

V566 Executive Leadership Syllabus

6-9:15 pm, BS3014, Second Summer Session 2006

Contact Information

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V566 Executive Leadership Course Description

*Never doubt that a small group of thoughtful people
could change the world.*

Indeed, it's the only thing that ever has.

--Margaret Mead, Anthropologist

The course offers an in-depth examination of factors that contribute to successful executive leadership practice in a wide variety of organizational settings. Topics include what leadership is, the challenges leaders face, the impact leadership has and how leaders build organizations and key relationships. Emphasis is placed on leadership knowledge, approach and application.

Course Objectives & Format

This course is about leadership. It is intended to provide a foundation of motivation and understanding for leadership development by offering theoretical background, practical information and an opportunity for self-assessment that will permit students to begin or continue the career-long development of their leadership talent.

This course is not intended to “teach” leadership. Only the student can teach him/herself leadership by:

- Developing an understanding of personal strengths and weaknesses for leadership
- Assuring that s/he possesses the personal traits and qualities required by a leader
- Developing the capacity to be any type of leader and use any style of leadership required
- Seeking training in a number of valuable leadership skills
- Acquiring a mentor
- Constant practice and leadership experience.

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Objectives

V566 is grounded in real world practice and is designed to fulfill two important objectives:

1. To **examine** factors contributing to successful executive leadership practice.
2. To **develop and apply** leadership skills to achieve organizational results.

Results to Achieve

At the end of this course, you will have the tools to:

- Describe and analyze **what leadership is** and the unique **role** of executives
- Identify and anticipate **leadership challenges**
- Appreciate the **complexity of leadership skills**
- Realize how leaders **build successful organizations** by focusing on organizational clarity and creating a cohesive leadership team
- Know and apply **five leadership practices**
- Demonstrate how to strengthen key relationships: **staff, board** and **community**
- Integrate information and application for leadership **self-improvement**

Format

- **Assigned readings:** Readings are assigned and will be discussed and applied in class.
- **Discussion:** An executive leader must be able to articulate his/her ideas and convince others of recommendations based on logical analysis. You will enhance your ability to express yourself concisely and accurately through active participation. Your comments also add to the total learning experience of all participants.
- **Discussion teams:** Typically, class will begin with a reflection on the previous class and a review of key learnings. During the course you will be assigned to different teams to discuss assignments and review cases.
- **Lecture/presentation:** After the class introduction, we will have a lecture/presentation designed to provide structure to the material and to clarify important leadership learnings.
- **Leaders in Action:** You will have frequent opportunities to listen to and interact with some of the best leaders in our community. Following this interaction, you will be asked to “journal” your reaction and thoughts from the leaders who present and from the nine true stories in ***The Leadership Moment***.
- **Case study:** Case studies challenge you to apply what you know. What you learn from a case depends on how carefully you read it and how well you analyze it.
- **Experiential learning:** Adults learn best by doing. The experiential exercises used in class are designed to help you develop greater self and other awareness, to provide you with an opportunity to “try on” new behaviors and, ultimately, to enhance your leadership skills.

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Preparation

Please be prepared for class. You will need to read the assigned material, relate what you have read to your past and current work experience and look for examples of how organizations are currently addressing these executive leadership issues.

Responsibilities

It is **your responsibility** to do the following:

- Come to class prepared
- Complete assignments on time
- Participate in class discussion
- Inform me if you are unable to attend class
- Inform me of any problem or situation that may be interfering with your learning, attendance or performance in this course.
- Provide feedback on the strengths and weakness of the course in a professional manner

It is **my responsibility** to do the following:

- Provide activities designed to accomplish course objectives
- Assist in providing an atmosphere conducive to learning
- Provide feedback in a timely fashion and appraise you of your progress on a regular basis
- Provide time outside of class to address your concerns
- Respond to your concerns

Assignments

Those competencies appropriate to graduate level students are expected. These include the ability to write in a grammatically correct and organized manner, to proof all work so that no "typos" exist; to conduct research, to work effectively in groups and to make an articulate oral presentation.

Directions for written assignments will be given in class and posted on Oncourse (under Schedule). Prepare all assignments in a professional manner. What you do is an indication of who you are. All written assignments should be clearly written and well organized. The expectation is that you write at the graduate level. Assignments must be typed and proofread and are to be handed in on the date due.

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Briefing Papers

- #1 What Leadership Is and Who I Am as a Leader
 - #2 1st Leader Interview
 - #3 2nd Leader Interview
- Your Leadership Journal
Your Personal Best Leadership Project (4 parts)

<h2>Grading</h2>

Your **final course grade** will be composed of the following:

- 3 Briefing Papers (Approximately 1-2 pages each; 10 points each) 30 points
 - What Leadership Is and Who I Am as a Leader
 - 1st Leader Interview
 - 2nd Leader Interview
- Your Leadership Journal 15 points
- Your Personal Best Leadership Project 40 points
 - Part 1: Leaving a Legacy (10 points)
 - Part 2: Self Assessment including 360 Feedback (10 points)
 - Part 3: Reflection on Strengths & Areas to Develop (5 points)
 - Part 4: Action Plan & Mentors—including barriers to overcome & enablers to maximize (15 points)
- Class Preparation & Participation (i.e., class discussions, your group feedback) 15 points

Grading of Briefing Papers and Project

Generally acceptable graduate work will be assigned a grade in the “**B**” range.

