

INDIANA UNIVERSITY BLOOMINGTON

**PRINCIPLES AND POLICIES ON
TENURE AND PROMOTION**



Bloomington Faculty Council

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PRINCIPLES AND POLICIES ON TENURE AND PROMOTION

INDIANA UNIVERSITY BLOOMINGTON

Statement of Principles

The recruitment, advancement, and retention of an eminent and engaged faculty are among the most important obligations of an institution of higher learning. Accordingly, a primary mission of Indiana University Bloomington is to continually employ, cultivate, and reward faculty for superior accomplishments in various fields and realms of intellectual, artistic, and performative endeavor. To realize these goals, the University is committed to providing high-achieving faculty members and librarians with the incentive structures and career-advancement opportunities necessary to encourage continuous academic excellence. The principles and policies detailed in this document are intended to achieve these ends for the faculty, students, and other constituencies of Indiana University Bloomington, while concurrently securing the operation and interests of the University as an institution wholly invested in the propagation of a reputable credentialed, dynamically productive, and professionally responsible faculty.

Similar to other mutual relationships, the conferral of tenure creates reciprocal rights and obligations on the part of both the University and individual faculty members and librarians. Successful candidates for promotion and tenure are granted the protections of academic freedom and job security. In return, the University requires that tenured personnel remain engaged in enterprises such as meaningful research and creative activity; quality instruction and pedagogical innovation; and noteworthy service to the institution and the larger profession over the entire arc of their academic careers. It is acknowledged that achievements in one of the three performance areas may temporarily eclipse advancement in the others during different phases of the professional life of a faculty member or librarian.¹ However, it is understood that tenure and promotion are predicated on the expectation that a faculty member or librarian consistently satisfies or exceeds standard criteria in all three applicable performance areas at any given time.

At the foundation of the campus's tenure and promotion system is a salient and abiding appreciation for the efficacy of rigorous and continuous peer review of faculty performance and professional conduct. Alongside the principles of collaborative academic citizenship, shared governance, and collegiality, Indiana University Bloomington fully embraces the prominent role of regular faculty scrutiny and evaluation of the work and contributions of other faculty members as hallmarks of professionalization and accountability. Proceeding from the premise that the faculty is the vital core and essential engine of the University and its various intellectual, instructional, and professional functions, this policy recognizes that tenure and promotion processes necessarily begin with and advance through vital stages of peer review that both protect the procedural rights and interests of individual candidates and safeguard the academic quality and foundational mission of Indiana University. In accordance with these principles of professional mutuality, this policy explicitly upholds the right of every candidate for tenure and promotion to be judged by peers in an informed and procedurally grounded manner based upon

an impartial and good-faith assessment of the accumulated evidence of the candidate's achievements and professional competence.

Additionally, this policy affirms that every faculty member and librarian is entitled to a tenure and promotion process that is fair, transparent, and consistent with official policies and sanctioned practices. Such candidates are also due an appeals process that is clearly delineated, equitable, and timely. While multiple checks and balances are incorporated into the tenure and promotion system to ensure thorough and judicious evaluations of individual candidacies, these various strata of assessments are not intended to unduly delay or complicate decisions regarding employment or advancement at the University.

Given the broad array of programs, departments, and schools across the Bloomington campus, this policy recognizes that such units should have sufficient purview to create standards for promotion and tenure that are informed by pertinent disciplinary expertise and specialized training, as well as more expansive understandings of research, scholarship, creative activity, and pedagogy that take into account the value of collaborative, cross-unit, and interdisciplinary approaches to the creation and dissemination of knowledge. While it is expected that the tenure and promotion policies of individual departments and schools will conform to the principles and procedures set forth in this document, it is understood that local units will have jurisdiction for establishing evaluative criteria to judge the achievements of faculty members and librarians in the applicable performance areas.²

As individual units contemplate, craft, and apply promotion and tenure standards, they should remain mindful of the increasingly interdisciplinary and integrated terrains of intellectual inquiry and pedagogical practice upon which Indiana University operates. It is assumed that disciplinary, specialized, and field-specific expertise and achievement will continue to inform and influence expectations and decisions at all levels of the promotion and tenure process. Nonetheless, programs, departments, and schools are encouraged to recognize and reward high-impact research/creative activity, teaching, and service that transcend and transform conventional disciplinary and unit boundaries—especially when such enterprises create new knowledge, artistic/performative expressions, and/or methodologies and experimentation.

Finally, this policy acknowledges the impact of the incessant and often rapid transformation of the means of transmitting knowledge, publishing research, and exhibiting creative activity in the digital age. It also recognizes that scholarly productions, creative/performative works, and teaching practices can be enhanced by the medium through which they are articulated and disseminated. Such realities of the computer and internet era require a more flexible understanding of how researchers, teachers, artists, and performers interact with and deploy new media to realize scholarly and pedagogical goals, as well as to reach various audiences. All campus units involved in promotion and tenure decisions should undertake active efforts to update their criteria for evaluating scholarship, creative activities, teaching styles, and service engagements that incorporate new media.

