



Office of Academic Affairs

Rachel Applegate, Assistant Vice Chancellor for Faculty Affairs

Administrators' Update on the Promotion and Tenure Process

Agenda

Part I: Brief review of 2020-2021 P&T

Part II: P&T management

Third year review feedback, other

Part III: What starts now for 2021-2022 cases

- Teaching professor review
- Expiration of COVID provisions
- DEI markings/information (optional)

Part IV: Upcoming issues

Campus level

School level

Part V: Programming for 2021-2022



Part I: Overview of Cases--Types

1. 2020-2021
2. Preview of 2021-2022



2017-2018:	115
2018-2019:	142
2019-2020:	122
2020-2021:	134
2021-2022:	163 est.

134 cases 2020-2021

41 cases involved tenure (42 19-20; 43 21-22)

- 32 to associate professor + tenure

- 2 to full professor + tenure

- 1 tenure-only professor

- 5 to associate librarian + tenure

- 1 to full librarian + tenure

33 tenure track promotion-only cases (promotion to full) (25 19-20; 41 21-22)

58 non-tenure track promotion cases (55 last year):

- 35 clinical (28 to associate, 7 to full). (57 21-22)

- 6 research (to associate)

- 2 senior lecturer (4 last year). (8, 21-22)

- 15 senior lecturer to teaching professor. (5, 21-22)



Comments on 2021-2022 numbers so far

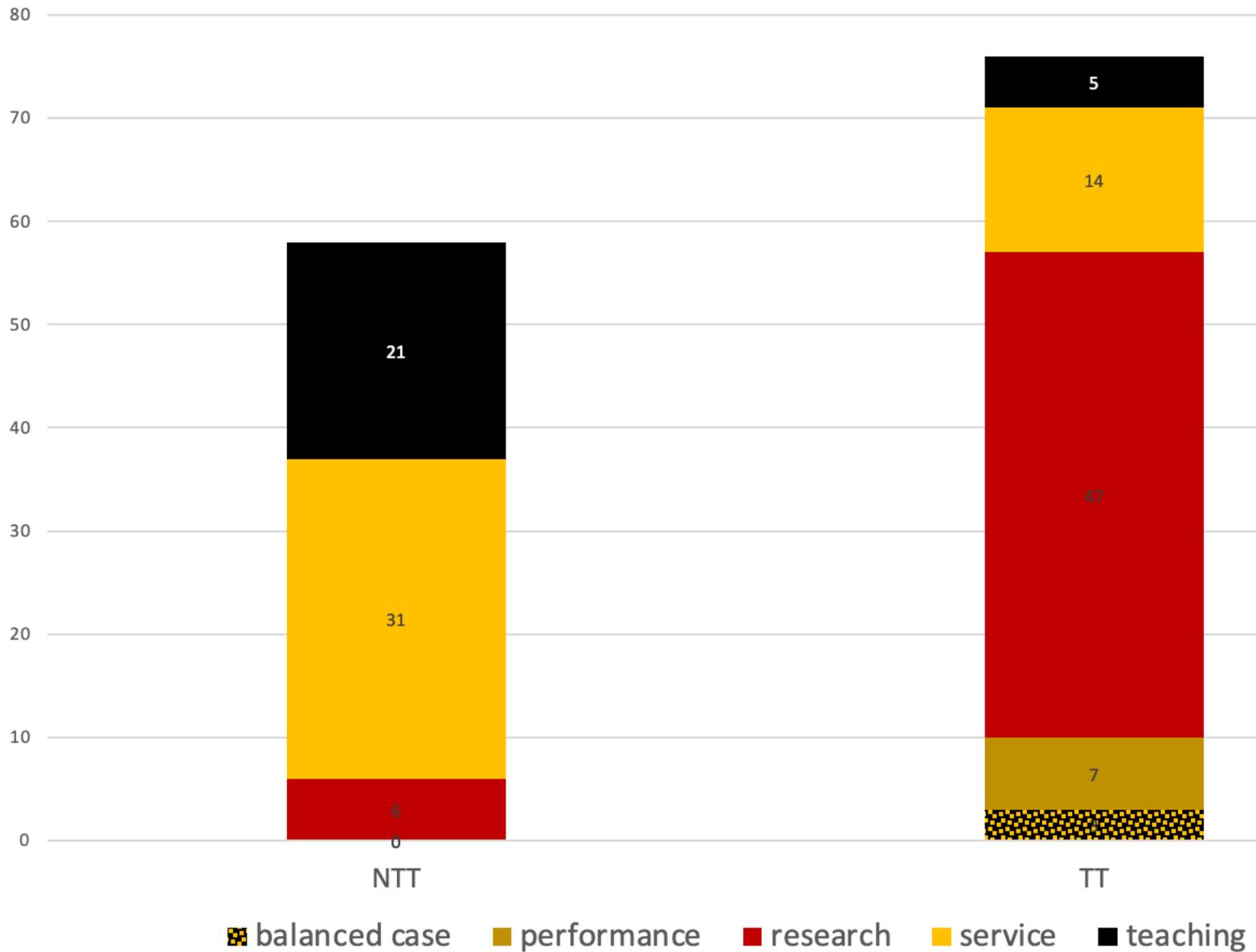
It looks like a big increase from 134 to 163 but, some categories tend to 'fall' during the summer as cases are withdrawn: typically promotion to full and promotion in the clinical ranks have shrinkage.

