will be suspended for the semester following the one during which the last offense occurred.
- (e) If the student has a record of three prior offenses, the student will be immediately dismissed from the University.

4. Appeal

- (a) If the student seeks to appeal the penalty imposed by the instructor the student should initiate the appeal in writing to the dean of her/his college within seven (7) days of the date of the notification letter/e-mail stating the penalty. The dean will have a conference with the student, generally within 10 days after receiving the notice of appeal. The student will be informed in writing of the dean's, action generally within seven (7) days after the conference. The report will mention how the decision can be appealed. A copy of the report will be sent to the instructor and the dean of student services.
- (b) If the student seeks to appeal an action by the dean of his/her college, or by the vice president for student affairs, the student must initiate the appeal in writing to the dean of student services within seven (7) days of the date of the notification letter/e-mail stating the action.
- (c) The appeals board shall conduct a hearing only if two (2) or more members of the board, or its chair, believe that the student may have suffered some injustice due to substantive or procedural error (such as availability of new evidence, demonstrable bias in earlier decision led to a fundamentally unfair decision, etc.). After submitting the appeal, the student will be informed in writing whether a hearing will be held. The student is generally given at least seven (7) days to prepare for the hearing.
- (d) The appeals board will make its own rules for the conduct of hearings, which will be consistent with the provisions contained in the student handbook.
- (e) The appeals board may modify any appealed decision, as it deems appropriate. The decision of the appeals board will be reported in writing to the student generally within seven (7) business days after the hearing. A copy of the report will be sent to the instructor, the dean of the student's college, and the dean of student services.
- (f) The president may hear appeals involving a penalty of either suspension or dismissal. The president may, at his/her discretion, hear any other appeal by the student in regard to actions of the University Appeals or Student Conduct Boards.

(For additional information, see the Student Handbook section XVII, "Appeal Process" found at www.butler.edu/student-handbook)

The Student's Act of Academic Dishonesty is Not Related to a Course in Which the Student is Enrolled

1. The instructor whose course is involved has a conference with the student and the dean of the student's college. If the allegation of academic dishonesty is reported by a person other than the instructor whose course is involved, this person may be invited to attend the conference.
2. If the dean concludes after consultation with the instructor, that the alleged infraction did take place, this will be reported in writing to the student, generally within seven (7) days after the conference with the student. A copy of the report will be sent to the dean of student services. The report will state the nature of the offense and how the decision can be appealed. The report will also inform the student that the vice president for student affairs may impose a penalty if prior offenses have been recorded.
3. The vice president for student affairs will take further action according to the procedures stated in the preceding section, "Appeal" 3(a)-(e).
4. The student may appeal according to the procedures outlined in the preceding section, "Appeal," 4(a)-(f).

The Student's Act of Dishonesty Takes Place in a Computer Facility

System managers or other individuals will report any possible instance of academic dishonesty that takes place in a computer facility to the dean of student services, who will decide which of the procedures for academic dishonesty should be followed.

Professional Conduct

1. Allegations of unethical or unprofessional conduct of a student enrolled in or applying to a professional degree program may be addressed by the dean of the appropriate college according to the policies and procedures of the college. A student found to be in violation of the college's policies may be subject to a grading sanction as well as suspension or termination from their professional degree program.
2. A student may be subject to sanctions under both the University's Rules of Conduct and a college's professional conduct policies.
3. If the dean of the college concludes that the alleged infraction did take place, the instructor will report this in writing to the student generally within seven (7) days after the conference. The report will state the nature of the offense, the penalty imposed, and how the decision can be appealed. A copy of the report will be sent to the dean of student services.
4. The student may appeal according to the procedures outlined above under Appeal 4(a)-(f).