Authority and Application of Policy

This policy (hereafter referred to as “Principles and Policies”) communicates the professional and institutional values, rank-advancement procedures, and evaluative metrics that guide the promotion and tenure process of Indiana University Bloomington. Departments, schools, and all other units and offices on this campus shall be governed by the Principles and Policies in matters pertaining to the promotion and tenure of faculty members and librarians. This policy updates, clarifies, and elaborates upon the reappointment, tenure, and promotion provisions of the Indiana University Bloomington *Academic Guide*.³ Moreover, it replaces the “Tenure and Promotion Statements” of the Bloomington Faculty Council. In any instance in which the Principles and Policies conflict with the *Academic Handbook* or any other applicable Indiana University standards on promotion and tenure, the system-level statutes of the University shall be superordinate.

This document is not intended as a comprehensive or exhaustive catalogue of promotion and tenure procedures or practices, given the diversity of (inter)disciplinary cultures, programmatic resources, and assessment regimens that characterize the Bloomington academic community. The Office of the Vice Provost for Faculty and Academic Affairs shall provide the interpretative guidance and support necessary for the implementation and operation of the Principles and Policies. Guidelines and other instruments of advisement produced by the Office of the Vice Provost for Faculty and Academic Affairs should be consulted for a fuller rendering of the administrative logistics and procedural details that inform the campus’s promotion and tenure process.

Authority to institute additional promotion and tenure procedures and practices not explicitly codified or expressed in this document, the Indiana University Bloomington *Academic Guide*, the Indiana University *Academic Handbook*, or the procedural guidelines of the Office of the Vice Provost for Faculty and Academic Affairs shall devolve to the purview and discretion of IUB schools and departments (in that order). Such procedural adjustments and/or enacted “best practices” must be limited in scope and effect and demonstrably necessary to realize the stated principles and ends of this document. In all instances, the Bloomington Faculty Council and the Office of the Vice Provost for Faculty and Academic Affairs shall ensure that such devolved authority is exercised transparently and judiciously by schools and departments, in accordance with the promotion and tenure criteria of Indiana University and in the interest of maintaining the integrity, consistency, and functionality of the campus promotion and tenure process. Proposed substantive changes to school and/or departmental procedures and practices shall be handled through the regular policy review process described below under “Documentation and Distribution of Departmental and School Policies.”

Documentation and Distribution of Departmental and School Policies

Every unit (school or department) shall generate a formal statement that specifies the mission of the unit and the unit's perception of the relative importance of research/creative activity, teaching, and service in receiving a favorable endorsement for promotion and tenure. Specific provisions for variations in the ranking of importance should be made for individuals who have formal unit approval of a mission that varies from the general unit's mission. Such

provisions should include a statement of the circumstances under which variations from these perceptions may be expected. The types of material accepted by the unit as evidence of research/creative activity, teaching, and service, including a statement concerning the unit's views of the relative strength of each type of evidence, shall be included in the unit document.

The head of each department or the dean of each school—in cooperation with a faculty committee from that department or school—shall describe in writing the procedures used in that department or school to implement the Principles and Policies in arriving at regulations concerning promotion and tenure. These documents must be current and public. Therefore, the unit document must be reviewed by the unit as a whole no less frequently than once every five years. A copy of the relevant departmental or school document(s) must be provided to each faculty member at the time of his or her initial appointment and at the time of any subsequent application for promotion. Upon completing each five-year review, a copy—in both paper form and digital format—of any new or revised document shall be forwarded to the Vice Provost for Faculty and Academic Affairs and, in the case of departments, to the school dean for review and comment. Furthermore, the Vice Provost for Faculty and Academic Affairs shall ensure that the descriptions of each school's procedures and criteria used in implementing the campus and University policies for promotion and tenure decisions are available on the website of the Office of the Vice Provost for Faculty and Academic Affairs.⁴

In the offer letter sent at the time of initial hiring of a new faculty member, the appropriate unit head or department chairperson shall describe briefly the kinds of professional duties expected of faculty members at Indiana University Bloomington and shall state how the criteria for promotion and tenure are likely to apply in the individual faculty member's case. This letter shall have been approved by the Vice Provost for Faculty and Academic Affairs prior to being sent. For matters of tenure, each faculty member shall be allowed to have his or her case evaluated under either the unit expectations and criteria in existence at the time of his or her initial appointment or the expectations and criteria in effect at the time the dossier is forwarded for consideration for tenure. Both tenure and promotion reviews will be conducted by the unit (department or school) defined as the current tenure home of the candidate, with voting eligibility and other procedures determined by the policies of that unit.⁵

All documents explaining or interpreting promotion and tenure criteria, including letters to referees, are to be regularly reviewed and approved by the faculty of the unit (department or school) in the same manner as the mission and criteria statement itself. Copies of all such texts are to be sent to all faculty in the unit and to the Vice Provost for Faculty and Academic Affairs.⁶

The Tenure-Probationary Period

A tenure-track employee appointed to the faculty or as a librarian for full-time service shall be eligible for tenure after a probationary period. At the time of initial appointment, a probationary period shall be stated. During the probationary period, appointments are usually for a period of one to three years. The total probationary period—or “tenure clock”—typically does not exceed seven years, though various leaves and other approved suspensions of duties may extend the probationary period. All tenure candidates may choose to be reviewed before the end of the probationary period. However, each candidate is allowed only one tenure review that

reaches the level of an executive recommendation to the Board of Trustees (except when a grievance results in the Provost's recommendation for another review). Since the acquisition of tenure represents a major change in the status of a faculty member or librarian, the employee to whom tenure is being granted shall be so informed in writing. Attaining tenure automatically entails promotion to the associate rank for professors and librarians, with the exception of those who have previously acquired this rank.

