

IUPUI Faculty Council
Faculty Affairs Committee
February 2003

IUPUI Policy on School or Program Restructuring

This policy is intended to cover transfer, merger, reorganization, reduction, and elimination of academic programs. Because IUPUI is a dynamic institution that faces the challenge of preserving the important traditions of teaching, scholarship, and service while positioning itself to meet new demands in higher education, it may be necessary to make changes to the organizational structure of the campus, including the transfer and merger of programs between schools and departments, the reorganization of programs, including the division of schools and departments into smaller units, and at times even the reduction or elimination of a program. Although financial considerations may be a factor in the decision to transfer, merge, or reorganize an academic program, clearly the primary determinant must be that such a structural change offers significant enhancement to the educational process. Similarly, decisions to reduce or eliminate programs must be based on strong evidence that such steps are necessary to ensure the long-term viability of the educational mission as a whole, rather than as an adjustment for temporary budget or enrollment variations.

Consultation among all the relevant parties in matters of transfer, merger, reorganization, reduction, or elimination of programs is in the best interest of the administration, the faculty, the staff, and the students. Although the appropriate locus of decisions regarding school-level units is the school, the complexity of IUPUI requires faculty consultation at the campus level as well. When such structural changes as transfer, merger, reorganization, reduction, or elimination of programs are contemplated, the process must include faculty involvement and input at all stages and must also have a goal of providing affected faculty with the opportunity to be part of the new organizational structure through reassignment and retraining. The dismissal of faculty and librarians with tenure or the termination of faculty or librarians before the expiration of a term of appointment is allowed only when the Chancellor declares the campus in a state of financial exigency. (See Policy on Dealing with the Effects of Financial Difficulties Upon Faculty at IUPUI.)

I. Guiding Principles

- A. The decision to transfer, merge, reorganize, reduce, or eliminate an academic program shall be based upon educational considerations, as determined primarily by the faculty as a whole and by the particular schools involved. "Educational considerations" do not include temporary or cyclical variations in enrollment. The decision on whether to transfer, merge, reorganize, reduce, or eliminate a program must be based on evidence that the educational mission of the institution as a whole will be enhanced by the proposed changes. In addition, the benefits of adding new programs must be studied carefully when these programs impinge on or threaten the resources necessary for existing programs.
- B. It is expected that financial considerations will be a factor in decisions on the transfer, merger, reorganization, reduction, or elimination of programs when the range of programs offered must be limited in order to have sufficient resources available to ensure acceptable educational quality. However, such changes should not be undertaken if the savings to be realized are inconsequential, and both the tangible and intangible costs of program changes must be addressed.
- C. When an academic program is to be transferred, merged, reorganized, reduced, or eliminated, every effort should be made to phase the changes in over an adequate period of time with due notice given to staff and students, and with consideration of the contractual rights of faculty whose appointments will be affected. In cases of program elimination, the phase-in period should not be less than two years. In any such changes, the impact on students, particularly those already enrolled in the affected program(s), must be considered.

- D. Proposals to transfer, merge, reorganize, reduce, or eliminate academic programs must include provision for reassigning and retraining faculty members affected by the change including reassignment of faculty members to other campus schools and units in order to preserve their tenure status.
- E. No affected faculty member shall be left out of the process or be disenfranchised as a result of the process outlined in this policy.

II. Faculty Authority

Article II of the Constitution of the IUPUI Faculty provides the faculty with legislative authority in the determination of faculty status and the standards and procedures of faculty appointments and faculty promotion and tenure. With this in mind, the following points must be observed:

- A. Decisions concerning transfer, merger, reorganization, reduction, or elimination of programs shall occur as a result of a review process in which the faculty has assumed a prominent consultative role and has had an opportunity to vote on the proposed plan by secret ballot.
- B. Transfer, merger, reorganization, reduction, or elimination of a program shall proceed according to procedures outlined in Section IV and by the elected policy committee of each school directly affected.
- C. When the implementation of a transfer, merger, reorganization, reduction, or elimination of a program results in a change in faculty appointments, changes will proceed according to procedures outlined in V below.
- D. Proposals to transfer programs from one campus to another, to merge programs on more than one campus, or to reorganize, reduce, or eliminate programs existing on more than one campus shall be governed by policies that may be developed by the University Faculty Council.

