

CRITERIA & PROCEDURES FOR FACULTY APPOINTMENT, REAPPOINTMENT, TENURE, AND/OR PROMOTION

PURPOSE

Annual faculty reviews occur primarily to provide constructive support for faculty achievement; to assess the department's progress in carrying out its missions and the contribution of each faculty member toward that goal; and to establish the basis for merit salary raises.

The review criteria outlined below are intended to provide the department with clear standards and expectations for faculty performance relative to the department's mission. None of these criteria is intended to be limiting. Rather, they are intended to foster a positive and constructive spirit in the review process. The guidelines were developed to ensure, to the extent possible, that all faculty will be evaluated according to the same criteria and that individual members of the faculty will be evaluated consistently over the years.

PROCEDURE FOR THE APPOINTMENT OF FACULTY

All faculty members will participate in the selection process of new faculty. The procedure is outlined as follows:

1. A search committee will be appointed to oversee the process.
2. The search committee, in conjunction with the faculty, will define the position. They will also define the desired qualifications of potential candidates.
3. The search committee, in conjunction with the faculty, will develop a list of individuals who may assist in identifying persons qualified for the position.
4. The search committee, in conjunction with the faculty, will select from a list of publications and other sources for advertising the position.
5. All candidates will be required to submit a vita, supporting materials, and the names of up to four references.
6. The faculty will review and discuss the documents of all candidates. They will also rank and vote on a maximum of three candidates to invite to campus for two presentations, a teaching lecture and a public lecture. The candidates selected will be the ones that receive two-thirds of the votes cast. The COAS will support on-campus visits of only two candidates.
7. The faculty will discuss and rank candidates invited to campus. The top ranked candidate will be offered the job. If this person declines and if the faculty feels that the second candidate is acceptable, the second ranked candidate will be

contacted. If this person declines and the third ranked candidate is still acceptable to faculty, the third ranked candidate will be contacted. If all three candidates refuse the offer, the faculty will consider other candidates from the pool. If none proves acceptable, the faculty will vote on whether to re-open the search.

8. Given these criteria, the department does not support the appointment of junior faculty to split-administrative positions because they inherently require an enormous investment of time in the category of service.
9. The stability of the department has been due largely to full-time appointments to the department. From time to time, a candidate with special skills might come available as a joint appointment. After department discussion and if an agreement is arrived at, all terms related to tenure and promotion, service assignments as well as merit increases should be put in writing and agreed upon by the chairs and the candidate.

Adjunct Faculty

Under special circumstances, the Afro-American Studies Department will invite a full-time, tenure-track faculty member from a related department to teach courses for Afro-American Studies in his/her specialty. When such an occasional arrangement lends itself to a more consistent association with the Department, the Chairperson may, with the recommendation of a 3-person Advisory Committee and a majority vote of the full faculty, take the further step of authorizing an adjunct appointment. The Department would make such an appointment only when 1) the candidate's work is clearly and centrally within the Department's disciplines, 2) the candidate's contributions can strengthen departmental teaching, and 3) the candidate has established a reputation in the field. The Advisory Committee will review the candidate's curriculum vita, syllabus for the course to be taught, and relevant publications.

The Academic Handbook defines the "Adjunct" Rank as follows: The term "Adjunct" precedes the designation of rank. It is often used to signify that the individual's primary employment is not with Indiana University or with the unit giving the adjunct title. It is often a complimentary title and in some cases does not involve a stipend from Indiana University" (p. 33).

The rights and privileges of this rank are not specified in any of the University's policy statements; in the Afro-American Studies Department, the appointment would exclude eligibility for participation in regular faculty meetings, on standing departmental committees and in faculty personnel decisions. It would include teaching a minimum of one course every third semester, possible service on ad hoc committees, participation in colloquia, and the option of attending programs, receptions, and other departmental events.

Adjunct appointments will be reviewed every five years by the 3-person Advisory Committee; reappointment will be based on the adjunct faculty member's performance and his/her commitment

to the mission of the Department. Such appointments would not alter departmental faculty size or budget.

Emeritus Status

The Department is guided by the policy regarding designation, assignment of working space, and privileges as outlined in the Academic Guide for IU-Bloomington (1977) and the Academic Handbook (1992).

Pre-Tenure Mentoring

The purposes of the pre-tenure mentoring teams are to strengthen collegial support for teaching, research, and service; to provide information and to evaluate performance in teaching, research, and service for tenure and salary review; and to suggest methods for negotiating academic institutional culture, both local and national. Periodic informal conversations among the mentors and the junior faculty member are expected.