While ultimately contingent upon performance in rank, faculty members and librarians in tenure-track positions are normally expected to be reappointed continuously up to the tenure review. Departments and schools are expected to provide opportunities, resources, guidance, and mentoring to tenure-track faculty members and librarians in order to help them succeed in achieving a record in the applicable performance areas sufficient for tenure.

A faculty member or librarian who has not received a notice of recommendation for non-reappointment may request consideration of the tenure decision at any time after the initial appointment. However, if the tenure decision is negative, the faculty member's or librarian's appointment shall terminate at the end of the academic year following the year in which the negative tenure decision was made. A faculty member or librarian who applies for early tenure should be forewarned that a candidate for tenure should expect only one full review. A faculty member or librarian who requests early tenure shall be immediately notified of any negative recommendation concerning his or her request prior to a final decision by the President. A faculty member or librarian may withdraw his/her request for early tenure at any time prior to a final decision by the President.⁷

In some cases, a department or school may decide that the performance of a faculty member or librarian indicates that a positive tenure decision will be unlikely, and they may choose not to reappoint the candidate for additional probationary years beyond the end of the present contract. This non-reappointment decision should follow from the unit's policies and practices for reviews of tenure-probationary employees, and include a vote by eligible tenured faculty.⁸ The Vice Provost for Faculty and Academic Affairs shall be immediately notified of all non-reappointment decisions by departments or schools. Tenure-probationary employees may appeal non-reappointment decisions in accordance with the process outlined in Appendix I.

Promotion from Associate to Full Professor

Faculty members in the associate rank may apply for promotion at any time. The application process is similar to that governing promotion from assistant to associate rank. A positive decision results in advancement to full rank (with tenure). A negative decision means that full rank is not achieved; however, associate status and tenure are maintained. An associate professor may apply for full rank multiple times during the course of employment, though such repeated attempts without concomitant meaningful advancements in qualifications are discouraged.

Any faculty member or librarian may submit to the dean of the appropriate school or to the Vice Provost for Faculty and Academic Affairs a recommendation for the promotion of any

faculty member or librarian, including that of himself or herself. These recommendations shall be properly documented. It is expected that all such recommendations will be considered in accordance with both the promotion process established by this document and the related procedures of the candidate's home unit.⁹

Promotion and Tenure of Librarians

In addition to being characterized by distinctive performance areas, the promotion and tenure processes for librarians diverge in various ways from those germane to the promotion and tenure of faculty members. These differences affect the preparation of applications, the administrative routing of dossiers, proficiency standards, and the evaluative categories associated with the rank advancement of librarians. For the specific requirements of promotion and tenure for librarians, please refer to the *IU Library Faculty Handbook*, the *Indiana University Academic Handbook*, and the Bloomington campus's *Academic Guide*.

Promotion and Tenure Committees

At the school level, all members of deans' promotion and/or tenure advisory committees shall be issued, at the beginning of each academic year they serve, the relevant campus and University statements of criteria on which they are to judge the dossiers they review. At the campus level, the Vice Provost for Faculty and Academic Affairs shall have the responsibility of appointing advisory committees for both tenure and promotion. These campus-wide committees shall consider all cases and give advice to the Vice Provost for Faculty and Academic Affairs. In the case of the Tenure Advisory Committee, the Bloomington Faculty Council has indicated the composition of the committee and the types of cases to be referred to it (see Appendix II). As a matter of administrative practice, the Promotions Advisory Committee is constituted according to the same procedures.

The membership of all committees concerned with promotion and tenure shall be made a matter of public record at the time of their appointment.¹⁰

Voting Procedures

Untenured faculty members are ineligible to vote on the awarding of tenure in promotion and tenure review committees or unit meetings. As a general practice, faculty members who do not hold the rank being applied for or higher do not vote on the award of that rank in review committees or unit meetings. Except for reconsideration of prior decisions, each faculty member and administrator who participates in the promotion and tenure process votes only once in any particular case.¹¹ Faculty members are ineligible to vote on promotion or tenure in review committees or unit meetings if they have not been materially engaged with the dossier and related deliberations of the case. All votes should be cast by secret ballot; no proxy voting is allowed. Candidates will be informed promptly of vote tallies and decisions at the department and school levels.