To receive this grade your paper/project:

- Is easy to follow
- Has correct spelling and grammar
- Demonstrates effective writing style
- Has an analysis that reflects a good understanding of the material
- Presents solutions that follow logically from your analysis and evaluation

To receive in the “**A**” range, your paper/project:

- Goes well beyond the criteria of “acceptable” graduate work
- Is easy to follow
- Has correct spelling, grammar and is proofed well
- Demonstrates effective writing style
- Has an outstanding analysis that is of such quality that I am impressed with your comprehension of the material and the solutions you recommend. All the important factors are recognized, and you go beyond the class material in writing your briefing.

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To receive a grade that falls in the “**C**” range, your paper/project:

- Falls below graduate quality
- Is not well written
- Doesn't address the issues/questions
- Has an analysis that is sketchy or superficial

Grading of Class Preparation & Participation:

Your participation grade depends on the quality of your in-class and group discussions. Grades for class participation will be assigned at the end of each group experience and at the end of the summer session. Criteria for a favorable grade include both the quality and quantity of class contribution—dominating class discussion without regard to your classmates' viewpoints, as well as not talking at all in class will secure an unfavorable grade.

Grading Scale

The following **grading scale** will be used for final grades:

97-100 points = A+	77-79 points = C+
93-96 points = A	73-76 points = C
90-92 points = A-	70-72 points = C-
87-89 points = B+	67-69 points = D+
83-86 points = B	63-66 points = D
80-82 points = B-	60-62 points = D-

Additional Information

Writing Assistance

Writing assistance is available from the IUPUI University Writing Center (<http://www.iupui.edu/~writectr/home.htm>). You can have drafts of your papers reviewed at the University Writing Center. This will give you an opportunity to get feedback about your writing strengths and areas for development.

Copies of Assignments

It is your responsibility to retain a copy of any materials that you mail or hand in to your instructor. This includes, but is not limited to assignments, cases, reports, etc.

Attendance

Direct experience with the activities that occur during class is essential for learning. I expect that each of you will attend class regularly. Please arrive on time so that you can participate fully and we keep interruptions to a minimum.

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Late assignments & Make-up Work

Late assignments and make-up work will be accepted **only in cases where prior approval is granted or when an emergency or illness prevents you from submitting an assignment.** If you will not be in class the day the assignment is due, it is your responsibility **before class** to either e-mail your paper or turn it in earlier.

Campus Policies

The course will be conducted in accordance with SPEA and campus policies. Please review the appropriate handbooks, in particular those pages concerning cheating and plagiarism. See attachment.

- IUPUI Code of Student Rights, Responsibilities, and Conduct
- University Guidelines

Key Dates

Consult the Summer Schedule for key dates.

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Readings

*Leadership is the cosmic glue
of the twenty-first-century organization.
Without it, things fall apart and the center will not hold.
With it, we can transform agencies, constituencies, whole communities.*
--Jack Shakely, President, California Community Foundation

Required

Bad Leadership, What It Is, How It Happens, Why It Matters

Barbara Kellerman, Harvard Business School Press 2004
ISBN: 1-59139-166-0

First Break All the Rules: What the World's Greatest Managers Do Differently

Marcus Buckingham & Curt Coffman, Simon and Schuster 1999
ISBN: 0-684-85286-1

Leader's Digest, Timeless Principles for Team and Organization Success

Jim Clemmer, TCG Press 2003
ISBN: 0-9684675-1-2

Leadership on the Line: Staying Alive Through the Dangers of Leading

Ronald A. Heifetz & Marty Linsky, Harvard Business School Press 2002
ISBN: 1-57851-437-1

Leadership Theory and Practice, Third Edition

Peter G. Northouse, Sage Publications 2004
ISBN: 0-7619-2566-X

The Leadership Moment: Nine True Stories of Triumph and Disaster and Their Lessons for Us All

Michael Useem, Three Rivers Press 1998
ISBN: 0-8129-3230-7

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Recommended

Death by Meeting: A Leadership Fable About Solving the Most Painful Problem in Business

Patrick Lencionni,

Dynamics of Leadership in Public Service: Theory & Practice

Montgomery Van Wart, M.E. Sharpe, Inc. 2005

ISBN: 0-7656-0901-0

Good to Great

Jim Collins, Harper Business 2001

Her Place at the Table, A Woman's Guide to Negotiating Five Key Challenges to Leadership Success

Deborah M. Kolb, Judith Williams, Carol Frohlinger, Jossey-Bass 2004

The Four Obsessions of an Extraordinary Executive

Patrick Lencioni, Jossey-Bass 2000

The Leadership Challenge

James M. Kouzes and Barry Z. Posner, Jossey-Bass 2002

The One Thing You Need to Know. . .About Great Managing, Great Leading and Sustained Individual Success

Marcus Buckingham, Free Press 2005

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Proposed Course Outline

This is a general course outline that may be modified to suit the needs of the class as we proceed. The objective of the class is to maximize learning and the schedule will be adjusted as needed to serve that purpose. Check Oncourse.