Year over year, it looks like we are doing better at having people go for full rank (25, 33, 41-so-far).

There was a big bump in teaching professor---these were people who had already qualified for teaching professor before the new guidelines, so they immediately applied. Looks like we will have a more normal pattern going forward.



Areas of Excellence



Out of all tenure track cases (76)

Promotion to associate:

- 21 research cases
- 6 service cases
- 3 teaching cases
- 2 balanced cases
- 5 performance cases

Promotion to full:

- 24 research cases
- 7 service cases
- 2 teaching cases
- 1 balanced case
- 1 performance case

Medicine:

- 9 research cases
- 6 service cases
- 2 teaching cases

- 8 research cases
- 7 service cases

Non-medicine:

- 12 research cases
- 1 teaching case
- 2 balanced cases

- 16 research cases
- 1 teaching case
- 1 balanced case



Out of all NTT cases

Research scientists: 5 to associate ←all from IUSM

Clinical: 31 for service (24 associate, 7 full) ←all **but one** from IUSM
4 for teaching (4 associate) ←2 from IUSM

Senior Lecturer: 2 cases ←none from IUSM

Teaching Professor: 15 cases. ←none from IUSM

One non-IUSM Clinical full was on service: SPEA

The numbers here inform how we design our workshop schedule. Candidates who seek tenure on **service** are encouraged to use School of Medicine workshops and resources.



Question: were any candidates denied P&T?

In the 2020-2021 cycle:

Only one case went all the way to the President and resulted in NO:
promotion to full, tenure track

Withdrawn cases (these would have been withdrawn after the person was entered into the e-dossier system):

- 1 promotion to associate + tenure

- 5 promotion to full, tenure track

- 4 promotion to senior lecturer

- 2 promotion to teaching professor

- 1 promotion to associate clinical

- 1 promotion to full clinical



Part II: P&T Management

1. See [Third Year Review document](#) emailed and in Faculty Affairs Guidance



Accomplishments in rank reminder

Ensure that all levels understand and agree on what will be counted formally as done “in rank.”

ALL work contributes to one’s ‘emerging national reputation.’ However, work done at IUPUI and/or during the specific probationary period, is most important in establishing productivity, quality, and trajectory.

Examples:

- When years of credit towards tenure are given, those years count as ‘in rank.’
- Time spent in a visiting position **generally** does NOT count as ‘in rank.’
- In some fields, work derived from a dissertation is not valued as independent work.
- For librarians, all work done prior to tenure is counted as ‘in rank.’



More on work in rank

From questions and answers:

- If your unit wants to include time as ‘visiting’ as part of in-rank, you are free to do so.
 - Be explicit in third year review and final review letters that this is counted.
 - Be cautious: often people in visiting positions do not have the resources that starting regular tenure-track faculty have.
 - Emphasize to candidates that a *continuing and improving* trajectory is important.
- If your unit hires someone at associate level (with tenure)—they have been at the associate rank at another institution—those years at associate rank DO COUNT as ‘in rank’ for promotion to full.
 - Ensure that they develop an adequate documentation of *teaching* while at IUPUI.

Resting on prior accomplishments = annoying all reviewers
Candidates were hired for their **future**



Teaching (when it's not the area of excellence)

All teaching faculty are expected to:

- *Have peer reviews*
- *Reflect on student input*
- *Continually work to improve teaching*

Do not simply recite numerical scores. Be well-rounded in the appraisal: assess their own statements, mention curriculum development, etc.

Also note when faculty **do more than others**.

Some faculty do more advising, student coaching, peer coaching and curriculum development than others. Having the chair describe this puts their whole faculty case into context.