Application for Promotion and Tenure

Promotion and tenure at the University require positive action. Rank advancement is never acquired by default. The first step in the preparation of applications for reappointment, tenure, or promotion consideration is to invite candidates to submit relevant materials. In all cases the candidate will have been advised of the upcoming review. For application materials submitted in electronic format, the candidate is responsible for providing the required materials in a manner that facilitates the process of digital storage, organization, and distribution. Electronic dossiers will be stored on secure University servers for at least the duration of the application process. If, for any reason, a dossier is submitted with physical components, the candidate and the department chair or dean (in non-departmentalized schools) should work cooperatively to compile and organize these materials. Such items shall reside in the possession of an administrator at each level of the process.

The compilers of a dossier should keep in mind that the objective evidence in the dossier is meant to assist in the making of an explicit case for promotion or tenure, going beyond the mere assertion that the candidate has made satisfactory progress. Moreover, the performance area(s) upon which the tenure/promotion case will be predicated must be declared before the compilation of the dossier and clearly announced in the candidate's statement and in correspondence soliciting external reviewers. Candidates and sponsoring units must compile dossiers in accordance with a checklist provided by the Office of the Vice Provost for Faculty and Academic Affairs. Upon completion of the dossier, this checklist should be signed by both the candidate and the department chair or dean (in non-departmentalized schools).¹²

The completed dossier provides the evidence upon which the tenure decision is to be made. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and the responses shall then become part of the dossier. At any time in the review process, candidates may request access to all dossier materials, including external reference letters. Faculty members and administrators who participate in the promotion and tenure process have full access to all materials in the candidate's dossier, as well as assessments at all previous levels of review.¹³ (See Appendices III and IV for details regarding the administrative routing of tenure and promotion applications.)

Promotion and tenure dossiers should contain at least six external review letters from qualified and credentialed individuals who are not employed by Indiana University Bloomington. Half of these referees should be derived from a list submitted by the candidate, and the other half should be drawn from a list prepared by the department or school. At the discretion of the unit head, more letters can be requested when explicitly deemed necessary. External reviewers should not have a significant relationship—commercial, personal, familial, or otherwise—with the candidate, which generally precludes the solicitation of thesis advisors, postdoctoral mentors, co-authors, former colleagues, and former classmates. In any event, any such relationship must be clearly disclosed by the reviewer or the candidate.¹⁴ Ideally, reviewers should hold at least the rank that the candidate is applying for, or its equivalent, and be well-recognized and established members of their field(s) employed at peer institutions. Highly qualified individuals at non-peer

institutions or relevant non-academic organizations may occasionally be considered as potential reviewers, if suitable justification is provided.

Evaluative Categories

A candidate's proficiency in the performance areas of Research/Creative Activity and Service is rated in accordance with four categories: Excellent, Very Good, Satisfactory, and Unsatisfactory. In assessing competence in Teaching, the categories are: Excellent, Very Good, Effective, and Ineffective.¹⁵

Tenure, Promotion, and Performance Areas

Candidates for promotion and tenure are required to rate as Excellent in one performance area and at least Satisfactory/Effective in the other two. Candidates are required to choose a single performance area on which to predicate their application for tenure or promotion (although this decision does not rule out the possibility that performance in one or both of the other areas will also be assessed Excellent). Throughout the process, review committees and administrators should keep in mind that the dossier materials (including external letters) were compiled and submitted to make the case for tenure or promotion on the basis of Excellence in the one performance area chosen by the candidate.

In exceptional instances, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University. Candidates preferring to be judged on the "balanced case" must be rated as Very Good in all three performance areas. As in instances where a candidate has selected a single performance area for tenure or promotion purposes, review committees and administrators should remain aware that dossier materials (including external letters) are collected and submitted to demonstrate the superior achievements of the candidate across performance areas.

If research or other creative activity is the primary criterion for tenure, the faculty member should be discernibly well on the way toward achieving a national and/or international reputation for excellence in research or creative work in his or her field, or across fields and disciplines. In addition, a comprehensive plan of future research of high merit should be evident. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either a single work or project of considerable importance or a series of studies or projects constituting a general program of worthwhile research or creative/performative output. The candidate should possess a definite continuing program of studies, investigations, or creative works. Candidates for promotion to full professor on the basis of research/creative activity should have achieved a position of national and/or international leadership and prominence in the field(s), with a documented and robust record of achievement and distinction. Again, quantity of research, scholarship, and creative output is less pertinent than quality and impact, though it is expected that research/creative accomplishments since achieving the rank of associate professor will be exemplary enough in character and breadth to justify promotion at a university of top rank.

If teaching is the primary criterion for tenure, the candidate's pedagogical aptitude and instructional impact should be demonstrably superior to that of effective teachers at Indiana University Bloomington and other major institutions. Indicators of such excellence would reasonably include development of instructional/curricular materials, pedagogical publications (e.g., textbooks) and presentations; active engagement with the scholarship of teaching and learning (papers/books about teaching); and participation in national conferences on teaching. Promotion to full professor based on teaching should entail exceptional pedagogical, curricular, and instructional innovations while in rank as an associate professor; new publications that actively and creatively engage the scholarship of teaching and learning; regular participation in workshops, conferences, and invited talks devoted to teaching and pedagogy; mastery over the technologies and methodologies of modern classroom presentation and management; and, wherever feasible, demonstrated ability to direct the studies of advanced students. Moreover, the faculty member seeking full rank should have a national and/or international reputation as a leader in the practice and study of teaching.

