Promotion and Tenure Workshop
for Administrators

Nasser Paydar, Executive Vice Chancellor and Chief Academic Officer
Mary Fisher, Associate Vice Chancellor & Associate Dean of the Faculties
Gail Williamson, Director of Faculty Enhancement
Welcome

• P&T Process Overview
• Survey of Administrators with Guidelines Update
• Electronic Dossier Preparation
• Question and Answer Session
• Program Announcements
• Evaluation and Adjournment
P&T PROCESS
OVERVIEW

Nasser Paydar
Executive Vice Chancellor
Chief Academic Officer
IUPUI
Chief Academic Officer’s Guidelines For Preparing and Reviewing Promotion and Tenure Dossiers 2013-2014

http://academicaffairs.iupui.edu/PromotionTenure/IUPUI-Guidelines
• Tenure-track Faculty
  • Excellence in one area: Teaching, Research/Creative Activity, or Service
  • Satisfactory in other areas
• Balanced Case
  • Excellent overall performance
  • Equivalent to excellence in one area and satisfactory in others
  • Highly satisfactory in all three areas
• **Library Faculty**
  • Associate Librarian Rank and Tenure
    • Excellence in performance
    • Beyond satisfactory in either Professional Development, Research and/or Creativity or Service and satisfactory in other area
  • Librarian
    • Excellence in Performance and Excellence in either Professional Development, Research and/or Creativity or Service and at least satisfactory in other area
Review Criteria

- **Clinical Faculty**
  - Excellence in either teaching or service
  - Satisfactory in the other area

- **Lecturers**
  - Excellence in teaching, satisfactory in service

- **Research Professors and Scientists**
  - Excellence in research, expectations for service as articulated by unit
There must be scholarship in the area of **excellence** appropriate to school/disciplinary guidelines and IUPUI standards.
Levels of Review

- School
  - Department (Primary Committee)
  - Chair
  - School (Unit Committee)
  - Dean
- Campus Committee
- Executive Vice Chancellor/Chief Academic Officer
- Executive Review
- Board of Trustees
<table>
<thead>
<tr>
<th>Activity</th>
<th>Time Frame</th>
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<tbody>
<tr>
<td>Candidates prepare dossier</td>
<td>No later than Spring of 5\textsuperscript{th} year</td>
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<tr>
<td>Candidates submit dossier to primary unit</td>
<td>Based on school process - check with school</td>
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<tr>
<td>School submits dossiers to FAA</td>
<td>Last Friday of October</td>
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<tr>
<td>Campus Committee reviews and evaluates all dossiers</td>
<td>December, January, February, sometimes early March</td>
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<td>Campus Committee recommendations are forwarded to Chief Academic Officer</td>
<td>Immediately following campus committee reviews; early March</td>
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<tr>
<td>Chief Academic Officer reviews cases and makes recommendations to Chancellor</td>
<td>Mid-March</td>
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<tr>
<td>Chancellor reviews cases and makes recommendations to IU &amp; PU Presidents</td>
<td>Late March</td>
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<tr>
<td>Action by Board of Trustees</td>
<td>April</td>
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<tr>
<td>Official announcement of decisions</td>
<td>Late April, Early May</td>
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<tr>
<td>Promotion takes effect</td>
<td>July 1 (12 month faculty) or August 1 (10 month faculty) start of academic year</td>
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<tr>
<td>Tenure takes effect</td>
<td>July 1 of the following academic year</td>
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**GENERAL TIMELINE**
Dossier Format

50 page limit excluding Administrative additions, CV, Appendices

- **Section 01**: Transaction Forms
- **Section 02**: Review Level Two (Unit/School)
- **Section 03**: Review Level One (Primary/Department)
- **Section 04**: External Assessments
- **Section 05**: Reference Letters
- **Section 06**: Candidate’s Statement (5 pages; 2 additional permitted in area of excellence)
- **Section 07**: Teaching (For Librarians: 07 Performance)
- **Section 08**: Research and Creative Activity (For Librarians: 08 Professional Development)
- **Section 09**: Professional and University Service (For Librarians: 09 Service)
- **Section 10**: Curriculum Vitae
- **Section 11**: Appendices

*Dossier Format*
• Purpose - provide an external evaluation of the candidate’s:

- National reputation
- Accomplishments (area of excellence)
- Significance of scholarship
- Stature of journals/works/galleries
- Contributions to professional organizations
- Professional standing

External Reviewers
As a general rule, external reviewers should NOT include any of the following:

- Persons who were classmates, mentors or friends of the candidate
- More than one person at the same institution
- Someone from the candidate’s dissertation committee
- Anyone with whom the candidate regularly publishes

External Reviewers
• Candidate **CANNOT**
  • Select the external reviewers
  • Have contact with external reviewers