# Class Date	Focus	Readings & Deliverables for That Class
Intro	Setting the Stage	
#1 June 26	Focus <ul style="list-style-type: none"> • Introductions • Start-up Activities • Course Overview & Expectations • Leadership Introduction Experiential Learning	Readings <ul style="list-style-type: none"> • Northouse: Ch. 1 Assignment Due <ul style="list-style-type: none"> • To be completed in class. Expectations, Profile
Part I	Viewpoint: Literature Approaches to Leadership	
#2 June 28	Focus <ul style="list-style-type: none"> • Trait Approach • Skills Approach • Style Approach 1st Group Formation	Theory <ul style="list-style-type: none"> • Northouse: Ch. 2, 3, 4 Assignment Due Tonight <ul style="list-style-type: none"> • What Leadership Is and Who I Am as a Leader Brief Viewpoint: Leaders <ul style="list-style-type: none"> • Useem: Introduction & Ch. 1* Roy Vagelos (Note: All Useem readings will be discussed and those * need to be "journalled.")
#3 July 3	Focus <ul style="list-style-type: none"> • Situational Approach • Contingency Theory • Path-Goal Theory • Leader-Member Exchange Theory 	Theory <ul style="list-style-type: none"> • Northouse: Ch. 5, 6, 7, 8 Assignment Due Tonight <ul style="list-style-type: none"> • Class Preparation • Journal Check: A-D Viewpoint: Leaders <ul style="list-style-type: none"> • Useem: Ch. 2 Wagner Dodge

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# Class Date	Focus	Readings & Deliverables for That Class
#4 July 5	<p>Leaders in Action</p> <ul style="list-style-type: none"> • Dr. Karen Whitney, Vice Chancellor for Student Life & Diversity & Dean of Students, IUPUI <p>Focus</p> <ul style="list-style-type: none"> • Transformational Leadership • Team Leadership • Psychodynamic Approach 	<p>Readings</p> <ul style="list-style-type: none"> • Northouse: Ch. 9, 10, 11 <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 5—Passion & Commitment <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • 1st Leader Interview • Journal Check: E-L <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 3* Eugene Kranz
Part II	Viewpoint: Followers	
#5 July 10	<p>Leaders in Action</p> <ul style="list-style-type: none"> • Kevin O’Keefe, President/CEO Riley Children’s Foundation <p>Focus: Engaged Employees & High-Performance Units</p> <ul style="list-style-type: none"> • Kouzes & Posner—The Challenge of Leadership • The Measuring Stick • The Wisdom of Great Managers • Changing Context of Leadership • Personal Journey & Rallying of Others <p>Experiential Learning</p>	<p>Readings</p> <ul style="list-style-type: none"> • Buckingham & Coffman: Ch. 1, 2 • Kouzes & Posner (optional) <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 2, 3—Focus & Content, Responsibility for Choice <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • Journal Check: M-S <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 4—Arlene Blum
#6 July 12	<p>Leaders in Action</p> <ul style="list-style-type: none"> • Rosemary Dorsa, Executive Vice President, Central Indiana Community Foundation <p>Focus: Engaged Employees & High-Performance Units</p> <ul style="list-style-type: none"> • Four Keys <ul style="list-style-type: none"> • Select for Talent • Define the Right Outcomes • Focus on Strengths <p>Mid-class Reflection</p> <p>Experiential Learning</p>	<p>Readings</p> <ul style="list-style-type: none"> • Buckingham & Coffman: Ch. 3, 4, 5, 6 <p>Practice</p> <ul style="list-style-type: none"> • Clemmer: Ch. 7—Growing & Developing <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • Journal Check: T-Z <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 5* Joshua Lawrence Chamberlain

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# Class Date	Focus	Readings & Deliverables for That Class
Part III	Viewpoint: Mistakes Leaders Make	
#7 July 17	<p>Leaders in Action</p> <ul style="list-style-type: none"> • Ginger Merkel • Joe Smith <p>Focus: Bad Leadership</p> <ul style="list-style-type: none"> • Webs of Significance • Claiming the Bad Side • Reasons for Being Bad • Making Meaning of Being Bad <p>Experiential Learning</p> <p>2nd Group Formation</p>	<p>Readings</p> <ul style="list-style-type: none"> • Kellerman: Intro, Ch. & Part One <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 4--Authenticity <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 6 Clifton Wharton
#8 July 19	<p>Leaders in Action TBD</p> <p>Focus: Bad Leadership</p> <ul style="list-style-type: none"> • Leading Badly <p>Experiential Learning</p>	<p>Readings</p> <ul style="list-style-type: none"> • Kellerman: Part Two <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 7* John Gutfreund
Part IV	Viewpoint: Risks & Rewards	
#9 July 24	<p>Leaders in Action</p> <ul style="list-style-type: none"> • John Aleshire, Executive Director, Little Red Door Cancer Agency • Diane Jackson, Executive Director, Martin Luther King Community Center <p>Focus: Why Leadership Is So Dangerous & Action Ideas</p> <ul style="list-style-type: none"> • Heart of Danger • Faces of Danger <p>Focus: Action Ideas</p> <ul style="list-style-type: none"> • Get on the Balcony • Think Politically • Orchestrate the Conflict • Give the Work Back • Hold Steady <p>Experiential Learning</p>	<p>Readings</p> <p>Heifetz & Linsky</p> <ul style="list-style-type: none"> • Ch. 1, 2, 3, 4, 5, 6, 7 <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 6—Spirit and Meaning <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • Hand in all Journal entries <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 8 Nancy Barry