If service to the University, profession, state, and/or community is the primary criterion for tenure, distinguished contributions must be evident. The evaluation of the service should be in terms of the effectiveness with which the service is performed and its relation to the general welfare of the University. Candidates seeking promotion to full professor on the basis of excellence in service must provide evidence for national and/or international visibility and stature resulting from service activities (even abundant local committee work is not enough). Such distinguished contributions could be administrative and institutional in nature, or evidenced through superlative work in a (inter)disciplinary endeavor, governmental organization, or some other entity or cause with national and/or international reach and relevance.¹⁶

Negative Decisions and Appeals Processes

Once the dossier is prepared, the unit will decide upon its recommendation based on the evidence in the dossier. If the decision is negative, the faculty member should be informed so that he or she may request that the dossier be forwarded even though the unit has not made a positive recommendation.

The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her. At the time that a faculty member or librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Policies Governing Reappointment and Non-Reappointment During Probationary Period," and the *Academic Handbook* statement on criteria for tenure, to ensure that he or she is fully informed of his or her rights.¹⁷ Faculty members who choose to appeal a negative reappointment decision may do so in accordance with the process described in Appendix V. The Vice Provost for Faculty and Academic Affairs shall determine reasonable due dates for such appeals and the submission of related materials.

Joint Appointments and Inter-Campus Commitments

In instances of joint or multiple appointments, the head of the home (tenure-granting) unit shall consult with the other relevant unit head(s) to clarify in writing the faculty member's responsibilities in the units involved, as well as specific requirements of the appointment(s) as they relate to promotion and tenure. This letter shall have been approved by the Vice Provost for Faculty and Academic Affairs prior to being sent to the faculty member.¹⁸

It is the responsibility of each unit of Indiana University to develop appropriate structures and administer the necessary procedures for the implementation of general University tenure policies. In cases of faculty members with professional commitments that involve multiple campuses, relevant units and offices should specify in writing the job responsibilities and the promotion and tenure expectations pertaining to such appointments. Faculty members who teach or are engaged in activities on more than one campus should have their loads adjusted to reflect their assignments.

In accordance with Indiana University policy, the tenure home of each faculty member is specific to the campus unit in which he or she is serving at the time that tenure is attained. As a general rule, only Bloomington-appointed faculty are eligible to vote on promotion and tenure cases involving faculty members seeking promotion and tenure in an IUB unit.

In any case in which the position of a faculty member with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the faculty member in a comparable position elsewhere in the University or in another institution.¹⁹

Tenure Status for Non-Citizens

Only individuals who are U.S. citizens or permanent residents are eligible for appointment to tenured positions. Appointments to positions with tenure that are offered to non-U.S. citizens or permanent residents will be temporarily converted to tenure-probationary appointments until permanent residence in the U.S. has been obtained. At that time, the appointment will be converted back to the tenured position as originally offered.²⁰

Authorization to Change Faculty Ranks

The Bloomington Faculty Council must approve changes in the description of faculty positions as defined in the Indiana University *Academic Handbook*, or the institution of new ranks that would alter the definition of faculty.²¹

Review of Campus Policy

This promotion and tenure policy shall be reviewed every five years, or within a timeframe no longer than the default probationary period of a tenure-track assistant professor

(currently seven years). The president of the Bloomington Faculty Council will charge an existing or ad hoc committee with conducting the review. At that time, all amendments, resolutions, and revisions that were approved by the Bloomington Faculty Council during the interim years and that are still considered relevant, appropriate, and necessary will be incorporated into the body and text of a new, revised promotion and tenure document, along with any other warranted changes made at the time of the review.

Each faculty member or librarian will have the option of being considered for tenure under any newly implemented campus policy or under the policy in operation at the time of their initial hiring.

Availability of Previous Policies

Legacies documents, or previous promotion and tenure policies, shall be available upon request, in paper or digital form, from the Office of the Bloomington Faculty Council.

APPENDIX I

Review of Non-Reappointments for Tenure Probationary Faculty and Librarians

(Policy E-17 [Approved: Bloomington Faculty Council, 03/04/2003, 03/20/2012], IU-Bloomington, *Academic Guide*)

Faculty members and librarians in tenure-track positions are expected to be reappointed continuously up to the tenure review. Departments and schools are expected to provide opportunities, resources, guidance and mentoring to tenure-track faculty in order to help them succeed in achieving a performance record in research/creative activity, teaching and service/engagement sufficient for tenure.

In some cases, a department or school will decide that progress of a faculty member/librarian indicates that a positive tenure decision will be unlikely, and they will choose not to reappoint the candidate for additional probationary years beyond the end of the present contract. This non-reappointment decision should follow from the unit's policies and practices for reviews of tenure probationary faculty, and include a vote by eligible tenured faculty.