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Faculty Hiring

One of Butler University's greatest strengths is its accomplished and dedicated faculty. To maintain the academic quality of our programs, we invest considerable time, effort, and resources to recruit faculty who are excellent teacher-scholars, and who represent a broad range of disciplinary expertise and experiences. Furthermore, we know that to attract students, to prepare them for a complex, multifaceted, multicultural, global environment, and to educate them for lives of meaning and purpose, our faculty must represent the same. Our entire University is strengthened when the community is revitalized by well-qualified faculty who increase the diversity of recognized academic and artistic accomplishments, provide academic role models for their students and the community, and culturally enrich the life and mission of the University.

Searches are not only critical elements in the renewal of the faculty, but they also reflect upon the quality and reputation of Butler University. We want all candidates, even those whom we don't hire, to have a positive experience with the University. Therefore, we should strive to have all aspects of a search conducted in an informed, professional manner that not only brings us the best possible colleagues, but also that treats all applicants legally, ethically, and courteously.

For further detail and information about conducting a faculty search, please see *Administrative Guidelines for Faculty Hiring, 2010-2011*, available at www.butler.edu/provost.

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Outline

1. Dean selects final candidate.
2. Dean prepares the Faculty Appointment Form (See Appendix B). Presents offer to the candidate, conditioned on Provost approval.
3. *Dean transmits form (with supporting documents)* to the Budget Director. Budget Director distributes to Human Resources Management and Development who distributes to President for approval.*
4. President reviews and approves. Discusses any changes with Dean. Transmits approved (initialed) copy to Dean and Budget Director.
5. Dean confirms offer with candidate. Prepares and sends two signed original Faculty Appointment Forms with a cover letter of offer to candidate.
6. Dean receives signed original form from candidate. Distributes original to *Human Resources Management and Development*.

*Documents supporting prior years of full-time service credit need to be provided and be approved as a part of the offer process.

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CANDIDATE NAME: _____

Terms and Conditions:

1. Position Title and Rank:
2. Salary:
3. Annual Appointment Period:
4. Length of Appointment:
5. Appointment Type:
6. Review Date:
7. Credit for Years of Full-Time Service:
8. Position Reports To:
9. Responsibilities:
 - Teaching:
 - Service:
 - Research:
 - Administrative:
 - Other:
10. Benefits: See Butler's brochure
11. Special Considerations:

I accept the Terms and Conditions as set out above.

Dean of College, Butler University

Date

Provost, Butler University

Date

Candidate

Date

Social Security #

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The *Handbook* states: “The Provost’s Office will maintain a calendar setting the schedule for promotion, tenure, reappointment and review” (20.30.30).

Beginning of each calendar year: Provost will send to each college dean a list of faculty members who are eligible for review during the coming academic year.

January: Dean notifies faculty entering their sixth year in the fall of that calendar year that they may be considered for tenure.

January 15: University Promotion and Tenure Committee reports due to Provost for all tenure and promotion candidates.

First Wednesday of classes of the Spring semester: Faculty Activity Reports for all faculty due (by 5 p.m.).

February 1: Provost’s reports on all tenure and promotion candidates are due to President.

First Friday in February: Dossiers due for faculty undergoing second- and fourth-year reviews.

March 1: Deadline to notify full-time faculty of non-reappointment during the probationary period.

April 1: President provides written notice of the Board’s decision to faculty being considered for tenure and promotion.

September: Dean forwards names of all candidates for tenure and their probationary service reports to the professional standards committee of the college and to the department head, where applicable.

September 20: Tenure application due to faculty member’s immediate supervisor.

October 15: Department report for all tenure and promotion candidates due to dean of the college, who refers it to the college professional standards committee.

November 15: College professional standards committee report due to dean of the college.

December 10: Dean’s review and recommendation due to Provost, who refers it to the University Promotion and Tenure Committee.

December 15: Deadline to notify faculty in their second year of academic service of non-reappointment.