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# Class Date	Focus	Readings & Deliverables for That Class
#10 July 26	<p>Leaders in Action TBD</p> <p>Focus: Ways Not to Derail Yourself</p> <ul style="list-style-type: none"> • Manage Your Hungers • Anchor Yourself • What's on the Line? • Sacred Heart • Ethics <p>Experiential Learning</p>	<p>Readings</p> <ul style="list-style-type: none"> • Heifitz & Linsky: Ch. 8, 9, 10, 11 • Northouse: Ch. 13 <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • 2nd Leader Interview <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Ch. 9 Alfredo Cristiani
#11 July 31	<p>Focus: Board & Staff Relationships</p> <ul style="list-style-type: none"> • Creating a Strong Board • Developing Positive Partnerships • Ethics & Responsibilities <p>Leaders in Action</p> <ul style="list-style-type: none"> • John Lyter, CEO American Red Cross of Greater Indianapolis • Richard E. Hester, Senior Partner, Sunbelt Indiana Business Resource 	<p>Readings</p> <ul style="list-style-type: none"> • TBD <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 8—Mobilizing & Energizing <p>Assignment Due Tonight</p> <ul style="list-style-type: none"> • Class Preparation • Leaving a Legacy (Part of Your Personal Best Leadership Project) <p>Viewpoint: Leaders</p> <ul style="list-style-type: none"> • Useem: Conclusion—Vision plus Action
Part V	Step Forward. . . You Make a Difference	
#12 August 2	<p>Focus: Leadership IS Action</p> <ul style="list-style-type: none"> • From Bad to Better • Lifelong Leadership Development <p>Viewpoint: Yours--Class Panel</p> <p>Legacy & Learnings Discussion</p> <p>Feedback</p>	<p>Readings</p> <ul style="list-style-type: none"> • Kellerman: Part Three <p>Practice</p> <ul style="list-style-type: none"> • Clemner: Ch. 9—Leadership is Action <p>Assignment Due</p> <ul style="list-style-type: none"> • Class Preparation • Self-Evaluation
August 4	Summer Session II Classes End on August 7	<p>Assignment Due on Friday, August 4</p> <ul style="list-style-type: none"> • Your Personal Best Leadership Project. (Note: You can hand this assignment in on August 2nd or bring it to BS4068 no later than 5 pm on August 4th.)

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Profile of Instructor—Vicki Mech Hester

Mech Hester Solutions

Dr. Vicki Mech Hester is principal of Mech Hester Solutions, a consulting practice founded in 1997. She provides responsive, practical help to develop leaders, teams and organizations. Vicki has over twenty years experience in leadership, organizational development, change management, training and development and consulting as well as over twelve years as a collegiate faculty member and student development administrator. She inspires, incites and educates her clients.

Experienced Practitioner

Prior to starting her own business, Vicki was Vice President of Organizational Effectiveness Products at an international marketing research consulting company. Here she worked with domestic and international clients to design and implement appropriate strategies to assess employee commitment to the business, to its customers and to continuous improvement initiatives.

In the early 1990s Vicki provided leadership to human resources within one of the world's largest leisure travel companies. She also created and implemented staffing, orientation, employee relations, training and development, performance management, team building, organizational change and leadership development interventions and programs for a shopping center magnate and a university medical center complex.

Relevant and Strong Educational Background

Vicki was professor and dean at colleges in the Midwest and East. She received her doctoral and masters degrees from Indiana University, specializing in human resources and counseling. Her bachelor's degree in economics and business is from Saint Mary's College/Notre Dame.

Commitment to Community & Volunteerism

Active in community leadership Vicki is a Stanley K. Lacy fellow and has served on local, state and national boards, including Girls Incorporated, Big Sisters of Central Indiana, Big Brothers Big Sisters of Central Indiana, United Way, Indianapolis Retirement Home Fund, and the Stanley K Lacy Executive Leadership Advisory Council and Alumni Board. She is a recipient of the YWCA Salute to Women of Achievement honor.