Upon receiving written notice of non-reappointment from the chair or dean at any point during the probationary period, the tenure-probationary faculty member/librarian ("candidate") has two options:

(a) request further review within thirty (30) days and subsequently assemble an augmented dossier. The candidate is responsible for supplying all new material except evaluative reports and recommendations prepared by review committees and administrators. The augmented dossier is returned to the department/school for additional review and vote by eligible tenured faculty and the chair/dean. If the prior judgment of non-reappointment is sustained, the candidate may request that the augmented dossier (including review reports from the home unit and a recommendation from the chair or dean) be sent for further review by the school (in departmentalized units) and the campus-level tenure committee, with final decision by the Vice Provost for Faculty and Academic Affairs. It is expected that the review would be completed before the end of the present contract.

(b) waive the right to further review by acknowledging in writing that the appointment at IUB will terminate on or before the end of present contract. If the candidate fails to provide this written acknowledgement and fails to request further review within thirty (30) days, the academic appointment shall expire at the end of the present contract.

Appeals of non-reappointment decisions may be made to the Mediation Committee and/or the Faculty Board of Review.

APPENDIX II

Tenure Advisory Committee

(Policy E-20 [Approved: BFC 2/12/74], IU-Bloomington, *Academic Guide*)

A Bloomington Campus Tenure Advisory Committee that will make tenure recommendations to the Vice Provost for Faculty and Academic Affairs should be formed. The Committee shall function in the following cases:

1. When there is a lack of agreement among the tenure recommendations to the Vice Provost for Faculty and Academic Affairs from any faculty committees or administrators;
2. When there is agreement among the tenure recommendations to the Vice Provost for Faculty and Academic Affairs with which the Vice Provost for Faculty and Academic Affairs disagrees.

The Committee also may be asked to consider tenure cases by the Vice Provost for Faculty and Academic Affairs under special circumstances when additional advice or input is necessary before a final recommendation is made. The Bloomington Campus Tenure Advisory Committee shall have access to all tenure dossiers in order to evaluate better those about which there is disagreement.

The Bloomington Campus Tenure Advisory Committee shall be composed of no more than ten faculty members of which at least four (excluding administrators and departmental chairpersons) shall be from the professional schools and at least four from the College of Arts and Sciences, and shall be appointed by the Vice Provost for Faculty and Academic Affairs for a term of two years. In order to assure continuity, in the first year the appointments are made, half the members of the committee shall be appointed for a term of three (3) years.

APPENDIX III

Reappointment Procedures (including Tenure) and Administrative Routing of Application

(https://www.indiana.edu/~vpfaa/academicguide/index.php/E._Tenure/Reappointment/Promotion/Salary#Reappointment_2)

The Vice Provost for Faculty and Academic Affairs sends reappointment lists and a reminder of procedures about one month before recommendations are due. Where tenure decisions are involved, lists are sent prior to the end of the fifth year of service.

1. The Chairperson or unit head advises the faculty member that
 - a) department/school will soon make a recommendation concerning reappointment;
 - b) he or she may submit materials within a specified time; and
 - c) in preparation for a tenure review, he or she shall submit a list of names of outside referees (this list, together with a list compiled by the Chairperson, is forwarded to the Dean of the school).
2. The Chairperson or unit head is responsible for assembling the dossier.
 - a) Materials are assembled.
 - b) A checklist is completed, with one signed copy placed in the dossier, and another given to the faculty member.
 - c) The dossier is reviewed by the appropriate committee in the department and/or school, which arrives at a recommendation.
3. The Chairperson forwards the unit's recommendation for pre-tenure reappointments to the school Dean and the Vice Provost for Faculty and Academic Affairs. For negative pre-tenure cases and all tenure cases, the Chairperson or unit head
 - a) adds the solicited letters of reference to the dossier (see 1.c above);
 - b) prepares a written statement describing the procedures followed, the votes of the committee and its recommendation;
 - c) adds his or her own recommendation;
 - d) if the recommendation is negative, advises the candidate in writing immediately (copies to Dean and the Vice Provost for Faculty and Academic Affairs); and
 - e) sends dossier containing the above items to the Dean of the school.
4. The Dean of the school adds her/his recommendation on negative pre-tenure reappointment cases and forwards all materials to the Vice Provost for Faculty and Academic Affairs, advising the candidate immediately in writing (copy to the Vice Provost for Faculty and Academic Affairs). For all tenure cases, the Dean
 - a) seeks a recommendation from the school advisory committee;
 - b) adds the committee's and the Dean's recommendations to the dossier and forwards it to the Vice Provost for Faculty and Academic Affairs; and
 - c) if the recommendation is negative, advises the candidate immediately in writing (copy to the Vice Provost for Faculty and Academic Affairs).

5. The Vice Provost for Faculty and Academic Affairs

- a) reviews negative pre-tenure reappointment cases and makes a recommendation;
- b) reviews tenure cases with consistently positive recommendations at earlier levels and adds a recommendation, or takes the case to the Tenure Advisory Committee (all dossiers with differing recommendations at earlier levels are also reviewed by the Committee);
- c) transmits the Committee's and the Vice Provost for Faculty and Academic Affairs' recommendations to the Provost; and
- d) if the recommendation is negative, and after conferral with the Provost, advises the candidate in writing as soon as the decision is final.