• Candidates **MAY**
  • Provide a list of experts in their field for consideration
  • Provide a list of individuals NOT to contact
Non-Controversial Case
(No divided votes at any stage)

- Two reviewers (primary and secondary) each read dossier and complete an evaluation form
- Evaluation forms distributed to committee
- Reviewers present to committee
- School representative asked to comment
- Committee has minimal discussion on case
Controversial Case
(Divided votes at any stage)

• Criteria for determining “all read” cases
• All committee members read the dossier
• Two reviewers (primary and secondary) each complete an evaluation form
• Evaluation forms are distributed to committee
• Reviewers present to committee
• School representative asked to comment (if information is needed)
• Committee discusses case
• Be informed in writing of the recommendation at each stage of review at IUPUI
• Be informed when materials are added or changes are made to their dossier
• Be provided an opportunity to comment on or respond to changes
• Know that all reviews are confidential – candidates MUST NOT contact committee members during the review process

Remember Candidates Should
Questions
P&T Queries and Discussion
Using Clickers

Mary Fisher, Associate Vice Chancellor & Associate Dean of the Faculties
While on vacation, the thing I like to do most is...

1. Play tennis
2. Relax by the pool
3. Read interesting books
4. Go boating on the lake
5. Enjoy time with my family
6. Take a break from electronic devices
To what extent are mentors assigned to new tenure-track faculty in your school?

1. 100%
2. 75%
3. 50%
4. 25%
5. 0%
To what extent are mentors assigned for new non-tenure track faculty in your school?

1. 100%
2. 75%
3. 50%
4. 25%
5. 0%
To what extent are mentors assigned for Associate Professor level faculty in your school?

1. 100%
2. 75%
3. 50%
4. 25%
5. 0%
To what extent are Primary Committees in your school up-to-date on the current Campus P&T guidelines?

1. 100%
2. 75%
3. 50%
4. 25%
5. 0%
To what extent is your Unit/School P&T Committee up-to-date on the current Campus P&T guidelines?

1. 100%
2. 75%
3. 50%
4. 25%
5. 0%
My knowledge and understanding of the latest version of the IUPUI promotion and tenure guidelines is...

1. Excellent
2. Good
3. Fair
4. Poor

Question #7
Does your school provide internal P&T programming annually for your faculty?

1. Yes
2. No
Are your school P&T documents publically available on your school’s website?

1. Yes
2. No
School, library, and department documents must comply with the criteria of the University and IUPUI. A current copy must be on file with the Office of Faculty Appointments and Advancement (FAA). These documents need to be approved by the school’s appropriate faculty governance process and by the Associate Vice Chancellor for Academic Affairs for their compliance with campus standards. They also should be publicly available on the school’s website so faculty can easily access them.
P&T candidates should...

1. Attend P&T programs offered by FAA.
2. Be responsive to advice given in annual reviews.
3. Distribute scholarship under the area of excellence if other than research in the CV.
4. Avoid highly technical language and jargon in dossier.
5. All the above

Question #10
• Pages 6 & 7.
  • Attend Promotion and Tenure workshops offered by Faculty Appointments and Advancement (FAA).
  • Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in your areas of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.
  • Distribute evidence of your scholarship under your area of excellence (if other than research) rather than putting all such evidence under “research” in your curriculum vitae. You may only place each item in one area of the CV.
  • Describe your scholarship in your dossier, making sure to explain it in layman’s terms, since faculty from other disciplines will review your case. Minimize abbreviations, jargon and acronyms.

Candidate Responsibilities
The department chair should...

1. Reappoint probationary candidates despite unsatisfactory performance in areas of responsibility.

2. Permit candidates to contact committee members and external reviewers.

3. Ensure that candidates receive an annual written assessment of their progress toward P&T.

4. Ensure primary committees have at least three members.

Question #11
Chair Responsibilities

• Pages 8 & 9.
  • Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure with specific guidance about any issues or concerns that require attention.
  • Ensure that the declared area of excellence is progressing appropriately and that the candidate is documenting at least satisfactory performance in other areas. Satisfactory performance in all three areas is required for continued probationary reappointments.

• Page 10
  • Candidates should be instructed that they are not to contact external reviewers.
  • The committee should be of sufficient size to produce a minimum of four votes.

Chair Responsibilities
The primary committee can include ad hoc members or constitute a special primary committee to address rank issues or team science scholarship.

1. True
2. False
• If the primary/department committee does not have faculty/librarians at or above the rank sought by the candidate, **establish a special primary committee** that may include members from outside the department, school, or campus. Such a committee should be composed in consultation with the duly constituted primary committee and should reflect disciplines as similar to the candidate’s as possible. The committee should be of sufficient size to produce a minimum of four votes.