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**SEXUAL HARASSMENT, SEXUALLY INAPPROPRIATE BEHAVIOR, AND
CONSENSUAL RELATIONSHIPS**

Contact: Affirmative Action Officer - ext. 9609

Effective Date: Immediate

I. STATEMENT OF POLICY ON SEXUAL HARASSMENT AND SEXUALLY INAPPROPRIATE BEHAVIOR AND GENERAL GUIDELINES

(a) *Sexual harassment and sexually inappropriate behavior by the faculty, staff, students, or agents of Butler University, or by individuals associated with the University, will not be tolerated.* Such conduct subverts the mission of the University and threatens careers, educational experience and well-being of the faculty, staff and students. Relationships involving sexual harassment or sexually inappropriate behavior have no place within the University. In both obvious and subtle ways, sexual harassment and sexually inappropriate behavior are destructive to individual members of the faculty, staff or student body and to the University community as a whole. When through fear of reprisal, a faculty member, staff member or student submits, or is pressured to submit, to unwanted sexual attention, the University's ability to live up to the appropriate standards of the academy is undermined.

(b) Sexual harassment and sexually inappropriate behavior are especially serious when such conduct threatens relationships between teacher and student or supervisor and subordinate. In such situations, an individual unfairly exploits the power inherent in his or her position. Through grades, wage increases, recommendations for graduate study, promotion and the like, a faculty member or supervisor can have a decisive influence on a student's, staff member's or faculty member's career at the University and beyond. *The University will not tolerate behavior where submission to or rejection of such behavior serves as a basis for employment or academic decisions.*

(c) While sexual harassment most often takes place in situations where there is a difference in power between the persons involved, the University also recognizes that sexually inappropriate behavior may occur between persons of the same or other status. *The University will not tolerate behavior between or among members of the University community that creates an unacceptable working or educational environment.*

(d) A complaint of sexual harassment or sexually inappropriate conduct will not be found to be lacking simply because the complainant participated in the activity alleged to be sexual harassment or sexually inappropriate conduct. The correct inquiry is not whether the individual participated, but whether the activity was *unwelcome*.

(e) A male or a female may be the victim of sexual harassment or sexually inappropriate conduct, and a female as well as a male may be the harasser or wrongdoer.

(f) The complainant does not have to be of the opposite sex of the harasser or wrongdoer.

(g) The complainant does not have to be the person to whom the unwelcome sexual conduct or sexually inappropriate behavior is directed. Sexual harassment or engaging in sexually inappropriate behavior with respect to one employee or student may create an intimidating, hostile, or offensive working or academic environment for another employee or student. Furthermore, a person who is denied a tangible job, employment benefit or academic benefit because of another person's submission to unwelcome sexual advances or requests for sexual favors may also bring a complaint.

II. SEXUAL HARASSMENT

Sexual harassment is the most serious type of sexual misconduct and involves unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct when:

(a) Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or status in a course, program or activity; or

(b) Submission to or rejection of such conduct by an individual is used as the basis for employment or educational decisions affecting such an individual.

In addition, sexual harassment includes, and is not limited to, physical assault of another individual, realized and unwelcome sexual encounters, and indecent exposure. It may include unnecessary and unwelcome touching of another person's body.

This conduct, which may be criminal in nature, is completely unacceptable and will be dealt with severely, as described below.

III. SEXUALLY INAPPROPRIATE BEHAVIOR

Prima facie evidence of sexually inappropriate behavior will be found when conduct has occurred which has had the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive environment for work or learning.

The University will make a determination as to whether sexually inappropriate behavior has occurred after considering all of the relevant evidence and in view of a reasonable interpretation of the conduct in question. Furthermore, such a finding necessarily involves the conclusion that, (1) the alleged conduct was sufficiently pervasive or severe to alter the conditions of an individual's employment or status in a course, program, or activity, and (2) that it created an abusive working or educational environment, and, if continued, would lead to a definition of harassment.