In the faculty member's first year, there will be consistent conversations with the chair regarding department and college expectations in the areas of teaching, research, and service.

During the faculty member's second year, s/he will be assigned two senior faculty mentors, one of whom must be from this department. The faculty member can request the members of the mentoring team; the assignments must be mutually agreeable among faculty and the chair. If, after that year, there is a request for a change by mentor or faculty member, the chair will promptly assist in identifying and replacing the mentor.

Class visitation by one mentor or both should occur at least once a year. A suggested model for classroom visitation procedure is included in the appendix. The mentor is to prepare a report on the visit with one copy to the faculty member and one copy to the file. The faculty member can designate all or any of the reports be made a part of the tenure dossier. Over time a teacher's complete teaching profile should include a range of teaching contexts: lecture, discussion, etc. Faculty are encouraged to use the various teaching resource support services on campus and strongly urged to attend the pre-tenure workshops offered by the various units.

All mentoring team reports--whether jointly or individually written--should be submitted by MARCH 1 of each academic year. Reports should comment on teaching, research, and service with specific recommendations (what is working? what needs working on?). At a spring meeting of the senior faculty, these reports will be reviewed with one of the mentors presenting the case as a first reader.

YEARLY PEER EVALUATION OF RESEARCH/CREATIVE ACTIVITY & TEACHING OF ALL FACULTY

The research and teaching of faculty members will be evaluated each year within the context of one or more of the following:

Research. The department will sponsor forums for the presentation of faculty research papers and creative activity. Faculty members are encouraged to make examples of research available. On going peer review will take place during annual review of junior faculty and for all faculty by the Salary Review Committee.

Creative Activity. Faculty members presenting creative activities that lack built-in critical assessment tools will be responsible for providing a means of critical evaluation. They are encouraged to enlist the aid of colleagues and/or other experts to assist with the evaluation. Faculty members should include detailed documentation (e.g., journal of process) of time and effort devoted to specific production assignments.

Teaching. (1) peer evaluation through exchange lectures or team-taught courses such as the Telluride Association Sophomore Seminar (TASS); (2) peer evaluation through classroom observation; (3) peer evaluation through participation on thesis and dissertation committees; and (4) student evaluations (essays and multi-op).

The purposes of faculty peer visiting are to improve the department's teaching by encouraging sustained, collegial discussion of that teaching and to provide an informed basis for letters in support of tenure, promotion, salary adjustments, and departmental, college, and university teaching awards.

Each faculty member would visit and be visited by at least one teacher per year. All such visits need not result in a written report in the case of senior faculty. If both the visited and visiting faculty agree, however, a report could be written, and placed in the departmental files of both faculty members.

Any visitation would not be limited to the observation of in-class performance. A suggested cycle is attached as appendix item #1.

Faculty appointed to the Department of Afro-American Studies at the Assistant and Associate ranks will be given written information relating to policies on promotion and tenure at the time of the initial appointment. They will also receive the "Tenure and Promotion Handbook" and the "Evaluation of Teaching Handbook" published by The Dean of Faculties Office-IUB. During the first semester of residency in the department, the Chairperson will discuss the policies and procedures for preparing the dossier. A dossier of a senior faculty member will be made available for inspection by junior faculty.

PROCEDURE FOR REAPPOINTMENT

In February of their third year, all Assistant Professors will be reviewed for reappointment by faculty members appointed by the Chairperson. After reviewing the candidate's "mini dossier," vita, and Faculty Summary Report, a vote will be taken; a written evaluation of the dossier will be submitted to the Chairperson (if favorable vote, should include specific recommendations for candidates); and a written explanation of the results will be forwarded to both the Deans of the College of Arts & Sciences and the Faculties Office by the fourth week of the month. The review should be conducted between the first and second week in February. Instruction for the preparation of the candidates "mini dossier" will be provided by the Chair and/or Chair designate.

THE CONCEPT OF TENURE/PROMOTION

The Academic Handbook states that "tenure shall be granted to those faculty members whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. . . . Tenure considerations must take into account the mission of the particular unit and the individual faculty member's contribution to that mission." The tenure decision for all candidates is made during their sixth year of tenure-track service. Tenure is conferred based on the promise (as evidenced by supporting documents) that the candidate will make significant contributions to the field and to Indiana University in the future. Thus the emphasis in evaluating tenure dossiers is upon the prognosis for the future.