• If the candidate’s scholarship is interdisciplinary or team science in nature, consider adding additional ad hoc members who can appreciate the interdisciplinary nature of the work to be reviewed to the primary /department committee for that case. Such ad hoc members should be added in consultation with the duly constituted primary committee. The committee should be of sufficient size to produce a minimum of four votes.

### Chair Responsibilities
The chair’s letter should...

1. Discuss if achievements meet departmental norms/expectations.
2. Address professional and disciplinary benchmarks.
3. Discuss the candidate’s institutional citizenship.
4. Address whether excellence is achieved in declared area and satisfactory performance in others.
5. All the above

Question #13
• Relationship of candidate’s evidence of achievement, such as student evaluations or publications, to departmental norms and expectations.
• Indications of professional or disciplinary benchmarks used in the field and relevant to the recommendations being made by the primary committee and the chair.
• Supporting evidence of the candidate’s institutional citizenship, including specific contributions and outcomes of committee membership or campus initiatives that extend beyond mere membership and attendance.
• Specifically address if excellence is achieved in the stated area of excellence and validate if the other area(s) of performance are at least satisfactory.

Chair’s Letter
Candidate notification...

1. Is not necessary if the candidate is progressing well.
2. Is critical for tenure candidates with regard to reconsideration.
3. Occurs at the end of the entire review process.
4. Must be completed by the school dean regardless of the level of review.

Question #14
• Chair Responsibilities Page 11
  • In a tenure case, at the first level where there have been negative votes, (if applicable) discuss the candidate’s right for reconsideration. This must be done in a timely manner and prior to the next level of review.

• Dean Responsibilities Page 12
  • Ensure that the unit committee has given a copy of their summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.
  • A candidate for tenure must be notified at the first level of negative tenure review. This must happen in a timely manner and before the next scheduled level of review. They must be apprised of their right for reconsideration at that time.

• Primary and Unit Committees Page 13
  • The committee chair gives a copy of the summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.

Candidate Notification
Receipt of a negative tenure recommendation

- Tenure candidate requests reconsideration if decision based on inadequate or erroneous information
  - Must provide corrected information or state basis for inadequate consideration
  - Not an appeals process to argue the decision
- Must be made within two weeks of the first negative decision before review at the next level
Primary and unit committees should have a minimum number of members sufficient to result in _____ approve/disapprove votes.

1. 3
2. 4
3. 5
4. 6

Question #15
Committees should have a minimum number of members sufficient to result in at least four approve/disapprove votes being recorded (in case members cannot vote for any reason). If there are insufficient faculty to comprise a committee resulting in at least four votes from members of the proper rank, the Dean should seek additional members (either from another department within the school or from another school) in consultation with the duly constituted committee.

Except for reconsideration of prior decisions, each faculty member and administrator who participates in the promotion and/or tenure process votes only once on any particular case. The committee member may decide at which level to vote if they serve on more than one level of review, as long as there are a minimum of four votes at each level.
How should evaluation of the candidate’s grant success be managed?

1. Be completed by the Primary Committee.
2. Consider reviews of unsuccessful grant submissions.
3. Review funding in light of current context for funding in the field.
4. Include all the above.

**Question #16**
The primary committee is asked to consider reviews of unsuccessful grant submissions. Analyze the pattern of grant success, where applicable, and include a summary in the committee’s vote letter for promotion and/or tenure. Please review the candidate’s level of funding in light of the present context for funding in the field.

Charts: Grants and awards/Grants and external support

(Review the candidate’s funding in light of present context for funding in the field)
What action will be taken if 6 arms-length external reviews are not provided in the candidate’s dossier?

1. Case will be returned to the school.
2. Dossier will be reviewed at the campus level anyway.
3. Candidate will be given an extra month to get more letters.
4. Case will be excluded from future consideration.

Question #17
• Page 16
  • No candidate file should be forwarded to FAA without the required “six arm’s-length” external reviews.

• Page 25
  • Cases that come to the campus level without six acceptable arm’s-length letters will be returned to the school.

• Page 26
  • Reviewers deemed to not comply with the arm’s length criteria will not count toward the six needed reviews.

**External Assessments**
What should be done if an external reviewer does not return the External Review Form?

1. Explain how you attempted to obtain it.
2. Exclude the external letter of review.
3. Nothing; don’t worry about it and move on.
4. Complete the form yourself.

Question #18
If a reviewer does not return the External Referee Form, please note how you attempted to get it. For example: Form A, Letter A, Form B, Letter B, Form C, Letter C, etc.
When engaged in interdisciplinary or team science, candidates should document their individual contributions as well as demonstrate some level of independence beyond the collaborative work.