III. Affirmative Action

All procedures shall be applied in a manner that is consistent with Indiana University's commitment to affirmative action, as outlined in the Academic Handbook.

IV. Procedures for Program Transfer, Merger, Reorganization, Reduction, or Elimination of Academic Programs

The review of an academic program for transfer, merger, reorganization, reduction, or elimination shall be in accordance with the following procedures. It is expected that, before the following procedures are undertaken, there has been **considerable** discussion between the Dean(s) of the affected program(s) and **the faculty, staff, and students within the program(s), as well as consultation with alumni and leaders in the particular professional organizations who represent practitioners from the program(s)**. The degree of concern or opposition will determine whether the procedure to be followed will be Model A, B or C.

Model A

(Model A will be followed when there is strong opposition. In this case, a more comprehensive review process will be required.)

1. The Dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**. This should be done as a formal meeting between the Dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its

affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.

2. The school's or unit's faculty governance body may proceed like the Dean as in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations, the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
3. The program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
4. The Dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff and students of the affected program(s) prior to any formal action.
5. The faculty of the school(s) with affected programs shall forward its response to and the results of their voting on the proposed changes to the Dean with a copy to the Chancellor. In preparing the response, the faculty shall address the factors under IV. 6. a-j.
6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
 - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
 - b. The academic strength and quality of the program and its faculty
 - c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
 - d. The duplication of work done in the program and the work done in other programs, departments, or schools
 - e. The current and projected demand for the subject matter taught in the program(s)
 - f. The current and predicted comparative cost and efficiency analysis of the program(s)
 - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
 - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
 - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
 - j. Other factors as appropriate, such as facilities.
7. Having considered the input from faculty, staff, and students, the Dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the Chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the Dean(s) shall address the factors under IV.6.a-j and include an

environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.

8. If the Dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting program, the Chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the Committee believes that further review is required, a majority vote may result in a request that the Committee review the proposal and its effects on faculty, staff and students. The Committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.
9. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
10. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
11. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the Chancellor and to the Dean(s) of the affected program(s).
12. The Dean(s) shall provide a response to the Executive Committee which will submit the proposal, the recommendations of the Committee or its designee, and the response(s) from the Dean(s) to the IUPUI Faculty Council.
13. When the Chancellor of IUPUI declares that there may be a need to transfer, merge, reorganize, reduce, or eliminate a program on campus and that these structural changes may have an impact beyond the affected program(s) and result in the reassignment of faculty or the elimination of degree-granting programs, or when there is disagreement between the Dean(s) of the affected programs and the faculty, the proposal will be submitted to the IUPUI Faculty Council Executive Committee for further review.
14. The Executive Committee review process must include at least one open, campus-wide meeting at which anyone with concerns about the proposed changes may be heard.
15. The IUPUI Faculty Council shall be given a reasonable time to deliberate and make its own recommendations to the Chancellor concerning the proposal.
16. The Chancellor shall make final recommendations on the proposal and forward it to the Dean(s) of the affected program(s) for implementation.

Model B

(Model B will be followed when there is uncertainty regarding the change and further investigation is needed.)

1. The Dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**. This should be done as a formal meeting between the Dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.