Check your wording in third year reviews:

- Someone is doing satisfactory and is expected to do satisfactory *if they continue as they have been doing*.
- Someone is not yet satisfactory, *needs to improve* (but you see signs of progress)
- Someone is not yet satisfactory, there is little evidence of effort, and they are in danger of not achieving satisfactory



Formatting and presentation—Third Year

Ideally: *require the correct P&T CV and candidate statement **before submission** to the department committee.*

Committees should emphasize in their feedback:

- Where the candidate is unclear about their focus/topic
- Where the candidate does not make their own unique contribution apparent

Chairs and mentors should emphasize:

- Statements which will need documentation in the full dossier (e.g. statements from co-authors, co-PIs).
- How to describe non-areas of excellence (what is sufficient for satisfactory?)

Final Review: CHAIRS: do NOT 'submit' until the formatting and presentation are acceptable. Once chairs hit 'submit' the e-dossier contents are frozen. New items can be added but nothing in it can be changed.



Sharing materials with external reviewers

- Can use disciplinary CV (instead of or in addition to IUPUI P&T)
- Make the same for all candidates who have the same area of excellence, for all reviewers
- Set up a OneDrive or GoogleDrive (or dropbox or box) folder with copies of relevant items.
- Relevant items:
 - Research cases: disseminated scholarship
 - Teaching cases: syllabi, assignments for key courses
 - Consider inviting candidates to create a showcase packet—each candidate can then create their own.
 - Avoid *only* using student evaluation scores



Question: streamlining the e-dossier

Candidates can EITHER load materials into each relevant folder in e-dossier OR combine all materials in a given section (research/creative activity, teaching, and service) into ONE pdf (pdf format only! No pdf portfolios, though), loaded into the top folder of each section. *Appendices can still have individual items/files.*

You can use these Word templates to organize each section: it has sub-section headings included. Then, save-as-pdf.

1. [Librarian Performance Section](#)
2. [Librarian Professional Development Section](#)
3. [Librarian Service Section](#)
4. [Research Section](#)
5. [Service Section](#)
6. [Teaching Section](#)



Sample Chair timeline: *Non-school of medicine*

1. Fall:
 - Require all candidates to inform you of their intentions NO LATER THAN JANUARY!!!!
 - Begin identifying external reviewers—who? Where from? Who not to contact?
 - Make sure candidate shows candidate statements to multiple readers
2. January-February
 - Make sure candidate is on track to complete candidate statement, CV, and key materials
 - “Save the date” for external reviewers
3. March-April
 - Collect/assemble/review materials for external reviewers
 - Email external reviewers; ensure they have received materials. *Some will want to complete reviews before summer*
4. May-June-July
 - Write assessment of dissemination outlets
 - Receive external reviews
 - Remind external reviewers **SIX NEEDED**
5. August
 - Upload external review documentation and assessment of dissemination
 - Review candidate’s part of e-dossier
 - submit
6. Sept-Oct:
 - Write chair review, addressing primary committee comments
 - Meet with candidate after each level



Question: assessment of dissemination

From Guidelines (see “Chair Responsibility” section):

1. Provide an assessment of the dissemination outlets in the candidate’s area of excellence (or in all areas for a balanced case), such as the quality of journals, peer-reviewed conferences, and venues of presentations or performance. **This assessment must be a separate document in the dossier; it is not acceptable to simply place a marker that asks the reviewer to refer to the chair’s letter or some other place in the dossier.** It is placed in the External Review Letters folder in the eDossier.
2. o Analyze the stature of journals, presses, editions, galleries, presentations, and other means of disseminating the results of the teaching, research and creative activity, or professional service of the candidates, including the quality of electronic publications. This assessment is required. Stature may be reflected by acceptance rates, the nature of peer review (such as the stature of the reviewing agency/organization), or other measures and, whenever possible, these indices should be cited. Although the notation for each journal or other entity should be brief (ordinarily two or three sentences), special commentary may be required when faculty are working in interdisciplinary or cross- disciplinary areas



Address authorship convention for discipline [that is, is the primary author the first, or last, or whatever.]

Additionally, journals devoted to practice as well as theory development in teaching and professional service may not be as widely known or understood, even by colleagues within the same department, compared to other scholarly journals. Special care should be taken in assessing the stature of such journals or presses. In circumstances where publication occurs outside the usual disciplinary journals or presses, chairs may wish to seek an assessment of the stature of these publications from chairs or deans in other disciplines. In order to promote and encourage interdisciplinary teaching, research and creative activity, and service, IUPUI encourages dissemination of results in appropriate media of high quality even when these outlets are unusual for the discipline. Peer review of the material, therefore, is especially important. Whenever a chair is not the appropriate administrative officer to provide an assessment of the media of dissemination, deans should arrange to include this information.”

