

To: Chairs
College of Arts and Sciences

From: Bennett I. Bertenthal, Dean

Subj: Tenure Procedures for 2009-10

Date: April 10, 2009

It is time to begin the process of recommending to the College candidates for tenure from your department. This memo provides the information you will need for this process. As you know, the College Tenure Committee and the Dean's office believe that one of the most important ways to assure IU's continued research and teaching excellence is to uphold the highest standards in the granting of tenure. I urge that your evaluations be made with the thought of endorsing only candidates who are among the best of their peers at this or comparable major research universities.

The following statements with regard to evaluation of candidates for tenure decisions derive from recommendations by the College's Policy Committee in conformity with relevant campus policies. All candidates will be evaluated with regard to their performance in the areas of research, teaching and service as stipulated in the Academic Guide <http://www.indiana.edu/~deanfac/acadguid/e.html> provided by the Vice Provost for Faculty and Academic Affairs. Based on recommendations of our Policy Committee, the College Tenure Committee and the Dean use the following clarification of the criteria in evaluating the relevant categories:

- (1) If research or other creative work is the primary criterion for tenure (this is the default expectation for most units in the College), the candidate must have achieved, or clearly be developing, 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 tenure is teaching (this is almost never the case, IUB being a research university), it should be comparable to that of the most effective teachers at this institution. Candidates should also provide evidence of a significant educational impact on their particular discipline, both inside and outside of Indiana University.
- (3) Generally, we do not anticipate that candidates in the College will be put forward for tenure primarily on the basis of their service contributions.
- (4) In exceptional cases, a candidate may present evidence for the award of tenure as a balanced case. 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 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 candidate will maintain and enhance the level of performance on which the awarding of tenure is to be based.

These College standards derive from campus guidelines. I call your attention to the *Criteria for Faculty Tenure* in the Academic Guide:

“Differences of mission between schools and departments are such that the relative weight attached to teaching, research, and service frequently vary considerably. A candidate for tenure (or promotion) should normally excel in at least one of the three categories (teaching, research/creative activity, 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 or comparable benefit to the university. In all cases, the candidate’s total record should be assessed by comprehensive and rigorous peer review. The granting of tenure is not only a recognition of past achievement but a sign of confidence that the individual is capable of greater responsibilities and accomplishments. In addition, the sections of the Indiana University Academic Handbook on criteria for promotion labeled ‘Teaching’ and ‘Research and Creative Activities,’ apply also to the faculty member being considered for tenure. Consideration should also be given to the professional contribution made outside the faculty member’s own department or school, as well as to contributions made to the total intellectual climate of the University.”

Both the departmental recommendation and the personal recommendation of the chair should indicate the primary criterion for their evaluation of a candidate. **The Tenure Committee will not choose a different primary criterion for a positive recommendation.** Please note that the *Criteria for Faculty Tenure* refers to “balanced cases” as “**exceptional cases**” and not as a routine alternative for cases that otherwise do not meet criteria for tenure. Departments and candidates should be explicit about the grounds for tenure, and this should guide construction of the dossier. **This also has implications for the letters and materials sent to the referees.**

The College Policy Committee has also clarified the populations within which candidates for tenure are to be evaluated. **Evaluations of research, creative activity, and teaching are to be made with respect to individuals who have recently received tenure or who will soon be considered for tenure at major research universities. You must choose external referees accordingly.** For teaching, please review the “Policy on the Evaluation of Pedagogical Practices” adopted in 2006 (attached).

All assistant professors that are granted tenure on the Bloomington Campus will automatically be promoted to associate rank and need not be considered for promotion separately. If the decision regarding tenure and promotion to full rank is to be made at the same time, please indicate this clearly at the beginning of the dossier. In such cases, you should have the appropriateness of promotion to full rank addressed in internal and external referee letters.

I urge that only in exceptional cases should candidates be considered for early tenure. **It is important for you to understand that a candidate may be considered for tenure only once.** Such cases should be discussed with me before a full dossier is prepared.

Eight outside letters are needed for each dossier. We no longer distinguish between “department” and “College” letters. All outside letters will be available to the tenured faculty for its deliberations on a case. These eight letters will be obtained by departments on behalf of the Dean, based on a list of twelve names of outside referees, half selected by the candidate and half by the department. See below for more details and deadlines. **The dean reserves the right to solicit additional letters independent of the department.**

Please note that candidates for tenure and promotion now have access to the outside letters and to the entire

dossier. Please also note the following excerpt from the UFC policy, Procedures for Faculty Tenure (4/23/91):

“The dossier constructed in consultation with the candidate 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.”

Deadlines:

April 30, 2009 List of twelve outside referees, half selected by the candidate, half by the Department
Candidate's CV
Current departmental tenure criteria
Basis for tenure (research, teaching, service, balanced case)

Please forward to this office the list with twelve outside referees for each candidate being considered for tenure during 2009-10. The candidate should select six names and the department should select six names. The 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. **You must indicate clearly those names suggested by the candidate and those suggested by the department.**

For each name, please identify the referee's institutional affiliation, academic rank, and contacts or relationships with the candidate (e.g., supervisor, collaborator). Also, please include adequate indication of the referee's qualification and reputation in the field. It is the normal expectation of Tenure Committees that most referees will be full professors and will not be close associates of the candidate.

Along with the list and the CV, please also provide a copy of your department's current tenure 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. This information should be sent to Patti Powell (ppowell@indiana.edu) in the Dean's office.