Examples of conduct which may constitute sexually inappropriate behavior include direct and unwelcome propositions of a sexual nature; unwelcome and persistent pressure or suggestions, or unwelcome requests, for social-sexual encounters or sexual favors. Sexually inappropriate behavior may occur on or off the University's property. It may involve a pattern of conduct which is

not legitimately related to the subject matter of a course (if one is involved), and is intended deliberately to discomfort or humiliate another person through comments of a sexual nature or sexually explicit statements, jokes, questions, anecdotes, and similar actions.

The University will deal with sexually inappropriate behavior in a manner that is appropriate to the conduct committed.

IV. CONSENSUAL RELATIONSHIPS

The University's educational mission is promoted by professionalism in faculty-student and staff-student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty members, staff, and students that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission. Trust and respect are diminished when those in positions of authority abuse their power. Faculty and staff members must avoid conflicts of interest which interfere with the fulfillment of their responsibilities. Furthermore, a relationship between a faculty or staff member and a student may affect other students, faculty, or staff because it places the faculty member or staff member in a position to favor, or appear to favor, or advance one student's interest at the expense of others, and implicitly makes obtaining benefits contingent on amorous or sexual favors. The University regards all consensual relationships as personal matters between consenting adults, but prohibits actions or the creation of an atmosphere that undermine the necessary professionalism of working and teaching relationships. This includes faculty dating students in their class or college, or supervisors dating subordinates who report to them, and other relationships as they relate to other necessary University functions of student and personnel evaluation and the allocation of resources.

V. INFORMAL COMPLAINT PROCEDURE

(a) Before considering a formal complaint, a complainant who believes that a member of the faculty, staff or student body of the University has violated provisions of this Policy should initiate the Informal Complaint Procedure. This procedure should also be utilized if the complainant is a student working in an experiential learning or service environment in off-campus sites.

(b) Prompt reporting is strongly encouraged, as it becomes more difficult to compile information relating to a complaint as the time increases between the alleged incident(s) and the report of the incident(s). Consequently, the Informal Complaint Procedure should be initiated as soon as possible and generally not later than 30 days after the alleged incident(s).

(c) The complainant should bring the complaint to the attention of the appropriate mediator. If faculty, staff or others within the Butler community are approached by a complainant, the complainant should be directed to the appropriate mediator. Authorized mediators include the Vice President for Student Affairs, the Dean of the college of the alleged offender, the Cabinet Level Officer of the alleged offender, the University's Director of Human Resources Management and Development, or the Affirmative Action Officer of the University. The Informal Complaint process is a time for the complainant to share concerns in an informal manner and for the mediator to carry out his/her responsibilities, as described below.

(d) The mediator shall:

- (1) Listen to the allegations of the complainant;
- (2) Advise the complainant of his/her options regarding procedures that can be utilized;
- (3) Encourage the complainant to directly confront the alleged offender or write a letter to the alleged offender in which the complainant details the alleged incident(s) of harassment, inappropriate behavior, or consensual relationship, his/her understanding of the conduct underlying the conduct, an explanation of the complainant's understanding of the proper relationship between the complainant and the alleged offender, and a description of how the complainant wishes to proceed;

(Steps 4 and 5 are taken if the complainant is unsuccessful in confronting the alleged offender or feels that the situation was not improved by doing so.)

(4) Discuss, as soon as possible, with the consent of the complainant, the allegations with the alleged offender without revealing the identity of the complainant unless it is unavoidable or the complainant's consent has been given. The substance of that conversation should then be discussed with the complainant. Although the consent of the complainant should be obtained in most cases, the Affirmative Action Officer of the University may later determine that it is necessary to engage in a discussion with the alleged offender in order to properly address the complaint and to fulfill the University's legal responsibilities;

(5) Mediate, with the consent of the complainant, a discussion between the complainant and the alleged offender;

(6) If the alleged offender is not willing to participate in the discussions suggested in (4) and (5) above, advise the alleged offender of the formal procedures that may be instituted against him/her and advise the complainant of the alleged offender's response;

(7) If the complainant or the alleged offender is not satisfied with the results of the mediation process, refer the parties to the appropriate office to consider formal procedures;

(8) At the initiation of an informal complaint, notify the Affirmative Action Officer of the University of the informal complaint in a written report, if someone other than the Affirmative Action Officer has handled the complaint. All such reports shall contain the following information:

- (A) The date of the complaint;
- (B) Identification of the complainant; and
- (C) A statement detailing the complainant's allegations and the name of the alleged offender.

