

PROMOTION AND TENURE GUIDELINES

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**SCHEDULE FOR PROMOTION, TENURE, AND
SABBATICAL LEAVE RECOMMENDATIONS**

The following are the deadlines for the process of Promotion, Tenure, and Sabbatical Leave requests:

April	1st Monday	Vice Chancellor for Academic Affairs notifies the individuals who must apply for tenure in the following year and their division chairman.
May	1st Monday	Candidates should inform the department chairman (or dean/director, in divisions not subdivided) in writing of his or her intent to apply for promotion and/or tenure, or sabbatical leave and submit a list of suggested referees for those areas in which referees may be required.
September	2nd Monday	Dossiers for promotion, tenure and sabbatical leave due in appropriate division office for review by division committee. All confidential reviews, by a department where such structures exist in the division and by other faculty and students, should have been received by this date.
October	3rd Monday	Dossiers from promotion, tenure and sabbatical leave due in the Office of Academic Affairs.
October - December		Dossiers for promotion, tenure and sabbatical leave are reviewed by Campus Promotion and Tenure Committee.
January	3rd Monday	Recommendations to Vice Chancellor for Academic Affairs.
February	mid-month	Recommendations to Chancellor
February	mid-month	Recommendations to the Office of the President
March or April		Board of Trustees Meeting

RECOMMENDED PROCEDURE FOR DOSSIER PREPARATION

In all cases of promotion and tenure, the candidate should be advised concerning the upcoming review and be encouraged to supply the kind of information which will be important to those who will be evaluating the dossier. Responsibility for preparation of his or her part of the dossier rests with the faculty member; the additional information required is the responsibility of the department and or dean/director. (Throughout this document, "dean/director" will be used to indicate the first level of administrative review; in divisions not subdivided into departments, the dean/director will fulfill that function.) In order to have the requisite information, all units should begin to accumulate information about the candidate's teaching, research or creative activities, and service performances as soon as the candidate becomes a faculty member. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment of 4/19/93 to Promotion and Tenure Guidelines.) The dean/director should routinely gather this kind of information.

The compilers of a dossier should keep in mind the fact that the objective evidence in the dossier should confirm the case for promotion or tenure. It is not sufficient for the dean/director to simply state that the candidate is excellent, adequate or inadequate in each area. Normally, the dossier should contain information which supports the contention that the candidate is at least adequate in two areas and is excellent in the third area. Objective information should be provided to support the evaluation. All relevant evidence, both positive and negative, must be included in the dossier. A dean/director may not exclude material because of negative content. The reviewing faculty should not be expected to assume the existence of any evidence for or against the candidate beyond the documents of the dossier. The presence of the evidence and its organization for effectiveness and clarity is the responsibility of the candidate for his or her part of the dossier, and of the dean/director for their part of the document.

The candidate and all committees reviewing cases should be provided with the department or division criteria for retention, promotion and tenure. Since these vary in some specifications from one academic unit to another, it is important that the reviewing committee know clearly the grounds upon which the case in a particular unit is being made. The dossier should contain clear and convincing evidence for substantiating a case based on criteria in the Indiana University Academic Handbook and in any supplementary division and/or department promotion and tenure guidelines.

The responsibilities of the dean/director are as follows:

1. Notifying the faculty member of the specific due dates for the dossier.
2. Providing clerical assistance and reproduction facilities.
3. Ascertaining that the faculty member has copies of the current Academic Handbook and of the "Recommended Guidelines" and informing him or her that these are the relevant documents to consider when building a case for promotion and tenure.
4. Soliciting names of potential referees who are competent to evaluate the candidate's performance and arranging for their references. Each candidate should be permitted to

suggest possible referees and should be apprised of those chosen to make an evaluation. Candidates claiming excellence in research need external reviewers for research.

5. Arranging for the selection and functioning of department or division promotion and tenure committees.
6. Writing a letter to the next highest administrator, evaluating the candidate and recommending action.
7. Certifying that the above steps have been carried out.

Materials gathered by the dean/director and included in the dossier for purposes of promotion and tenure become the property of the Vice Chancellor for Academic Affairs for the permanent record following the completion of the promotion and tenure process. This includes confidential evaluations from various administrators, committees, outside referees, colleagues and the candidate's statements and list of activities. Other non-confidential materials supplied by the candidates will be returned to the faculty member.

RECOMMENDED FORMAT

A promotion and/or tenure dossier should be divided into the following three sections:

- I. Material submitted by the candidates (Items A, B, and C shall be submitted in a three-ring binder).
 - A. A cover letter, in which the candidate formally requests action and explains the grounds of his/her excellence. The candidate should clearly specify whether adequacy or excellence has been demonstrated in each of the three areas: teaching, research/creative activities and service. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment on 4/19/93 to Promotion and Tenure Guidelines.)
 - B. A resume of the candidate's educational background and accomplishments which are divided into the categories of teaching, research/creative activities and service. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment on 4/19/93 to Promotion and Tenure Guidelines.)