Chairs should have ongoing discussions with pre-tenure faculty about where they are publishing. New fields may well reside in newer journals, so avoid relying on inappropriate criteria to assess the outlets.

[Researchmetrics.iupui.edu](https://researchmetrics.iupui.edu) can assist.



Career review....for all not at full

ACA-21 Faculty and Librarian Annual Reviews

1. All academic appointees shall receive annual merit and salary reviews.
2. Academic appointees of less than full rank and probationary appointees shall also receive annual career progress reviews on their progress toward tenure and/or promotion. Career progress reviews may be conducted separately or at the same time as annual merit and salary reviews.

Responsibility of the administrator

Encouraged: peer reviews



Question on silos/review committees

A “silo” is what e-Dossier calls the voting group for a particular case. Membership in a silo can be copied from silo to silo, e.g. from voting for “associate professor rank” and for “tenure.”

Each candidate CAN have a unique voting group—a unique silo. This is common where units are small, or the rank sought is high.

Your school admin assistant can work through this with Karen Lee (klee2@iupui.edu)

People should not be part of a silo if they will not be engaged in reviewing a case. (Someone who votes at another level CAN be in a silo (they would ‘abstain’) at a different level.)



Question: disagreement between department and school levels

Campus P&T Guidelines, page 68 (Dean's responsibilities section):

“When divergent evaluations of a dossier result in different recommendations on tenure, the unit committee may wish to consult with the primary committee and/or department chair. The dean should ensure that such consultation, when necessary, has occurred before the dean considers a case. The consultation should note the relative importance of criteria, principles, or evidence used in the evaluation that led to the contrary recommendation. The consultation must be noted in the unit committee’s report, including notice of whether the vote of a committee was changed as a result. When there are divergent evaluations with respect to promotion, the unit committee should provide feedback to the primary committee. The report from each committee should account for negative votes based on committee discussions as opposed to submitting a minority report, which is not allowed. The reports should be written with sufficient detail to fully review the candidate’s qualifications. It is strongly recommended that the letter address the criteria as listed in the Reviewer’s Summary Evaluation.”

See next slide for timing



Disagreements

Timing:

Must occur *after the department (primary) and/or chair* votes and letters are uploaded

Must occur **before** the school letter is finalized: “The consultation must be noted in the unit committee’s report, including notice of whether the vote of a committee was changed as a result.”

←so, either have a draft ready, then consultation, then final report; or, final report A, consultation, then final report B which includes results of consultation.

Is not required.

Might be triggered by request of the *dean* (“has occurred before the dean considers a case”) or by request of the school committee, facilitated by the dean.



Part III: What starts for 2021-2022 cases

1. Teaching professor reviewer guidelines
2. Expiration of COVID-related provisions
3. Diversity information and markings (optional)
4. *Note IUPUI has a new set of institutional peers*



Teaching Professor

Per faculty council vote, for cases up through the 2023-2024 cycle,

External reviewers may be:

- Teaching professors or the equivalent at other universities (OAA has a list of other universities with this rank).
- Associate rank tenure track
- Full rank tenure track

Internal reviewers may be:

- Teaching professors
- Clinical full professors
- Associate rank tenure track
- Full rank tenure track

“Or the equivalent” means a non-tenure track faculty type that concentrates on teaching.



Sunset of COVID-related provisions

- Reviewer letter signatures:
 - Transition to actual signatures and letterhead (letters already received do not need to be re-sent.)
- NEED six external reviewers
 - Contact OAA if you are having difficulty (have ready list of those already contacted)
- Committee meetings:
 - Avoid using Zoom; faculty are expected to 'return to work' / campus activity
 - Campus committee WILL meet in person. Probable slight reduction in meetings with a more streamlined 'non-controversial case' process.
- COVID tenure clock extensions:
 - Anyone who already has an extension can either take the year or submit in the original year.
 - If someone encounters difficulties in their research for any reason they still may request an extension of the tenure probationary period: old rules: request from chair, then to dean, then to Margie Ferguson.
 - Family formation leaves automatically result in an extension (can be waived).