The Academic Handbook states that "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. . . . Promotion considerations must take into account the mission of the particular unit and the individual faculty member's contribution to that mission."

The department recommends that faculty members of a rank less than Full Professor consult the "Tenure and Promotion Handbook" and "Evaluation of Teaching Handbook" published by the Dean of Faculties Office for details about developing the dossier.

CRITERIA FOR TENURE AND/OR PROMOTION

The criteria for reappointment, tenure, and/or promotion will reflect the missions and standards defined by the university, College of Arts and Sciences, and the Department of Afro-American Studies (see 2.1 - 2.3 for mission statement from the Department of Afro-American Studies). The basic criterion for tenure and/or promotion is that the candidate should be **outstanding** in at least one of the three categories--research/creative activity, teaching, and service with a **satisfactory** level of performance in the other areas. Outstanding ranking in one area with less than a **satisfactory** level in one of the other two areas will result in a negative promotion/tenure decision. The College of Arts and Sciences, however, defines teaching and research/creative activity as the two most important areas of consideration in the reappointment, tenure, and/or promotion process. Although the college and the department recognize the importance of service to the university, state, community, and the candidate's profession, the current administration of the College views service primarily as a complement to the teaching and research/creative activity

missions. While it is possible to define service as the primary criterion for tenure consideration, the department discourages doing so unless all of the following guidelines are met: (1) the candidate is able to fully document service to the university, state, community, and his/her profession as truly **outstanding**; (2) the candidate is able to fully document performance in the areas of teaching and research/creative activity as **satisfactory**. An example of a split-administrative appointment would be as an assistant dean to the College of Arts and Sciences.

DEFINITIONS OF EVALUATIVE CRITERIA AS DEFINED BY COAS

General Guidelines

As appendix item #2, the Tenure and Promotion Handbook distributed by the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties adequately describes the procedures for dossier preparation and substantiation of teaching, research/creative activities.

Research/Creative Activity Evaluation

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 any other pertinent documentation in the dossier.

The department defines "satisfactory" in research/creative activity as having made: a contribution short of the criteria for outstanding but which represents competent contributions to the candidate's field of expertise. This could mean a scholarly book, a series of articles in distinguished or "top tier" journals or performances in premier regional or national venues.

Teaching Evaluation

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. It is also useful, where appropriate, to document the candidate's potential to have significant impact on the teaching of the candidate's particular discipline.

The department defines "satisfactory" in teaching as: instructional quality and technique comparable with the average performance of an individual at the candidate's rank.

Service Evaluation

Generally the college does not anticipate that candidates 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.

The department defines "outstanding" in service as: by evidence of letters, internal and external, and documentation in the dossier that the candidate's work has the potential of having a major impact at the national level.

The department defines "satisfactory" in service as: an average contribution in amount and versatility commensurate with the rank and responsibilities of the candidate.

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 and/or one's discipline.

Comments from the college (memo of December 19, 1989) about the tenure/promotion process:

1. Regardless of a candidate's area of primary strength, the dossier must demonstrate effectiveness in both research and teaching.
2. 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.
3. 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.
4. The dossier should be submitted to the college by September. The names of eight outside referees should be in this office no later than March 1 in order for most referees to respond later this spring. Normally, four people should be recommended by the candidate and four by the department; be certain to indicate the source of each. When you prepare the lists of outside referees, please detail the expertise of these individuals as well as their relationship to the candidate. The candidate should also submit the waiver statement by March 20.
5. A complete curriculum vita 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 Ms 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 on a cover sheet for each course. The Dean of Faculties' "Guidelines for Promotion and Tenure" is a helpful guide in preparing a candidate's file.

6. All assistant professors who are granted tenure on the Bloomington campus will automatically be promoted to associate rank and need not be considered for promotion separately. Assistant professors receiving negative tenure recommendations may, according to a Dean of the Faculties' ruling of 1985, then ask to be considered separately for promotion to associate professor.
7. If the decisions regarding tenure and promotion to full rank are 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.
8. 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 the chairperson before a full dossier is prepared.
9. While the complexity of these procedures and their implementation at the various levels of the university often challenges the expertise of the hardest 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.

Because the Department is a multi-disciplinary department, diverse venues for research and creative activity should be taken into consideration. (See appendix item #3, for a list of activities and possible rankings.)