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Leader's Bookshelf

- Bossidy, Larry and Charan, Ram. *Execution, The Discipline of Getting Things Done*. New York, NY: Crown Business, 2002.
- Collins, Jim. *Good to Great, Why Some Companies Make the Leap . .and Others Don't*. New York, NY: Harper Business, 2001.
- Covey, Stephen R. *The Seven Habits of Highly Effective People*. New York: Fireside, 1990.
- Heifetz, Ronald A. and Linsky, Marty. *Leadership on the Line, Staying Alive through the Dangers of Leading*. Boston, MA: Harvard Business School Press. 2002.
- Kaplan, Robert S. and Norton, David P. *The Balanced Scorecard: Translating Strategy into Action*. Boston, MA: Harvard Business School Press, 1996.
- Kotter, John P. *Leading Change*. Boston, MA: Harvard Business School Press. 1996.
- Kouzes, James M. and Posner, Barry Z. *Credibility, How Leaders Gain and Lose It, Why People Demand It*. San Francisco, CA: Jossey-Bass, 2003.
- Lencioni, Patrick. *The Five Temptations of a CEO, A Leadership Fable*. San Francisco, CA: Jossey-Bass, 1998.
- Maxwell, John C. *Developing the Leader Within You Workbook*. Nashville, TN: Thomas Nelson Publishers, 2001.
- Maxwell, John C. *The 21 Irrefutable Laws of Leadership, Follow Them and People Will Follow You*. Nashville, TN: Thomas Nelson Publishers, 1998.
- Riggio, Ronald E. and Smith Orr, Sarah. *Improving Leadership in Nonprofit Organizations*. San Francisco, CA: Jossey-Bass, 2004.
- Scott, Susan. *Fierce Conversations, Achieving Success at Work & I Life, One Conversation at a Time*. New York, NY: Viking, 2002.
- Senge, Peter. *The Fifth Discipline*. New York: Doubleday, 1990.
- Senge, Peter. *The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organization*. New York: Currency, Doubleday, 1994.
- Tichy, Noel and Cohen, Eli. *The Leadership Engine, How Winning Companies Build Leaders at Every Level*. New York, NY: Harper Business, 1997.

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SPEA IUPUI Policies and Procedures Academic Misconduct Policy

Scope

This policy describes student and faculty responsibilities related to academic misconduct and the procedures to be followed when academic misconduct is alleged.

Background

All faculty have the responsibility of fostering the intellectual honesty of our students, and part of this responsibility means that faculty must educate students about academic misconduct, investigate and report cases of potential academic misconduct promptly and thoroughly, and apply appropriate penalties when academic misconduct is substantiated. SPEA takes seriously this responsibility.

The *Indiana University Code of Student Rights, Responsibilities, and Conduct (Student Code)*, which can be accessed at <http://life.iupui.edu/help/code.asp>, provides the basis for SPEA's policy and procedures that must be followed in cases of suspected academic misconduct.

In addition to SPEA responsibilities, cases of academic misconduct may also involve the following campus offices: undergraduate cases of academic misconduct are handled by Associate Dean John Jones III in the Office of Student Life and Diversity (Administration Building, Suite 112); cases involving graduate students are handled by the Associate Dean Sherry Queener in the IUPUI Graduate Office (Union Building, Rm 518). These two individuals are referred to as the Dean of Students in the following document.

SPEA Student and Faculty Responsibilities

- The faculty (full-time and associate) is responsible for investigating, reporting, and applying appropriate penalties for academic misconduct.
- The IUPUI SPEA Director of Academic Affairs is responsible for maintaining the policy for Academic Misconduct, deciding whether or not to attempt mediation, convening a formal hearing, and making notifications as required by the procedure.
- The IUPUI SPEA Associate Dean is responsible for notifying the Registrar's Office when grades of 'F' are assigned (and upheld) for academic misconduct.
- The student accused of academic misconduct is responsible for understanding and following this procedure for academic misconduct. Students may seek assistance from the IUPUI Student Advocate or the graduate or undergraduate IUPUI Dean of Students as appropriate.
- Program Directors and faculty are responsible for serving on Academic Misconduct Hearing Committees, and the Chair of the hearing committee is responsible for preparing and communicating the committee's decision.
- IUPUI Dean of Students for undergraduate students and graduate students are responsible for providing guidance in the disposition of cases, reviewing academic misconduct cases, and applying additional disciplinary measures as appropriate.

Policy

Whenever a faculty member suspects that academic misconduct has occurred, he/she is responsible for taking specific actions identified in this policy. These actions, which ensure due process for students accused of academic misconduct, are given in the procedure below and are included in the flowchart in Figure 1.

In the event that a student who is accused of academic misconduct believes that he/she has a grievance against the instructor, the grievance will be resolved after the case of academic misconduct is resolved.

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IUPUI e-mail can be used for official communications in the process of resolving a case of alleged academic misconduct, with the exception of communicating the final decision of an appeal by a student. The chair of the hearing committee must communicate this decision via letter, sent by certified mail.

Academic misconduct is defined as “any activity that tends to undermine the academic integrity of the institution” (*Code of Student Rights, Responsibilities, and Conduct*, pg 7). Academic misconduct includes, but is not limited to, cheating, fabrication, plagiarism, interference, violation of course rules, and facilitating academic dishonesty. A listing of the activities that fall within each of these categories follows; these are taken verbatim from the *Code of Student Rights, Responsibilities, and Conduct* pp 7-9).

