

To: Chairs
College of Arts and Sciences

From: Bennett I. Bertenthal, Dean

Subj: Promotion Procedures for 2009-10

Date: April 10, 2009

If you expect to recommend anyone from your department for promotion to the rank of full professor next year, please keep the following guidelines and schedule in mind. Also note that in response to continuing difficulties with obtaining external letters, we are moving up the deadlines for obtaining letters from referees.

The College views promotion to full rank as a most important decision. Full professorship represents the attainment of a position of leadership at the university and in the candidate's field, through contributions in research or pedagogy that significantly raise the level of knowledge in the discipline, and service that advances the university's various missions. Conferral of the rank of full professor at this University represents our conception of excellence to the scholarly community.

Promotion to full rank is an affirmation of the significance of a colleague's career. An application for promotion which is turned down at any level is a disheartening signal which can lead to a faculty member's disenchantment with the university. In some instances, it may also lead to a colleague's departure. For all these reasons, it is critically important that a case for promotion should only be put forward when a strong case can be made.

The promotion criteria described below are based on statements by the College's Policy Committee and relevant campus policies in the *Academic Guide*, which require that all candidates be evaluated with regard to contributions in research, teaching and service. In evaluating cases, the College Promotion Committee and the Dean use the following criteria:

- (1) If research or other creative work is the primary criterion for promotion, we expect the candidate to have achieved a position of leadership in a substantial field. This must be demonstrated by evidence of letters, both internal and external, and by any other pertinent documentation in the dossier.
- (2) If the primary criterion for promotion is teaching, it should be comparable to that of the most effective teachers at this institution and its peers. The faculty member must have demonstrated a superior ability and interest in stimulating in students (at all levels) a genuine desire for study and creative work. Candidates should also provide evidence of a significant educational impact on their particular discipline, both inside and outside of IU. Evidence of outstanding teaching might include indications of the success of students, student evaluations, publication of textbooks or teaching materials, active participation in organizations devoted to teaching and so forth. Please also refer to the *Policy on the Evaluation of Pedagogical Practices* adopted in 2006 (attached).
- (3) We do not anticipate that candidates in the College will be put forward for promotion primarily on the basis of their service contributions. If, however, there are such exceptional cases, then the documentation should demonstrate an

impact of this service on the individual's discipline as well as contributions to this institution.

(4) In a balanced case, the candidate's overall contribution to the university must be shown to be comparable in excellence to that of a candidate with a single primary area. In research, this means evidence of significant contribution to a substantial field. In teaching, it means evidence of an important contribution to teaching inside this university and, where possible, outside of it. And in service, it means evidence of significant impact on the university and/or one's discipline.

(5) Regardless of a candidate's area of primary strength, the dossier must demonstrate effectiveness in both research and teaching.

(6) It is also expected that all candidates will make a positive contribution to the professional environments of their departments and will make a positive service contribution to the University.

(7) There should be strong indications in the dossier that the candidates will maintain and enhance the level of performance on which the awarding of promotion is to be based.

These College standards derive from campus guidelines. I call your attention to the *Criteria for Promotion* in the *IU Academic Handbook* (2000).

Teaching, research and creative work, and services which may be administrative, professional, or public are long-standing University promotion criteria. Promotion considerations must take into account, however, difference in mission between campuses, and between schools within some campuses, as well as the individual's contribution to the school/campus mission. The relative weight attached to the criteria above should and must vary accordingly. A candidate for promotion [or tenure] should normally excel in at least one of the above categories and be at least satisfactory in the others. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University over time. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments.

Both the departmental recommendation and the personal recommendation of the chair should indicate the primary criterion for their evaluation of a candidate. The Promotion Committee will review the case on this basis. Comparisons of research, teaching and service are to be made with respect to persons who have recently been promoted to full rank at major research universities. Departments and candidates should be explicit about the criteria for promotion, and this should guide construction of the dossier. **This also has implications for the letters and materials sent to the referees.** For example, if a department puts forward a candidate based on teaching, the letter and materials sent to referees should indicate that the departmental review will be based on teaching as the primary criteria.