(9) Inform, update and/or consult with the Affirmative Action Officer of the University regarding all developments in the Informal Complaint Procedure as they occur;

(10) Consult with the Affirmative Action Officer of the University before concluding the Informal Complaint Procedure and work with this Officer through the conclusion of the Informal Complaint Procedure. Any remedial measures to be taken shall be approved by the Affirmative Action Officer of the University before such measures are communicated to the complainant and the alleged offender.

(e) In connection with the Informal Complaint Procedure, the Affirmative Action Officer shall:

(1) Advise appropriate University officials of the pendency of an informal complaint and consult appropriate officials before remedial measures are determined.

(2) Maintain and keep confidential all records relating to any informal complaint, and make available only to individuals who are involved in reaching a decision regarding the complaint.

VI. FORMAL COMPLAINT PROCEDURE

(a) A complainant who is not satisfied with the result of the Informal Complaint Procedure may file a formal complaint relating to an incident of alleged sexual harassment or sexually inappropriate behavior, or consensual relationship. This formal complaint must be filed with the Affirmative Action Officer of the University.

(b) The complainant's formal complaint shall be in writing and must contain:

(1) The name, address, telephone number, and position in the University of the complainant.

(2) The name and position in the University of the alleged offender.

(3) A statement of the incident(s) that allegedly constitute(s) the sexual harassment of the complainant, the sexually inappropriate behavior, or the consensual relationship. This statement will typically include:

(A) The date(s) of the incident(s);

(B) Photocopies of any notes, letters, communications, or other written or pictorial matter the complainant has received from the alleged offender that is an element of the complaint;

(C) Names, and if known, addresses and phone numbers of persons who might have pertinent knowledge of the alleged conduct;

(D) Any other relevant information.

(c) Upon the filing of a formal complaint, the alleged offender will be informed as soon as possible of the complaint by the Affirmative Action Officer unless this Officer determines that the complainant may be harmed in some manner by immediate notice. The Affirmative Action Officer

will give the alleged offender notice of the complaint and will describe to him/her the procedure that will be undertaken to investigate the complaint.

(d) If, upon the filing of a formal complaint, immediate measures need to be taken to separate the complainant and the alleged offender, such measures may be taken after consultation between the Affirmative Action Officer and appropriate University officials. Such measures may include, but are not limited to:

(1) Lateral transfers of one or more of the parties in an employment setting and a comparable move if a classroom setting is involved;

(2) Arrangements that academic and/or employment evaluations concerning the complainant or others be made by an appropriate individual other than the alleged offender; or

(e) In extraordinary circumstances, upon the recommendation of the Affirmative Action Officer of the University, and after consultation between this Officer and appropriate University officials, suspension of the alleged offender from teaching or other work responsibilities, at any time during an investigation of a sexual harassment or sexually inappropriate behavior complaint. This suspension may only occur if, after reviewing the allegations and interviewing the alleged offender, the complainant, and any other individuals who have relevant information, it is

determined that it is reasonably certain that (i) the alleged sexual harassment or sexually inappropriate behavior has occurred and (ii) serious and immediate harm may occur if the alleged offender continues to teach or work.

VII. INVESTIGATION AND RESOLUTION OF A FORMAL COMPLAINT

(a) After the filing of a formal complaint, and after fulfilling his/her other responsibilities as described above (i.e., moving employee, if necessary, notifications, attempts at mediation), the Affirmative Action Officer of the University shall initiate an investigation to determine whether sexual harassment or sexually inappropriate behavior has occurred.

