

IUPUI Policy on Transfer, Merger, Reorganization, Reduction, and Elimination of Academic Programs 3/26/99: Approved at FC990401

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. In order to meet this challenge, 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 of 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 of the process 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 only allowed 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*).

The **purpose** of this document is to:

- a. honor the right of a school to determine its own internal structure,
- b. provide opportunity for faculty to be an integral part of the decision-making process,
- c. ensure fairness in the process. This will include a "fair hearing" of student and faculty concerns, all points of view will be considered, and the criteria for decision-making will be uniformly applied.

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.

E. Proposals to transfer, merge, reorganize, reduce or eliminate academic programs must include a plan for assessment/evaluation three (3) years after implementation. The report will be submitted to the Executive Committee of the IUPUI Faculty Council and the Dean of the Faculties.

II. Faculty Authority

Article II of the Constitution of the IUPUI Faculty provides the faculty with legislative authority in the determination of faculty status, the standards and procedures of faculty appointments, and the standards and procedures concerning 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.

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 proceedings 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 the policies which 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* and the *IUPUI Academic Handbook Supplement*.

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 that 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 organization which represent practitioners from the program(s). The degree of concern or opposition will determine whether the procedure to be followed will be Model A, Model B, or Model C.

Model A

Model A will be followed when there is strong opposition (the majority of program faculty are in opposition). In this case, a more comprehensive review process will be required.

1. The Dean(s) of the affected program(s) shall provide notice to the faculty, staff, and students of the 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 program(s) prior to any formal action.
3. The faculty of the school(s) with 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.4.a-k.
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 the program 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. The plan for assessment/evaluation of the proposed decision three (3) years after implementation. The report will be submitted to the Executive Committee of the IUPUI Faculty Council and the Dean of Faculties,
 - k. Other factors as appropriate, i.e. 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.4.a-k. 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 Executive Committee. If the IUPUI Faculty Council Executive Committee believes that further review is required, a majority vote may result in a request that the Executive Committee review the proposal and its effects on faculty, staff

and students. The Executive 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 Executive Committee will submit the proposal, the recommendations of the Executive 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), result in the reassignment of faculty, result in 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 determinations on the proposal and forward it to the Dean(s) of the program(s) involved 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) shall provide notice to the faculty, staff, and students of the 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 program(s) prior to any formal action.

3. The faculty of the school(s) with 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.4.a-k.

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 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 the program 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. The plan for assessment/evaluation of the proposed decision three (3) years after implementation. The report will be submitted to the Executive Committee of the IUPUI Faculty Council and the Dean of Faculties,
- k. Other factors as appropriate, e.g., 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.4.a-k. 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 Executive Committee. If the IUPUI Faculty Council Executive Committee believes that further review is required, a majority vote may result in a request that the Executive Committee review the proposal and its effects on faculty, staff and students. The Executive 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 Chancellor shall make final determinations on the proposal and forward it to the Dean(s) of the program(s) involved for implementation.

Model C

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

1. The Dean(s) of the affected program(s) shall provide notice to the faculty, staff, and students of the 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 program(s) prior to any formal action.
3. The faculty of the school(s) with 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.4.a-k.
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 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 the program 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. The plan for assessment/evaluation of the proposed decision three (3) years after implementation. The report will be submitted to the Executive Committee of the IUPUI Faculty Council and the Dean of Faculties,
 - k. Other factors as appropriate, e.g., 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.4.a-k. and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
6. The Chancellor shall make final determinations on the proposal and forward it to the Dean(s) of the program(s) involved 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 serving under a term of an unexpired appointment shall not be involuntarily terminated as a result of transfer, merger or reorganization, 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. A faculty member serving under a term of an unexpired appointment shall have the right, when reassigned, to serve no less than the remainder of his or her current term of appointment in the new program.
 - c. A reduced rate of compensation shall not result because of reassignment of a faculty member.
 - 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, the affected faculty member shall be:
 - a. Automatically eligible for training leave and
 - b. Informed in writing by the administrator of the program to which he or she is 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. There shall be no penalty if the faculty member chooses not to accept reassignment to another campus.

B. Reduction of Programs

1. Reduction of programs shall not result in the involuntary termination of tenured faculty or those serving under unexpired terms of appointment.
2. Reduction of programs ordinarily shall occur 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 of Sections V.A.2 - V.A.6 of these procedures.

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 under 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 of Sections V.A.2-V.A.6 of these procedures. Such reassignment may include the possibility of employment of a faculty member in a comparable non-faculty position, provided that the faculty member retains his or her faculty status, salary and benefits. However, a reassigned faculty member may not displace an incumbent employee in that position.

D. Prior Notice

Pursuant to the Indiana University Academic Handbook statement of "Responsibilities and Privileges of Academic Appointment," 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, V.B, and V.C of these procedures, the Vice President, IUPUI shall 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 fall under the provisions of these procedures shall have the right of appeal to the Faculty Board of Review.

2. An appeal may 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 on the IUPUI campus.

3. Review of such appeals shall be in accordance with the existing procedures of the Faculty Board of Review.

3/26/99 Approved by IUPUI Faculty Affairs Committee

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 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 program(s) prior to any formal action.

3. The faculty of the school(s) with 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.4.a-k.

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 the program 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. The plan for assessment/evaluation of the proposed decision three (3) years after implementation. The report will be submitted to the Executive Committee of the IUPUI Faculty Council and the Dean of Faculties,
- k. Other factors as appropriate, i.e. 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.4.a-k. 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 Executive Committee. If the IUPUI Faculty Council Executive Committee believes that further review is required, a majority vote may result in a request that the Executive Committee review the proposal and its effects on faculty, staff and students. The Executive 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 Executive Committee will submit the proposal, the recommendations of the Executive 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), result in the reassignment of faculty, result in 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 determinations on the proposal and forward it to the Dean(s) of the program(s) involved for implementation.

[Appendix B (a flow chart), is not included with this web version; instead, there follows a summary.]

Appendix B: Transfer, Merger, Reduction and Elimination of Academic Programs

Dean's Notice

Faculty/Staff/Student Input

Faculty Response to Dean to include IV 4 a-k

Dean's Proposal to Chancellor to include IV 4 a-k

Chancellor forward to IUPUI Faculty Council Executive Committee

If agreement, Chancellor makes final determinations on proposal and forwards to Dean(s) for implementation

If uncertainty or disagreement, IUPUI Faculty Council Executive Committee Decision, re: Review

Executive Committee Review Process

Written comments by persons affected

Executive Committee report and recommendations to Chancellor and Deans

If agreement, Chancellor makes final determinations on proposal and forwards to Dean(s) for implementation

If disagreement, Dean(s) response to Executive Committee; Executive Committee proposal and recommendations to IUPUI Faculty Council

Chancellor declares need and submits proposal to Faculty Council Executive Committee

IUPUI Faculty council deliberations and recommendations

Chancellor makes final recommendations on proposal and forwards to Dean(s) for implementation