1. Cheating

Cheating is considered to be an attempt to use or provide unauthorized assistance, materials, information, or study aids in any form and in any academic exercise or environment.

2. Fabrication

A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citation to the sources of information.

3. Plagiarism

Plagiarism is defined as presenting someone else’s work, including the work of other students, as one’s own. Any ideas or materials taken from another source for either written or oral use must be fully acknowledged, unless the information is common knowledge. What is considered “common knowledge” may differ from course to course.

4. Interference

A student must not steal, change, destroy, or impede another student’s work, nor should the student unjustly attempt, through a bribe, a promise of favors or threats, to affect any student’s grade or the evaluation of academic performance. Impeding another student’s work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.

5. Violation of Course Rules

A student must not violate course rules established by a department, the course syllabus, verbal or written instructions, or the course materials that are rationally related to the content of the course or to the enhancement of the learning process in the course.

6. Facilitating Academic Dishonesty

A student must not intentionally or knowingly help or attempt to help another student to commit an act of academic misconduct, nor allow another student to use his or her work or resources to commit an act of misconduct.

Procedure

Informal Conference with Student

A faculty member who has information that a student enrolled in a course being conducted by the faculty member has committed an act of academic misconduct related to that course is required to hold an informal conference with the student concerning the matter. This informal conference may take place after the class during which the academic dishonesty occurred or at a later meeting; however, the faculty member should endeavor to complete the conference expeditiously. During the conference,

- the faculty member must advise the student of the alleged act of misconduct and the information upon which the allegation is based; and
- the student must be given an opportunity to respond to the allegation of misconduct.

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If the faculty member concludes that the student did commit the act of misconduct as alleged, the faculty member is authorized to impose an appropriate academic sanction related to the particular course involved.

- An appropriate academic sanction for such misconduct may include, but is not limited to, any one or a combination of the following:
 - a) no penalty
 - b) resubmit assignment, paper or project (specify requirements and due date)
 - c) retake exam
 - d) complete additional assignment, course work, exam or paper
 - e) lower grade on assignment, exam, or paper involved
 - f) failing grade on assignment, exam, or paper involved
 - g) required to withdraw from course with W or F, at faculty member's discretion
 - h) a reduced final grade or a failing grade for the course (specify grade)

- The penalty for a serious act of academic misconduct should ordinarily involve the recording of a failing grade for the course. It is up to the faculty member to determine what constitutes a 'serious' act of academic misconduct. Typically, academic misconduct related to examinations or course papers would be considered serious as compared to academic misconduct related to a less significant course assignment. Multiple acts of academic misconduct that are alleged within a single course would be considered serious.
- An incomplete may be given in the course in the event that the matter cannot be resolved before final grades are due in the IUPUI Office of the Registrar.
- If the penalty includes a failing grade for the course, the Registrar will be notified by the Associate Dean that the grade was given because of academic misconduct. The Registrar will record the grade of "F" on the student's permanent academic transcript without any notation concerning the reason for the grade. The Registrar must, however, follow procedures to ensure that the grade of "F" will not thereafter be removed from the transcript in accordance with other academic policies or procedures such as the "FX" policy. A grade of "F" given because of academic misconduct must be calculated in a determination of the student's grade point average, but the grade will not prevent the student from repeating the same course for credit.

Conclusion of the Informal Conference with the Student

At the conclusion of the informal conference, if the student is found responsible for the academic misconduct, the faculty member is required to report the matter within seven calendar days in writing to the IUPUI Dean of Students and the student with a copy to SPEA's Associate Dean and Director of Academic Affairs. The Director of Academic Affairs, in consultation with the faculty member, may assume the responsibility of forwarding the written report to the IUPUI Dean of Students and the student. In the event, the student is not a SPEA major, the IUPUI Dean of Students will provide a copy to the student's dean or director.

The written report can be facilitated by using IUPUI's Disposition of Case of Academic Misconduct form (link to *IUPUI Guidelines to Dealing with Student Academic Misconduct (PDF)* located at <http://life.iupui.edu/help/downloads.asp> for this form). In the event the faculty member elects to use Disposition of Academic Misconduct form to file the report, he/she must inform the student that the Director of Academic Affairs must be contacted to file an appeal.

In lieu of using the Disposition of Case of Academic Misconduct form, the faculty's written report to the student must include the following:

- A statement concerning the nature of the offense;
- The terms of the sanction being imposed;
- A statement that the student may submit an appeal in writing to the IUPUI SPEA Director of Academic Affairs (with a copy to the SPEA Associate Dean) within seven calendar days after receiving the faculty member's written report.
- A statement that the matter is being reported to the IUPUI Dean of Students who has the authority to impose an additional sanction if the he/she believes that such a sanction is justified because of

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- the nature of the student's misconduct or because of any prior acts of misconduct that the student may have committed;
- A statement that the additional sanction may be any of the following:
 - (a) Disciplinary probation for a specified period of time;
 - (b) Suspension from the university for a specified period of time; or
 - (c) Expulsion from the university.
 - A statement that the IUPUI Dean of Students will notify the student within seven calendar days of receipt of the faculty member's report if the IUPUI Dean of Students has decided not to impose an additional sanction or is still considering the propriety of imposing an additional sanction.