2. The school's or unit's faculty governance body may proceed like the Dean in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations, the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
3. The program and/or program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
4. The Dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
5. The faculty of the school(s) with affected programs shall forward its response to and the results of its vote on the proposed changes to the Dean with a copy to the Chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
 - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
 - b. The academic strength and quality of the program and its faculty
 - c. The complementarity of the program and the work done therein to other programs or to essential functions performed at the institution
 - d. The duplication of work done in the program and the work done in other programs, departments, or schools
 - e. The current and projected demand for the subject matter taught in the Program(s).
 - f. The current and predicted comparative cost and efficiency analysis of the program(s)
 - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
 - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
 - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
 - j. Other factors as appropriate, such as facilities.
7. Having considered the input from faculty, staff, and students, the Dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the Chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the Dean(s) shall address the factors under IV.6.a-j and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
8. If the Dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting

program, the Chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the Committee believes that further review is required, a majority vote may result in a request that the Committee review the proposal and its effects on faculty, staff, and students. The Committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.

9. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
10. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
11. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the Chancellor and to the Dean(s) of the affected program(s).
12. The Chancellor shall make final recommendations on the proposal and forward it to the Dean(s) of the affected program(s) involved for implementation.

Model C

(Model C will be followed when there is little to no opposition to the program transfer, merger, reorganization, or elimination of academic programs.)

1. The Dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**. This should be done as a formal meeting between the Dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.
2. The school's or unit's faculty governance body may proceed like the dean in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
3. The program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
4. The Dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
5. The faculty of the school(s) with affected programs shall forward its response to and the results of its vote on the proposed changes to the Dean with a copy to the Chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
 - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
 - b. The academic strength and quality of the program and its faculty

- c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
 - d. The duplication of work done in the program and the work done in other programs, departments, or schools
 - e. The current and projected demand for the subject matter taught in the program(s)
 - f. The current and predicted comparative cost and efficiency analysis of the program(s)
 - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
 - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
 - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
 - j. Other factors as appropriate, such as facilities.
7. Having considered the input from faculty, staff, and students, the Dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the Chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the Dean(s) shall address the factors under IV.6.a-j. and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
 8. The Chancellor shall make final recommendations on the proposal and forward it to the Dean(s) of the affected program(s) for implementation.

V. Procedures Relating to Faculty Appointments as a Result of Transfer, Merger, Reorganization, Reduction, or Elimination of Academic Programs

A. Transfer, Reorganization, or Merger of Programs

1. Faculty members with tenure or those with an unexpired appointment shall not be involuntarily terminated as a result of transfer, merger, or reorganization of programs, which includes the division of a school or department into smaller units.
2. Faculty of a transferred, merged, or reorganized program shall be reassigned to another appropriate program at IUPUI.
 - a. Tenured faculty shall be reassigned with tenure.
 - b. Faculty members with an unexpired appointment shall have the right, when reassigned, to serve no less than the remainder of their current term of appointment in the new program.
 - c. A faculty member's reassignment shall not result in a reduced rate of compensation.

d. Other benefits earned before reassignment, such as credit toward a sabbatical leave, shall not be lost as a result of reassignment.

3. If the administrator of a program that is to receive a reassigned faculty member determines that such reassignment should be contingent upon retraining, affected faculty members shall be:

a. automatically eligible for training leave and

b. informed in writing by the administrator of the program to which they are scheduled to be reassigned what specific training must be completed successfully in order to maximize productivity following reassignment.

4. The University shall facilitate retraining for reassignment by approving release time or leaves with pay and fringe benefits for affected faculty members, in addition to requesting tuition-free admission from the Board of Trustees to appropriate courses at Indiana University. If the requisite training is not available at Indiana University, training undertaken elsewhere shall be at Indiana University's expense.

5. Reassigned faculty shall not displace an incumbent in an existing position.

6. If the affected program(s) is part of a school with system-wide responsibilities, faculty may be reassigned to a similar program at another campus, provided that such an assignment is voluntary on the part of the faculty member and shall encompass all of the protections identified in V.A.1-5 above. Faculty member choosing not to accept reassignment to another campus shall not be penalized.

B. Reduction of Programs

1. Reduction of programs shall not result in the involuntary termination of tenured faculty or those with unexpired terms of appointment.