The Promotion Committee also considers part-time faculty who are recommended for promotion to the rank of Associate Professor, Part-Time, or Professor, Part-Time. Promotion of part-time

faculty is an appropriate acknowledgment of meritorious contributions to the College. Evaluation for promotion should focus on the tasks assigned to a part-time member of the faculty. Promotion does not alter the rights and responsibilities of part-time faculty. The College will also consider non-tenure track faculty promotions in accordance with the IUB Non-Tenure-Track Academic Appointee Handbook <http://www.indiana.edu/~deanfac/ntthbk/ntthbk.html>

The College Policy Committee requires a total of eight outside letters for each dossier. These eight letters will be obtained by the department on behalf of the Dean, based upon a list of twelve names of outside referees, six selected by the candidate and six selected by the department. All outside letters will be available to all full professors in your unit for deliberations on each case. See below for more details and deadlines. **The Dean reserves the right to solicit additional letters independent of the department.** (See below, April 30 deadline.)

Candidates for tenure or promotion now have access to the outside letters. (By action of the Bloomington Faculty Council, we are no longer permitted to offer candidates for tenure and promotion the option to waive their right to see external letters solicited in evaluating their work.)

Deadlines:

April 30, 2009 List of twelve outside referees: six selected by the candidate, six by the Department, and a copy of candidate's CV.

Please forward to this office the list with twelve outside referees for each candidate being considered for promotion during 2009-10. The candidate should select six names and the department should select six names. The Executive Associate Dean will then review the list, indicate his preferences, and return the list to you. It would be helpful if you and your colleagues develop a list of alternative names in the event you encounter difficulties obtaining outside letters this summer.

For each name, please identify the referee's institutional affiliation, academic rank, and describe the nature of any contacts or relationships between the candidate and potential referees (e.g., supervisor, collaborator). A brief explanation for selecting a referee should be included for persons who are not employed at peer institutions. **The Promotions Committee expects that most referees will be full professors and will not be close associates or collaborators of the candidate.**

Along with the list and the CV, please also provide a copy of your department's current promotion criteria. Please indicate if you anticipate that your candidate(s) will be put forward on the basis of outstanding research, outstanding teaching, or as a balanced case so that you may obtain appropriate external evaluation. Please send this material to Dawn Edwards in the Dean's office. Robert Becker can assist with questions or concerns about letters and dossier preparation.

May 2009 Contact Referees; Mail Packets of Materials to Referees

After the list of outside reviewers is returned with the Dean's preferences, contact should be established immediately with the eight potential referees by sending them a copy of the candidate's CV, the College's *Criteria for Promotion to Full Professor*, your department's promotion criteria, and a letter requesting them to serve as a referee before you send them the appropriate material. (See sample letter #1.) If any decline, the returned list will indicate preferences for alternates that you can then contact. If you need to use additional names,

please contact Dawn Edwards dawedwar@indiana.edu. It would be helpful if you have ready an alternate list of referees.

Mail packets of materials to external referees who have agreed to provide an assessment. Depending on the nature of the case (research, teaching, balanced case) use an appropriate version of sample letter #2 (attached) as a cover letter. You should work with the candidate to prepare eight identical packets of materials (articles, books, etc.) for the external referees. Please provide a typed list of the material. Packets should include materials that correspond to the principal criterion (e.g., research, teaching, balanced case) used in the department's assessment of a candidate. Also include another copy of the College's *Criteria for Promotion to Full Professor* and the department's promotion criteria.

May 29, 2009 **Send College a list of names of external referees who have agreed to supply letters of reference**

October 5, 2009 **Dossier due**

Promotion dossiers must be received in this office no later than 5:00 p.m. on Monday, October 5. A complete curriculum vitae and bibliography of publications should be provided in all dossiers, with refereed publications clearly identified. Please be sure to provide a table of contents for the dossier. Student evaluations, peer evaluations, commentary from Ph.D. and M.A. advisees and from AIs supervised by the candidate are a major source of information in the teaching category. Teaching evaluations should be tabulated numerically and a representative set of comments included for each course. Please refer to the "Guidelines for Promotion and Tenure" <http://www.indiana.edu/~deanfac/download/ptguide2008.doc> provided by the Vice Provost for Faculty and Academic Affairs in preparing a candidate's dossier.