Action by Office of Dean of Students

Upon receiving a report from a faculty member, the Office of the Dean of Students will

- review a faculty member's report concerning a student's act of academic misconduct to determine if probation, suspension, or expulsion should be imposed upon the student because of the nature of the act of academic misconduct, and
- determine if the student has a record of any previous acts of academic or personal misconduct and to decide whether probation, suspension, or expulsion should be imposed on the student because of any previous acts of misconduct.

The IUPUI Dean of Students will not consider imposing an additional sanction until SPEA has completed its process, including an appeal, for handling academic misconduct cases.

If the IUPUI Dean of Students considers that additional sanctions are warranted, he/she upon conclusion of his/her informal conference with the student must inform the dean of the academic unit(s) involved (for SPEA, the Associate Dean) of the Dean of Students' disposition of the case.

Student's Appeal to SPEA

Students do have the right to appeal 1) the faculty member's decision that the student committed the act of misconduct, 2) the faculty member's decision to impose a particular academic sanction, and 3) the decision of the IUPUI Dean of Students to impose an additional sanction. SPEA is responsible for conducting an appeal hearing in the event the student wishes to appeal either 1) the faculty member's decision that the student committed the act of academic misconduct or 2) the faculty member's decision to impose a particular sanction.

A student must initiate an appeal concerning a faculty member's decision by submitting a written notice within seven calendar days to the SPEA Director of Academic Affairs (with a copy to the SPEA Associate Dean) after the student receives a report written by the faculty member concerning his/her decision on the case.

After receiving a written appeal from a student concerning a faculty member's decision or sanction, the Director of Academic Affairs may elect to discuss the matter individually with the student and faculty member in an effort to resolve the matter. The Director of Academic Affairs should conclude the individual discussions expeditiously, within fourteen calendar days, after receiving the written appeal. The Director of Academic Affairs will notify the principals (faculty member who initiated the action and student) of the outcome of the informal conference. The Director will also copy the SPEA Associate Dean, IUPUI Dean of Students, and student's dean, if the student is not a SPEA major, on this communication.

If resolution was not reached or mediation was not attempted, the Director of Academic Affairs convenes a formal hearing, as soon as practicable, ideally within seven calendar days after the receipt of the written notice of appeal from the students or after the individual conferences with the faculty member and student are concluded if mediation is attempted.

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The hearing committee consists of three faculty and two student members appointed by the Director of Academic Affairs. The faculty members are typically the Directors of the academic programs. The Director of Academic Affairs designates one of the faculty members to serve as chair. The conduct of the hearing and resolution of procedural issues is the responsibility of the chair. However, the student and faculty member must be given an opportunity to be present at the hearing and to summarize and provide support for their positions. Written statements are encouraged to help clarify issues for the members of the hearing committee, but written statements are not required. An example hearing process is given at the end of this section.

The student may invite one or more advocates, but the advocate should have material knowledge that contributes to an understanding of the situation. The chair of the hearing committee is responsible for determining whether or not an advocate's information contributes to the understanding of the situation.

In the event a student requests to bring legal counsel to the hearing, the chair will contact University Counsel for further instructions. In the event a student brings legal counsel to the hearing unannounced, the chair will place the hearing on hold until he/she contacts University Counsel for further instructions.

The chair is required to make a transcript of the hearing by tape recording or other appropriate means.

At the conclusion of the hearing, the hearing committee makes its decision based on a majority vote. The standard of proof needed to make its decision is 'clear and convincing.' The type of evidence will vary depending on the case, but drawing on the definition of clear and convincing proof in civil cases, the level of proof required is more than a preponderance of the evidence, but less than proof beyond a reasonable doubt.

The hearing committee can take one of three actions:

- The committee has the authority to sustain or reverse any decision of the faculty member concerning the student's alleged act of academic misconduct.
- If the committee determines that there is not clear and convincing evidence to support the conclusion that the student committed the alleged act of academic misconduct, the Director of Academic Affairs is required to set aside the sanction or sanctions imposed. The decision of the committee to take this action is final.
- The committee may conclude that the student did commit the alleged act of misconduct, but that the sanction should be reduced. Under the circumstances, the committee is authorized to direct the Director of Academic Affairs to impose a lesser sanction than that imposed by the faculty member.

Within seven calendar days after the hearing, the chair of the hearing committee must prepare a written decision which includes an explanation of the committee's action and the findings of fact upon which the action is based. The decision must be submitted to the Director of Academic Affairs, with copies to the IUPUI Dean of Students, SPEA Associate Dean, student, faculty member, and the dean of the school in which the student is a major, if other than SPEA.

Example Hearing Process. The chair will begin the hearing with a statement of its purpose and introduces the principals and committee members. The chair reviews the process that will be used to conduct the hearing. The chair stresses that all information shared in the hearing process is strictly confidential. The chair states the possible outcomes of the hearing and that the committee decision will be based on clear and convincing evidence.