6. The Provost transmits the positive recommendations to the President and to the Board of Trustees, and advises the successful candidates after Board approval.

APPENDIX IV

Promotion Procedures and Administrative Routing of Application

(https://www.indiana.edu/~vpfaa/academicguide/index.php/E._Tenure/Reappointment/Promotion/Salary#Reappointment_2)

1. Chairperson or unit head advises faculty member that
 - a) a promotion review is forthcoming;
 - b) he or she may submit materials within a specified time; and
 - c) he or she shall submit a list of names of outside referees (this list, together with a list compiled by the Chairperson, is forwarded to the Dean of the school).
2. The Chairperson or unit head is responsible for assembling dossier.
 - a) Materials are assembled.
 - b) A checklist is completed, with one signed copy placed in the dossier and another given to the faculty member.
 - c) The dossier is reviewed by the department/school promotions committee, which arrives at a recommendation.
3. The Chairperson forwards promotion cases to the Dean of the school after adding the following:
 - a) a written statement describing the procedures followed, the votes of the committee and its recommendation;
 - b) the solicited letters of reference; and
 - c) her/his own recommendation.
4. The Dean of the school forwards all promotion dossiers to the Vice Provost for Faculty and Academic Affairs after completing the following steps;
 - a) seeks a recommendation from the School Advisory Committee; and
 - b) adds the Committee's and the Dean's recommendations to the dossier.
5. The Vice Provost for Faculty and Academic Affairs
 - a) seeks a review and recommendation from the Campus Promotion Committee; and
 - b) transmits the Committee's and the Vice Provost for Faculty and Academic Affairs' recommendations to the Provost.
6. The Provost adds a recommendation and transmits the positive cases to the President and to the Board of Trustees.
7. The summary evaluation at the Vice Provost for Faculty and Academic Affairs' level is returned to appropriate administrators to provide feedback to all faculty members whose promotions were considered at that level.

APPENDIX V

Review of Decision of Non-Reappointment

(Policy E-9 [Approved: UFC 10/17/72; Trustees 10/27/72 Amended: UFC 10/12/76; 4/23/91; Trustees 6/20/91], IU-Bloomington, *Academic Guide*; also Indiana University, *Academic Handbook*)

- a. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the faculty member or librarian shall be to request an oral explanation from his or her principal administrative officer.
- b. Upon written request, submitted within thirty days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member or librarian within a reasonable period of time with a written statement of the reasons for non-reappointment.
- c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member or librarian in terms of the professional standards and needs of his or her department, school, program, division or library unit or of the University.
- d. The faculty member or librarian who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.
- e. If the faculty member or librarian is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review or the IU Librarians Faculty Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable period following the receipt by the faculty member or librarian of the written statement of the reasons for non-reappointment.
- f. Before undertaking a review, the Faculty Board of Review or the IU Librarians Faculty Review Board may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Boards shall request reconsideration by the department, school, program, division or library unit in which the faculty member or librarian holds an appointment or the offices of the Dean of faculties or the Vice Provost for Faculty and Academic Affairs, campus chancellor or provost, and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Faculty Board of Review or the IU Librarians Faculty Review Board shall provide copies of its report and recommendations to the faculty member or librarian, the principal administrative officer of the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment, the offices of the Dean of faculties or the Vice Provost for Faculty and Academic Affairs, campus Chancellor or Provost, and other appropriate administrative officers.

- g. Whenever during his or her appointment a faculty member or librarian discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, division, or library unit of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member or librarian may petition the Faculty Board of Review or the IU Librarians Faculty Review Board of the procedures followed in his or her case.
- h. Upon finding by the Faculty Board of Review or the IU Librarians Faculty Review Board, accepted by the principal administrator of the campus in question, that the faculty member or librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary, to avoid prejudicing the rights of the faculty member or librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the faculty member or librarian.
- i. Recourse by a faculty member or librarian to the various rights to appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in the *Handbook*. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.
- j. In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member or librarian to observe promptly and fully the above procedures.

NOTES

¹ The three performance areas for faculty members include Research/Creative Activity, Teaching, and Service. For librarians, these areas entail Performance of Librarianship Duties, Professional Development/Research/Creative Activities, and Service. Policy E-7 (Approved: Faculty Council 4/14/60; Amended: UFC 2/10/76, 3/8/94, 4/12/94; Trustees 5/6/94); Policy E-8 (Approved: UFC 11/30/76; 4/28/09; Trustees 6/12/09), Indiana University Bloomington, *Academic Guide*. For statements on University principles regarding academic freedom and economic security, see Policy E-2 (Approved: Faculty Council 12/3/68; Trustees 7/27/69; Amended: UFC 4/23/91; Trustees 6/20/91; UFC 4/28/09); Policy E-3 (Approved: Faculty Council 5/17/66; Amended: UFC 11/30/76), Indiana University Bloomington, *Academic Guide*. This document does not apply to non-tenure-track faculty or other such employees.

² Policy E-6 (Approved: BFC 5/7/74; Amended: 12/4/79; Trustees 5/6/94), Indiana University Bloomington, *Academic Guide*.