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 immediately established with the eight potential referees by sending them a copy of the candidate's CV, a copy of the College's *Tenure Criteria*, the department's tenure criteria, and a letter requesting them to serve as a referee before you send them the appropriate material. (Sample letter is attached.) 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 Patti Powell. It would be helpful if you have ready an alternate list of referees.

Mail packets of materials to external referees who have agreed to supply 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. **It is the chair's responsibility to work with the candidate to prepare a dossier that truly and clearly reflects the candidate's accomplishments and meets the university's requirements. 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 *Tenure Criteria*.

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

September 25, 2009 Dossier due

Tenure dossiers must be received in this office no later than 5:00 p.m. on **Friday, September 25**. A complete curriculum vitae and bibliography of publications should be provided in all dossiers, with refereed publications clearly identified. **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. Summaries of teaching evaluations should be tabulated numerically and a representative set of comments included on a cover sheet for each course. As far as possible, please interpret student evaluation data within your departmental context: e.g., “this introductory course is a challenge for even our most experienced teachers, and this score is close to the departmental norm for this course.”**

A table of contents should be placed at the beginning of the dossier. Please refer to the Vice Provost for Faculty and Academic Affairs' "Guidelines for Promotion and Tenure"

<http://www.indiana.edu/~deanfac/download/ptguide2008.doc> in preparing a candidate's dossier.

Please note that **the chair is expected to provide an evaluation of the candidate’s strengths and weaknesses independent of the department committee’s, and provide a recommendation on tenure independent of the departmental vote.** The chair’s letter should adequately address and interpret the positives and negatives in the dossier, including minority votes and any critical comments contained in external letters, or blemishes in student evaluation. Chairs’ letters are typically 2-3 pages long.

Please note that the department chair is required to inform the candidate of the department vote and the chair’s recommendation immediately after the dossier is sent to the dean’s office.

While the complexity of these procedures and their implementation at the various levels of the University often challenges the expertise of the hardiest bureaucrat, the procedures do help the College and the University assure each candidate a fair and full consideration in a decision of utmost personal and institutional importance. Please feel free to contact me if you have any questions regarding the tenure process.

COLLEGE OF ARTS & SCIENCES TENURE CRITERIA

The Chairs Advisory Committee and the College Policy Committee have spent a good deal of time working out statements with regard to evaluation of candidates for tenure decisions. The criteria described below reflect their recommendations. All candidates will be evaluated with regard to their performance in the areas of research, teaching and service as stipulated in the Dean of Faculties' Academic Handbook. 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 committee and the Dean use the following criteria in evaluating the relevant categories:

- (1) If research or other creative work is the primary criterion for tenure, the candidate must have achieved, or clearly be developing, 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 tenure 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 tenure primarily on the basis of their service contributions. However, if there are such exceptional cases, then the documentation should demonstrate the 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 or 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 candidate will maintain and enhance the level of performance on which the awarding of tenure is to be based.**

The College Policy Committee has also clarified the populations within which candidates for tenure are to be evaluated. Evaluations of research, creative activity, and teaching are to be made with respect to individuals who have recently received tenure or who will soon be considered for tenure at major research universities.

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 tenure or 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

LETTER #1

Dear :

Professor ____ is being considered for tenure 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 tenure 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 the potential to achieve 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 tenure in a university of the first rank.

I am enclosing the statement given to all department chairs and to the tenure candidates describing the criteria that the College Tenure Committee and the Dean use in reaching its decision. We are also enclosing a copy of our department's tenure 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 his/her work was known to you previously. Tenure 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.

[Note: The following statement must be included]

In most cases your letter will be seen only by a small group of faculty members serving in a tenure (and/or 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 tenure. As you know, a review by outside experts, like yourself, is essential to this process. I thank you for your consideration of this request.

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 is under review for tenure this year. Enclosed are his/her materials. 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 once again enclose a copy of the criteria for tenure as established by the College of Arts and Sciences and a copy of the department's tenure 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 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 the potential to achieve a position of leadership in a substantial field of scholarly endeavor?
5. Do you think Professor _____'s body of work should result in the awarding of tenure at a university of the first rank?

[If applicable, include the following statement:

Professor _____ was granted an extension of his/her tenure clock. We ask that you evaluate the candidate without prejudice as to why he/she was granted more time to prepare for tenure review and without expectations for additional scholarly productivity.]

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 is under review for tenure this year. Enclosed are his/her materials. 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 tenure as established by the College of Arts and Sciences and a copy of the department's tenure criteria. Professor _____ has indicated that he/she wishes teaching to be the primary criterion. It is difficult to obtain external evaluations 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 tenure at a university of the first rank?

[If applicable, include the following statement:

Professor _____ was granted an extension of his/her tenure clock. We ask that you evaluate the candidate without prejudice as to why he/she was granted more time to prepare for tenure review and without expectations for additional scholarly productivity.]

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

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 is under review for tenure this year. Enclosed are his/her materials. 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 tenure as established by the College of Arts and Sciences and a copy of the department's tenure criteria.

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 the tenure criteria established by the College of Arts and Sciences.

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 the potential to achieve a position of leadership in these areas?
5. Do you think Professor _____'s body of work should result in the awarding of tenure at university of the first rank?

[If applicable, include the following statement:

Professor _____ was granted an extension of his/her tenure clock. We ask that you evaluate the candidate without prejudice as to why he/she was granted more time to prepare for tenure review and without expectations for additional scholarly productivity.]

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