These complex procedures help the College and the University assure each candidate a fair and full consideration in a decision of great personal and institutional importance. Please do not hesitate to contact me at any time concerning the content of the dossiers. Thank you for your help.

CRITERIA FOR PROMOTION TO FULL PROFESSOR

The criteria described below reflect the recommendations of the Chairs Advisory Committee and the College Policy Committee on the evaluation of candidates for promotion decisions. All candidates will be evaluated with regard to their contributions in the areas of research, teaching and service as stipulated in the Dean of Faculties' Academic Guide. It is expected that the candidate should normally excel in at least one of the above categories and be satisfactory in the others. In exceptional cases the candidate may present evidence of a balance of strengths. In all cases, the candidate's total record should be assessed by comprehensive and rigorous peer review. Specifically, the College Promotions Committee and the Dean will use the following criteria in evaluating the relevant categories:

- (1) If research or other creative work is the primary criterion for promotion, we expect the candidate to have achieved a position of leadership in a substantial field. This must be demonstrated by evidence of letters, both internal and external, and by other pertinent documentation.**
- (2) If the primary criterion for promotion is teaching, it should be comparable to that of the most effective teachers at this institution. The faculty member must have demonstrated a superior ability and interest in stimulating in students (at all levels) a genuine desire for study and creative work. Candidates should also provide evidence of a significant educational impact on their particular discipline, both inside and outside of Indiana University. Evidence of outstanding teaching might include indications of the success of students, student evaluations, publication of textbooks or teaching materials, active participation in organizations devoted to teaching, and so forth.**
- (3) Generally, we do not anticipate that candidates in the College will be put forward for promotion primarily on the basis of their service contributions. However, if there are such exceptional cases, then the documentation should demonstrate an impact of this service on the individual's discipline as well as contributions to this institution.**
- (4) In a balanced case, the candidate's overall contribution to the university must be shown to be comparable in excellence to that of a candidate with a single primary area. In research, this requires evidence of significant contribution to a substantial field. In teaching, it requires evidence of an important contribution to teaching inside this university and, where possible, outside of it. And in service, it requires evidence of significant impact on the university and one's discipline.**
- (5) In all cases, the dossier must demonstrate effectiveness in both research and teaching.**
- (6) It is also expected that all candidates will make a positive contribution to the professional environments of their departments and will make a positive service contribution to the University.**
- (7) There should be strong indications in the dossier that the candidates will maintain and enhance the level of performance on which the awarding of promotion is to be based.**

The College Policy Committee has also clarified the populations within which candidates for promotion are to be evaluated. Evaluations of research, creative activity, and teaching are to be made with respect to individuals who have recently received promotion to Full Professor or who will soon be considered for such promotion at major research universities. In addition, the College Policy Committee has formulated a policy for evaluation of classroom teaching stipulating the kinds of information on classroom teaching that must accompany the dossier for promotion.

Policy on the Evaluation of Pedagogical Practices

Classroom teaching is central to the educational mission of the University. It is therefore essential that sufficient thought be given to evaluating its effectiveness and to maintaining scholarly rigor. Such evaluation should play a meaningful role in decisions regarding salary, promotion, and tenure. Just as the evaluation of scholarly and creative activity is best made through converging evidence of various kinds from multiple sources, depending on the particular discipline, teaching effectiveness is best evaluated by drawing on multiple sources and kinds of information.

In evaluating teaching performance, a department should use whatever methods of evaluation work best in the particular discipline. It is assumed, however, that a variety of methods will come into play. These methods may include: written course evaluations by students, peer reviews, efforts to update old and develop new courses, evidence of student success, and time and effort devoted to students both outside the classroom and in thesis and dissertation supervision.