2. Reduction of programs ordinarily shall be accomplished through attrition of faculty by retirement, voluntary resignation, or expiration of terms of appointment.

3. Reduction of programs also may be accomplished by means of negotiated termination of faculty with compensation or by voluntary reassignment in accordance with the applicable provisions identified in V.A.2 - V.A.6 above.

C. Elimination of Programs

1. Except under conditions of financial exigency, as defined by the Policy on Dealing with the Effect of Financial Difficulties Upon Faculty at IUPUI, elimination of a program shall not result in the termination of either tenured faculty or those serving with unexpired terms of appointment.

2. In the event of program elimination under conditions other than those of financial exigency, the University shall reassign affected faculty in accordance with the provisions identified in V.A.2-V.A.6 above. Such reassignment may include employment of faculty members in comparable non-faculty positions, provided that faculty members retain their faculty status, salary, and benefits. However, a reassigned faculty member shall not displace an incumbent employee in that position.

D. Prior Notice

After a decision has been made to reassign a faculty member or not to renew an existing faculty appointment under the provisions of V.A-C, the Chancellor of IUPUI shall – pursuant to the “Responsibilities and Privileges of Academic Appointment” in the Indiana University Academic Handbook – provide the affected faculty member with a written notice of such action at least one year prior to initiation of the change.

E. Appeal

1. Faculty members who are affected by the provisions of these procedures shall have the right of appeal to the Faculty Board of Review.
2. An appeal shall be made on the basis of a complaint about the interpretation or implementation of procedures regarding transfer, merger, reorganization, reduction, or elimination of programs as established by the IUPUI Faculty Council and elected policy committees of the Schools located at IUPUI.
3. Review of such appeals shall be in accordance with the existing procedures of the Faculty Board of Review.

Appendix A

Procedural steps of resolution

1. The Dean(s) of the affected program(s) shall provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**.
2. The Dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
3. The faculty of the school(s) of the affected programs shall forward its response to the proposed changes to the Dean with a copy to the Chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
4. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
 - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
 - b. The academic strength and quality of the program and its faculty
 - c. The complementarity of the program and the work done therein to other programs or to essential functions performed at the institution
 - d. The duplication of work done in the program and the work done in other programs, departments, or schools
 - e. The current and projected demand for the subject matter taught in the program(s)

- f. The current and predicted comparative cost and efficiency analysis of the program(s)
 - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
 - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
 - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
 - j. Other factors as appropriate, such as facilities
5. After considering the input from faculty, staff, and students, the Dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the Chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the Dean(s) shall address the factors under IV.6.a-j. and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
 6. If the Dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting program, the Chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the Committee believes that further review is required, a majority vote may result in a request that the Committee review the proposal and its effects on faculty, staff, and students. The Committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.
 7. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
 8. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
 9. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the Chancellor and to the Dean(s) of the affected program(s).
 10. The Dean(s) shall provide a response to the Executive Committee and the Committee will submit the proposal, the recommendations of the Committee or its designee, and the response(s) from the Dean(s) to the IUPUI Faculty Council.
 11. When the Chancellor of IUPUI declares that there may be a need to transfer, merge, reorganize, reduce, or eliminate a program on campus and that these structural changes may have an impact beyond the affected program(s) and result in the reassignment of faculty, or the elimination of degree-granting programs, or when there is disagreement between the Dean(s) of the affected programs and the faculty, the proposal will be submitted to the IUPUI Faculty Council Executive Committee for further review.
 12. The Executive Committee review process must include at least one open, campus-wide meeting at which anyone with concerns about the proposed changes may be heard.

13. The IUPUI Faculty Council shall be given a reasonable time to deliberate and make its own recommendations to the Chancellor concerning the proposal.
14. The Chancellor shall make final recommendations on the proposal and forward it to the Dean(s) of the affected program(s) for implementation.