³ While the Principles and Policies generally reiterate and procedurally clarify the reappointment, tenure, and promotion policies of the IUB *Academic Guide*, they explicitly revise Policy E-6 (“Criteria for Faculty Tenure”) and Policy E-7 (“Criteria for Faculty Promotions”) of the *Academic Guide*. See the above section, “Tenure, Promotion, and Performance Areas.”

⁴ Policy E-10 (Approved: BFC 2/12/74, 3/5/85), Indiana University Bloomington, *Academic Guide*.

⁵ Resolution 7 (adopted by Bloomington Faculty Council, 9/21/1976), BFC, “Tenure and Promotion Statements”; Policy E-13 (Approved: BFC 11/17/92); Policy E-5 (Approved: Faculty Council 12/3/68; Trustees 7/27/69; Amended: UFC 2/10/76, 11/30/76, 4/23/91, 4/28/09; Trustees 6/20/91, 6/12/09); and E-9 (Approved: UFC 10/17/72; Trustees 10/27/72 Amended: UFC 10/12/76; 4/23/91; Trustees 6/20/91), Indiana University Bloomington, *Academic Guide*.

⁶ Policy E-10 (Approved: BFC 2/12/74, 3/5/85), Indiana University Bloomington *Academic Guide*.

⁷ Policy E-2 (Approved: Faculty Council 12/3/68; Trustees 7/27/69; Amended: UFC 4/23/91; Trustees 6/20/91; UFC 4/28/09), Indiana University Bloomington, *Academic Guide*; Indiana University, *Academic Handbook*.

⁸ Indiana University, *Academic Handbook*; Policy E-17 (Approved: BFC, 03/04/2003; 03/20/2012), Indiana University Bloomington, *Academic Guide*.

⁹ Indiana University, *Academic Handbook*; Policy E-18 (Approved: Faculty Council 4/1/52; UFC 4/28/09; Trustees 6/12/09), Indiana University Bloomington *Academic Guide*.

¹⁰ Policy E-18 (Approved: Faculty Council 4/1/52; UFC 4/28/09; Trustees 6/12/09); Policy E-20 (Approved: BFC 2/12/74); and “Promotion and Tenure Committees” section, Indiana University Bloomington, *Academic Guide*.

¹¹ “Adoption of Principles for Promotion and Tenure Procedures on Campuses of Indiana University,” 1. In the instance of an untenured associate professor applying for tenure, eligible faculty voters will include tenured associate and full professors. Only tenured full professors are eligible to vote on cases involving untenured associate professors applying for full rank.

¹² Indiana University, *Academic Handbook*; Indiana University Bloomington, *Academic Guide*; and OVPFAA, “Guidelines for Tenure and Promotion Reviews,” 4.

¹³ Policy E-16 (Approved: UFC 4/23/91; Trustees 6/20/91), Indiana University Bloomington, *Academic Guide*.

¹⁴ E-12 (Approved: BFC 5/7/74; A mended: 12/4/79; Trustees 5/6/94), Indiana University Bloomington, *Academic Guide*; “Adoption of Principles for Promotion and Tenure Procedures on Campuses of Indiana University,” 1-2; and OVPFAA, “Guidelines for Tenure and Promotion Reviews,” 5.

¹⁵ Indiana University, *Academic Handbook*; “Adoption of Principles for Promotion and Tenure Procedures on Campuses of Indiana University,” 2;); Policy E-7 (Approved: Faculty Council 4/14/60; A mended: UFC 2/10/76, 3/8/94, 4/12/94; Trustees 5/6/94), Indiana University Bloomington, *Academic Guide*; and OVPFAA, “Guidelines for Tenure and Promotion Reviews,” 3.

¹⁶ Indiana University, *Academic Handbook*; Policy E-6 (Approved: BFC 5/7/74; A mended: 12/4/79; Trustees 5/6/94); Policy E-7 (Approved: Faculty Council 4/14/60; A mended: UFC 2/10/76, 3/8/94, 4/12/94; Trustees 5/6/94), Indiana University Bloomington, *Academic Guide*; and OVPFAA, “Guidelines for Tenure and Promotion Reviews,” 3-8.

¹⁷ Policy E-9 (Approved: UFC 10/17/72; Trustees 10/27/72 A mended: UFC 10/12/76; 4/23/91; Trustees 6/20/91), Indiana University Bloomington, *Academic Guide*.

¹⁸ Policy E-5 (Approved: Faculty Council 12/3/68; Trustees 7/27/69; A mended: UFC 2/10/76, 11/30/76, 4/23/91, 4/28/09; Trustees 6/20/91, 6/12/09), Indiana University Bloomington, *Academic Guide*.

¹⁹ Policy E-2 (Approved: Faculty Council 12/3/68; Trustees 7/27/69; A mended: UFC 4/23/91; Trustees 6/20/91; UFC 4/28/09), Indiana University Bloomington, *Academic Guide*.

²⁰ Indiana University, *Academic Handbook*.

²¹ Resolution 21 (adopted by Bloomington Faculty Council, 1/15/1991), BFC, “Tenure and Promotion Statements.”

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