Both departmental and College tenure and promotion committees should value each of multiple sources of information about teaching effectiveness in the classroom in arriving at their decisions. A written evaluation of teaching effectiveness should be included in tenure and promotion dossiers.

The College Policy Committee asks that departments include the following information in all tenure and promotion dossiers, and that they draw on similar kinds of information when evaluating performance for the purpose of salary increases:

1. Departments should evaluate the teaching effectiveness of assistant and associate professors based on multiple peer observations of classroom teaching. Ideally, there should be several such observations and written evaluations over several courses and over several years to provide insight into the improvement and maintenance of quality teaching.
2. Teaching dossiers should normally include sample syllabi, assignments, and exams. Tenure and promotion dossiers should also include a written evaluation of this evidence by the Department and its Chair.
3. Student evaluations for all courses should be included in the record. It is recommended that each set of evaluations include some questions requiring discursive responses.

An annual evaluation of teaching should also be incorporated into the departmental process of determining salaries in order to ensure that excellent teaching is recognized and rewarded. Chairs should make clear to the Dean the means by which the department identifies and rewards meritorious teaching, and the Dean, in turn, should insist that teaching play a significant role in the determination of individual salaries.

College Policy Committee
2006

FIRST LETTER

Dear :

Professor _____ is being considered for promotion to Full Professor in the Department of _____ at Indiana University. Your name has been suggested as a possible external referee to help us evaluate his/her credentials. On behalf of Indiana University's Dean of the College of Arts and Sciences, I therefore write to ask you to help us make a judicious assessment of Professor _____'s scholarship and of his/her suitability for promotion at Indiana University. I very much hope you will agree to do so.

Indiana University is strongly committed to academic excellence. Thus, we are particularly interested in knowing whether Professor _____ is among the very best of his/her peers. In particular, we want your opinion of the importance of his/her work, its range and depth, and the quality of its presentation. We are also interested in learning whether or not the work appeared in what you consider important or appropriate places, and whether his/her scholarship represents the work of a person who has achieved a position of leadership in a field of scholarly endeavor. Finally, we ask your opinion whether Professor _____'s work should result in the awarding of promotion to Full Professor in a university of first rank.

I am enclosing the statement given to all department chairs and to the promotion candidates describing the criteria that the College Promotions Committee and the Dean use in reaching its decision. We are also enclosing a copy of our department's promotion criteria and Professor _____'s most recent curriculum vitae.

It would be useful for us to know whether and in what ways you are acquainted with the candidate and whether Professor _____'s work was known to you previously. Promotion decisions at Indiana University are also based on teaching and on contributions in the area of University, state, national and professional service. If you have any knowledge of the candidate's abilities and contributions in these areas, your comments would be most welcome.

N.B. The following paragraph must be included in the letter:

In most cases your letter will be seen only by a small group of faculty members serving in a promotion advisory capacity. Although letters of recommendation are normally not disclosed to candidates, the candidate may request access to, and the University is legally compelled to give access to, the entire dossier

I realize that my request will doubtless be an incursion on your time and generosity, but nonetheless I hope you are able to help us review Professor _____'s credentials for promotion. As you know, a review by outside experts, like yourself, is essential to this process. I thank you for your consideration of this request.

We would very much appreciate your response by _____. Please contact _____. If you agree, we would expect your review by _____. As soon as we hear from you, we will forward all of Professor _____'s pertinent material. Please do not hesitate to contact me should you have any questions or require additional information.

Sincerely,

[CHAIR]
Enclosures

LETTER #2 – RESEARCH

Dear :

On behalf of the College Dean, I thank you very much for agreeing to serve as an external referee for Professor _____, Department of _____, Indiana University, who has been nominated for promotion to Full Professor this year. His/her materials are enclosed. We appreciate very much the time and effort involved in such evaluation and thank you in advance for your interest in Professor _____'s future.