(b) During the investigation, the Affirmative Action Officer will conduct interviews with the complainant, the alleged offender, and any other person who may have relevant information.

(c) Interviews and other fact-finding activities conducted by the Affirmative Action Officer shall be conducted in private and investigative records shall be kept confidential and made available only to individuals who are involved in reaching a decision regarding the complaint.

(d) At the conclusion of the investigation, the Affirmative Action Officer shall discuss his/her findings with appropriate University officials as listed in V(c) as appropriate to the position of the complainant. This consultation shall result in a decision regarding the resolution of the complaint and any remedial and/or disciplinary action(s) up to and including expulsion or termination.

(1) Factors which may be taken into consideration in determining the appropriate remedial and/or disciplinary action will include, but are not limited to:

- (A) The severity of the conduct;
 - (B) The pervasiveness of the conduct;
 - (C) The overall record of the offender's employment or other relationship with the University;
 - (D) The notice the offender had of the University's policy against sexual harassment, sexually inappropriate conduct, and consensual relationships; and
 - (E) The discipline imposed for previous cases of sexual harassment, sexually inappropriate behavior, or consensual relationships.
- (2) Disciplinary and/or remedial action will typically include one or more of the following:
- (A) Counseling;
 - (B) Oral reprimand;
 - (C) Written reprimand;
 - (D) Documentation in the University's permanent record;
 - (E) Observation of classroom or work decorum; or
 - (F) Other appropriate action upon consultation with officials outlined in VII(d).
- (3) In cases of sexual harassment or extreme or severe sexually inappropriate behavior, that has progressed or is so pervasive that it reaches sexual harassment definitions, disciplinary and/or remedial action, in addition to the above, may be required and may include one or more of the following:
- (A) Reassignment of the offender;
 - (B) Suspension;
 - (C) Denial of promotion or pay increases;
 - (D) Termination or Expulsion; or
 - (E) Other appropriate action upon consultation with officials outlined in VII(d).

VIII. PROTECTION OF THE PARTIES

(a) All individuals involved in any investigation shall make every reasonable effort to maintain the confidentiality of the identities of the complainant and the alleged offender, and the circumstances involved in the complaint.

(b) The Affirmative Action Officer shall provide appropriate notice to both the complainant and the alleged offender regarding the status of the investigation during the pendency of the investigation.

(c) A complainant who makes a complaint that is found to be maliciously filed or dishonest in its allegations will be subject to severe disciplinary action, up to and including expulsion or termination.

(d) Retaliatory action against anyone filing a complaint under this policy is expressly prohibited and may result in severe disciplinary action, up to and including expulsion or termination.

(e) Except as provided in paragraph (c) above, the initiation of a complaint under this policy shall not affect the complainant's position, his/her employment, compensation, or, in the case of a student, grades, class selection, or other matters pertaining to his/her status as a student of the University.

(f) An alleged offender who disagrees with the University's resolution of the complaint may seek redress by invoking the appropriate grievance procedures of the University.

IX. EDUCATION

It is necessary for men and women to learn more about these issues and the means for addressing problems as they arise. The University encourages education on the subject of sexual harassment and sexually inappropriate behavior and consensual relationships.

To assure that all employees and students of the University are aware of this policy and the University's commitment to the establishment and maintenance of a working and academic environment free from sexual harassment and sexually inappropriate conduct, and inappropriate consensual relationships, copies of this policy will be included in employee and student handbooks, and education will be ongoing.

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The purpose of this policy is to establish general guidelines for the determination of ownership of patent, trademark, and copyright rights created or developed by employees (both faculty and staff) of Butler University (the "University") within the scope of their employment and created or developed by students of the University while engaged in certain activities with the University.

The complete document can be found at the following link:

<http://www.butler.edu/birs/websnap/documents/IPPolicies.pdf>