Diversity, Equity, and Inclusion

Optional:

- In the CV, use a # to indicate items that are DEI-related
 - # = DEI
 - * = work in rank
 - <dagger> = student co-authors. *If faculty have difficulty formatting a dagger, just have them pick something consistent, that is NOT a * or a #*
- Units **may** require or allow DEI statements. Those can be appended to the file, “candidate statement.” They do not count against the 7 page limit on candidate statements, but do count towards the 50 page limit for all items outside the CV and appendices.
- **Not yet: Integrative DEI cases**
 - Except maybe for Social Work.
 - **SCHOOLS** must have their own standards in place before any faculty can use this



Part IV: Upcoming issues

Campus level

- More case types
- Peer reviews of teaching
- Dossier and/or CV simplification
- Metrics for impact (scholarly and local)
- NTT representation at campus committee

A new ad hoc committee will be constituted to work on campus-level issues.

School and department work. (see this [timeline](#))

- Tenure-track integrative DEI criteria (and NTT if possible)
- Annual review criteria: integrating DEI into annual reviews
- Procedural: P&T departmental criteria, P&T processes



Campus Ad Hoc Committee to-dos

1. Integrative DEI Case type for non-tenure track faculty
2. Integrative Community Engaged Scholarship Case type
3. Peer evaluation of teaching
4. Metrics for 'local impact,' more metrics for scholarly impact
5. NTT on campus P&T committee
6. Revision of documentation requirements
7. Guidance on handling COVID-related impacts on career progression

Institutional values?

Where to fit CTL staff?

Generic integrative case?

About half of all units already have NTT members

Extending the clock was easy. Doing something more nuanced will be harder.



Name-that-impact

“Local” impact

Something that typically (though not exclusively) influences the lives and outcomes of non-scholarly audiences

Scholarly impact

Something that typically (though not exclusively) influences other academics in a scholarly discipline

Local Public. CommunitySituatedLocalized

Prizes Galore to the Winner!

During this session, Steve Mannheimer suggested and Deb Burns agreed: “Community.”

We would need to adjust terminology for community-engaged scholarship. Stay tuned!



School and Department work

1. Integrative DEI criteria (for tenure track, and if possible NTT) at school and if possible department level
2. Annual review and diversity, equity and inclusion: OAA has set up a [folder](#) in Faculty Affairs Guidance with examples as they arise.
3. P&T processes and criteria
 - Reviewing current processes, updating
 - Please have P&T processes (who is on committees, voting, etc.) in EITHER your P&T guidelines OR your school bylaws/constitution (with cross-references)
 - Please provide to OAA updated school guidelines ALONG WITH department guidelines (page has been revised so you can submit multiple documents—not everything has to be in one pdf.)
 - Make criteria clearer, more transparent, and more consistent: “Slow thinking” that goes by clear rubrics with explicit documentation is less biased than “fast thinking.”



Part V: Programming for 2022-2023

1. From 2020-2021:
 - division by area of excellence AND faculty type
2. New didactic sessions
3. Hands-on *workshops* for candidate statements



Programming: Continuing Offerings

Some sessions will be in-person only, some Zoom only, some both.

Promotion in Lecturer Ranks

Service or Balanced Case-Clinical *non-Medicine*

Teaching-Clinical

Balanced Case-Tenure Track

Community-Engaged-Tenure Track

Research-Tenure Track

Teaching-Tenure Track. *Service for TT-Non IUSM? Ask me*

Promotion for Women

Underrepresented Faculty

Dossier Prep x 3



New sessions

Integrative Diversity, Equity, and Inclusion case
for candidates, mentors, and administrators

Three-year Reviews
for candidates

Candidate statements:

- Structure and Presentation: Zoom, lecture-only: Sept. 23
 - Prerequisite for:
- Hands-on, computer lab workshop
 - Oct. 12
 - Nov. 10
 - Dec. 3



What else?

Integrative DEI case—workshop for those writing the new guidelines for schools?

Train-the-trainer: equitable P&T decision-making

School or department-specific consulting/work always available!



Contacts needed

Responsible for	School	OAA
P&T silo/set-up; routing support	Administrative assistant	Karen Lee
School rep. to campus P&T	Faculty member	Karen Lee
Chair of school P&T committee	Faculty member	Karen Lee Rachel Applegate
Faculty governance leader	Faculty member	Rachel Applegate Karen Lee
Also: Sabbatical committee rep	Faculty member	Olivia Harding
Any new dept chairs	Faculty member	Rachel Applegate
Any new associate dean/Fac Affairs	Faculty member	Rachel Applegate
Any admin support for faculty affairs (hiring, reviews, AAR letters)	Administrative assistant	Olivia Harding Rachel Applegate



New eDossier Administrators?

Please contact **Karen Lee** for help with eDossier Routing: klee2@iupui.edu.



Thank you!

Rachel Applegate
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On-Campus August 2nd!

Zoom options of course



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FULFILLING *the* PROMISE