For your information we are once again enclosing a copy of the criteria for promotion as established by the College of Arts and Sciences and a copy of our department's promotion criteria. In addition, I remind you that we are particularly interested in your addressing the following questions as part of your review:

1. Does Professor _____ rank among the very best of his/her peers?
2. How would you rate the importance of his/her work, its range and depth, and the quality of its presentation?
3. Has the work appeared in what you consider important or appropriate places?
4. Does his/her scholarship represent to you the work of a person who has achieved a position of leadership in a substantial field of scholarly endeavor?
5. Do you think Professor _____'s body of work should result in promotion at a university of the first rank?

If there are any additional materials you require or if you have any questions, please feel free to contact me. We would appreciate receiving your letter of evaluation by _____.

Sincerely,

[Chair]

Enclosures

LETTER #2 — TEACHING

Dear :

On behalf of the College Dean, I thank you very much for agreeing to serve as an external referee for Professor _____, Department of _____, Indiana University, who will be nominated for promotion to Full Professor this year. His/her materials are enclosed. We appreciate very much the time and effort involved in such evaluation and thank you in advance for your interest in Professor _____'s future.

For your information we are once again enclosing a copy of the criteria for promotion as established by the College of Arts and Sciences and a copy of our department's promotion criteria. Professor _____ has indicated that he/she wishes teaching to be the primary criterion. It is difficult to get external evaluation of teaching, and we of course will have information that was gathered here. But it has been suggested that you may be able to provide some evaluation of aspects of Professor _____'s teaching, and we would find your answers to the following questions most helpful.

1. Is Professor _____'s teaching comparable to that of the most effective teachers in his/her field? On our campus or your campus?
2. Do you have evidence that Professor _____ has superior ability and interest in stimulating in students a genuine desire for study and creative work? Students at what levels?
3. Has the candidate made a significant impact on teaching in his/her discipline?
4. Does his/her scholarship represent to you the work of a person who has an effective record in a substantial field of scholarly endeavor?
5. Do you think Professor _____'s teaching, together with his/her research record, should result in the awarding of promotion at a university of the first rank?

We have already forwarded to you curriculum vitae for Professor _____. If there are any additional materials you require or if you have any questions, please feel free to contact me. We would appreciate receiving your letter of evaluation by _____.

Sincerely,

[Chair]

Enclosures

LETTER #2 — BALANCED CASE

Dear:

On behalf of the College Dean, I thank you very much for agreeing to serve as an external referee for Professor _____, Department of _____, who has been nominated for promotion to Full Professor this year. His/her materials are enclosed. We appreciate very much the time and effort involved in such evaluation and thank you in advance for your interest in Professor _____'s future.

According to this university's Academic Handbook, "Teaching, research and creative work, and services which may be administrative, professional, or public are long-standing University promotion [and tenure] criteria." For your information we are once again enclosing a copy of promotion criteria established by the College of Arts and Sciences and a copy of our department's promotion criteria.

In 1994 the University Faculty Council adopted the following addendum to the Handbook:

A candidate for promotion [or tenure] should normally excel in at least one of the above categories [teaching, research and creative work, and service] and be at least satisfactory in the others. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university over time. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments.

Professor _____'s tenure case has been put forward as an "exceptional" case as described above. We are particularly interested in your addressing the following questions as part of your review of his/her teaching, research, and service:

1. Is this an "exceptional" case? Does Professor _____ rank among the best of his/her peers in overall performance?
2. How would you rate the importance of his/her work in teaching, research, and service, its range and depth, and the quality of its presentation?
3. Has the research appeared in what you consider important or appropriate places? Has the teaching been recognized in important or appropriate places outside this university? Has the service had similar recognition?
4. Does his/her scholarship, teaching, and service represent to you the work of a person who has achieved a position of leadership in these areas?
5. Do you think Professor _____'s body of work should result in promotion at a university of the first rank?

We have already forwarded to you a curriculum vitae for Professor _____. If there are any additional materials you require, or if you have any questions, please feel free to contact me. We would appreciate receiving your letter of evaluation by _____.

Sincerely,

[Chair]

Enclosures