1. True
2. False

Question #19
Candidates engaged in interdisciplinary work or team science should make every effort to represent their contribution to collaborative scholarship clearly, as well as the significance and value of any interdisciplinary approach they are pursuing. Candidates should carefully document their individual contributions within this context and should also demonstrate some level of independent research beyond the team science work.

Candidate’s Statement
What faculty documentation is necessary to demonstrate the significance and impact of peer reviewed presentations?

1. Status of the venue.
2. Competitive acceptance rates where available.
3. Number of attendees.
4. Any retrievable evidence of the presentation.
5. All of the above.

Question #20
• Discussion of the significance and impact of peer reviewed presentations, including status of the venue, competitive acceptance rates (where available), number of attendees and any retrievable evidence of the presentation.
Evaluation of accomplishments in rank include each of the following **EXCEPT**…

1. Accomplishments at another institution in the same rank.

2. Places emphasis on recent work and scholarly trajectory.

3. Only considers work completed in the last ten years.

4. Examines the overall pattern of productivity.

**Question #21**
In most instances, the work being assessed as the basis for promotion or tenure will have been completed since either the initial appointment or last promotion. In many cases, it is understood that national reputation depends, in part, on foundational work that may have occurred earlier in the candidate’s career. For faculty, publications and presentations in rank at another institution prior to appointment at IUPUI will be considered part of the candidate’s record. The overall pattern of productivity over time will be scrutinized, with emphasis place on recent work and scholarly trajectory.
What action could result in procedural challenges in the solicitation of outside letters?

1. Wrong area of excellence identified in the solicitation letter.
2. Utilization of identical letters of solicitation to referees.
3. Inclusion of a copy of solicitation letter used in the dossier.
4. Inclusion of all solicited letters in the dossier.

**Question #22**
4. Letters of solicitation must explicitly mention the candidate’s area(s) of excellence. Letters of solicitation for candidates choosing to present a balanced case must include an explanation of Indiana University’s policy on the balanced case. It is extremely important that the proper area of excellence is reflected in the request letter. If the wrong area is indicated, this could result in procedural challenges.
Electronic publications are...

1. Not considered to be acceptable forms of scholarship.

2. Not as valuable as print media publications.

3. Subject to peer review assessment.

4. Reviewed with suspicion and require special consideration.

Question #23
14. Results of teaching, research and creative activity, or service disseminated through electronic media may be as valuable as results published in print media. The same care and concern for objective peer assessment should be observed when reviewing such electronic publications, especially in light of the move toward more on-line publication venues.
The External Referee Form clearly identifies the relationship of the candidate with the external reviewer.

1. True  
2. False
• Page 63

1. Past student, trainee or colleague at same institution at which you had a direct or significant role in their development

2. Family or close friendship

3. Co-authored scholarly work/grants in the last 5 years (with the exception of very large national clinical trials where multiple authors have a very distant relationship or in the case of serving on national research or service panels)
• Satisfactory performance in the candidate’s areas of responsibility (teaching and service for all and research for tenure track) is required for continued probationary reappointments.

• Advice to distribute evidence of scholarship to the area of excellence rather than putting all such evidence in the “research” area of the CV.

• Chairs should ensure that candidates receive annual written assessments of the progress toward promotion and/or tenure, with specific guidance about any issues or concerns that require attention.

• Ensure that committees have a minimum number of members sufficient to result in at least four approve/disapprove votes being recorded (in case members cannot vote for any reason).
• Candidate must be notified at the first level of negative tenure review. This must happen in a timely manner and before the next scheduled level of review. They must be appraised of their right for reconsideration at that time.
• Have the candidate sign and date for receipt of his/her copy of all P & T voting letters at every level.
• Specific instructions at all levels related to reviewing grants in light of the present context for funding in the field.
• Cases that come to the campus level without six acceptable “arm’s-length” external letters will be returned to the school.
• It is extremely important that the proper area of excellence is reflected in the request letter. If the wrong area is indicated, this could result in procedural challenges.
• The referee form has been updated significantly.

Issue Summary 2013-2014
Break and Refreshments
ELECTRONIC DOSSIER

Carol McGarry
Assistant Dean of the Faculties
http://academicaffairs.iupui.edu/

Academic Affairs Website
• Mary Fisher, Associate Vice Chancellor

• Carol McGarry, Assistant Dean of the Faculties

• Gail Williamson, Director of Faculty Enhancement

Q&A Panel
Gail Williamson
Director of Faculty Enhancement

• New Faculty Welcome
• P&T Programs
• Administrator Development
• Reading at the Table
• Adobe P&T Foundational Programs

Program Highlights
• Please take a few minutes to complete the program evaluation.

• Your feedback is important to us and will help improve future programs.

• Thank you for your interest and attendance.

• Have a great afternoon.

Evaluation & Adjournment