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Typically, the faculty member will be asked to present first, followed by the student and his/her advocate(s). Each committee member should be given an opportunity to question the faculty member and student. The faculty member and student may direct questions to each other.

At the conclusion of the hearing, the chair reiterates the purpose of the hearing and states the possible findings that the committee may reach. Before asking the faculty member, student, and the student's advocate to leave, the chair asks if there are any questions and handles any that are presented. The faculty member, student who is the subject of the hearing, and the student's advocate are dismissed during committee deliberations, and the chair tells the faculty member and the student that they will be notified of the committee decision after the decision is written.

The chair has discretion on how to handle the deliberations. Typically, the chair will ask for a discussion of the evidence followed by a vote first on the allegation of academic misconduct and then on the sanction applied by the faculty member. The vote of each member will be a voice vote.

After the decision is reached, the chair dismisses the committee with a reminder that the proceedings are confidential and should not be discussed after the hearing.

Documentation

Faculty Disposition of a Case of Academic Misconduct form or written report

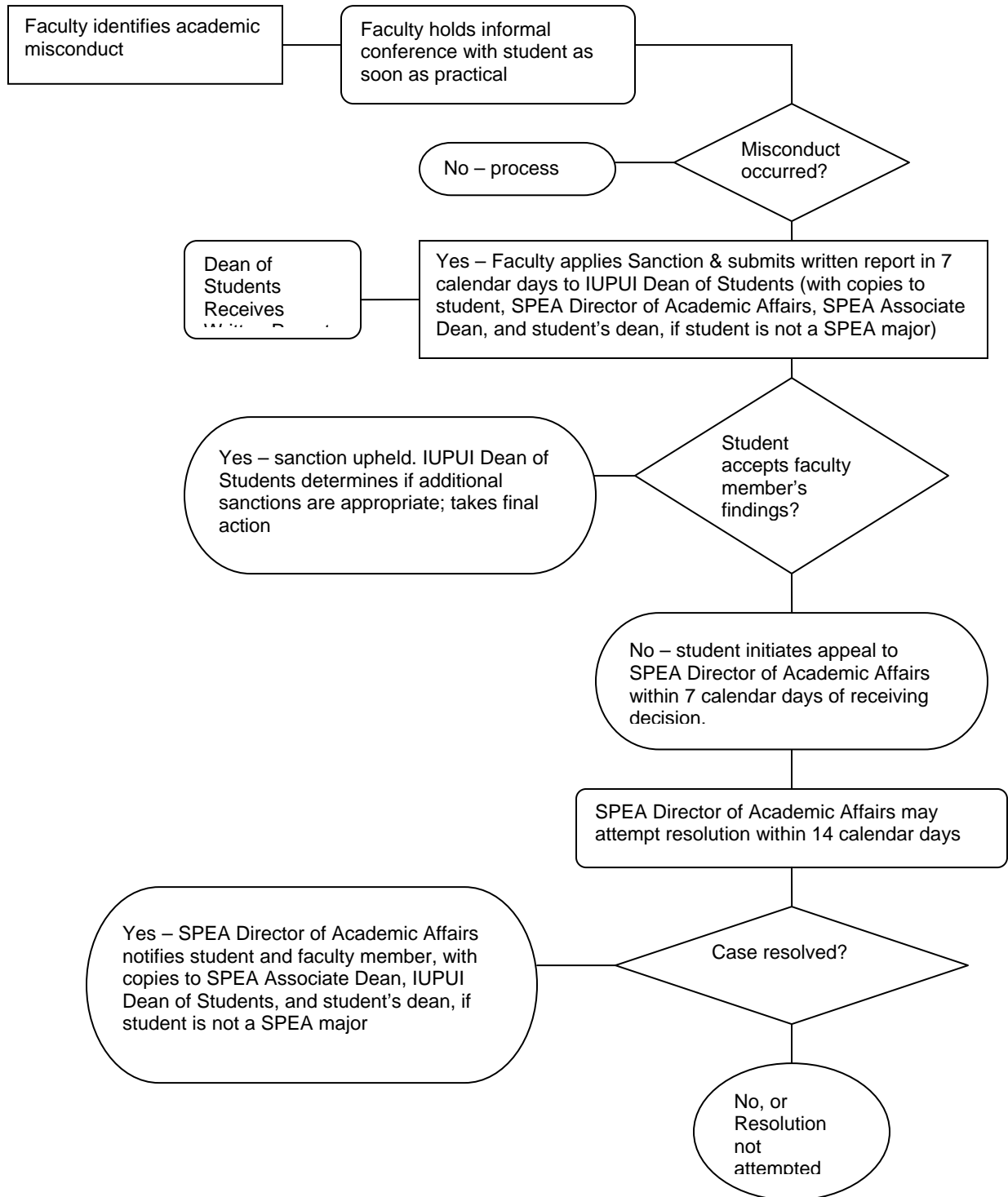
Student documentation of case (optional)

Decision of the appeal, prepared by Hearing Committee Chair

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Figure 1. Flowchart of SPEA's Procedure for Handling Academic Misconduct Cases



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