Each of the three categorical divisions should be prefaced by a brief descriptive statement and should provide documentation of achievements. Appendix A of these Guidelines illustrates suggested areas of documentation.

- C. Annual reports for the past four years.
- D. Under separate cover, two copies of published materials.

In the case of activities where the documentation may be more cumbersome, the dean/director and the candidate should consult the Vice Chancellor for Academic Affairs about its presentation.

- II. Material submitted at the department level (or at the division level where divisions are not further subdivided).
 - A. Material gathered by the dean/director.
 1. Summary tabulations of all anonymous course evaluations by students that have been completed at the end of the candidate's courses, for the past three years. Representative student comments that were received as part of the course evaluations can also be included, but should be typed up with multiple comments to a page. The process by which the evaluations were conducted should be fully and clearly explained.

2. If the candidate, dean/director or any review committee wishes them, letters of evaluation from specific students may be included. It should be clearly indicated how these letters were selected, i.e., solicited or not, at random or not. No more than 20 such letters should be included. The dean/director should explain the process by which students were selected and note the return rate.
3. Grade distribution printouts for the past three years.
4. Letters from faculty at IUN. These letters should not be pro forma but serious evaluations. The letters should come from colleagues suggested by the candidate, as well as from any other faculty member or administrator that the dean/director feels should have input.
5. Reviews by non-IUN faculty of the candidate's publication or creative and/or teaching activities, and evaluations by IUN or non-IUN faculty of the status of the journals in which the material has appeared. If external reviews of publications or creative materials are not included, the dean/director should explain why they were not necessary. Inclusion of external reviews is more important for a candidate contending excellence in research. Committees have required it for those claiming excellence in teaching.
6. Copies of the annual evaluations for the last four years.

B. Recommendation of the Department Committee.

The department committee's confidential evaluation of the candidate's research, teaching, and service should include factual and judgmental statements about each, with an assessment of the area(s) to be judged excellent, adequate, or inadequate. This letter should address the candidate's research, teaching and service attainments, anticipated contributions of future development of the department and should summarize the confirming evidence. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment on 4/19/93 to Promotion and Tenure Guidelines.)

If the size or structure of the department raises questions about the constitution of the committee, the department chairman should consult the dean/director.

If the vote is not unanimous, both the majority and the minority positions must be explained in separate confidential memoranda.

C. Recommendation by the Department Chair.

If this recommendation is positive, it should contain an assessment of the candidate's contributions to the department. It should demonstrate that this

candidate will serve the needs of the department and has established a continuing pattern of scholarly or artistic productivity, teaching, and service--a pattern which will benefit the University community in future years. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment of 4/19/93 to Promotion and Tenure Guidelines.) If the recommendation is neutral or negative, this also should be justified.

III. Material gathered at the division level, in divisions subdivided into departments.

A. Recommendation of the Division Committee on Promotion and Tenure.

See II. B. above.

If the vote is not unanimous, both the majority and the minority positions must be explained in separate confidential memoranda.

B. Recommendation of the Division Chairman.

See II. C. above.

This recommendation should speak to the dean/director needs as II. B. does to the department's needs.

SUGGESTED DOCUMENTATION

Types of documentation which would help to prove that the case for promotion and tenure is justified are discussed below. For the area of excellence, the evidence should include more of the suggested types of documentation, and should clearly and convincingly demonstrate superior performance. The areas of adequacy should also be well documented, but fewer types of evidence need to be included, and the relative level of performance demonstrated may be lower. Carefully note that even a strong case normally would be made without evidence in all areas, but the more types of evidence provided that clearly confirm excellent or adequate performance, the stronger the case.

TEACHING

The baseline requirement for effective teaching is that the professor be competent in his or her subject matter. Effective teaching further requires that the professor transfer his or her knowledge of the subject to the students. Documentation of teaching performance requires more than one kind of evidence.

Evaluation results gain significance as they approach 100% of potential opinions, and when the tools of evaluation are clearly described. The committee is not concerned with hairline differences among the scores of different professors on student questionnaires, but with whether students regard the professor as exceptionally good, satisfactory or unsatisfactory. The committee would appreciate comments on how the members of the candidates's department regard the results of the student questionnaires. Judgments on questions of course content, level of presentation, and organization of materials can be made by colleagues, as well as by students, and should be discussed in the letter supporting the promotion or tenure. The committee does not require a complete set of course outlines, bibliographies, scripts, and other teaching materials.

Documentation of teaching skill may also include evaluations by colleagues, deans/directors or committees who have attended class sessions, examined teaching material and/or examined student evaluation results. It might also include evaluations by community members involved in outreach situations that involve teaching. Teaching awards and nominations for teaching awards, and evidence of course or program development might also be included.

Clinical faculty seeking promotion to the rank of Clinical Associate Professor should show that they actively develop and perform demonstrations and lectures as part of the training mission of their departments, and that they have moved beyond doing only assigned instructional tasks under direct supervision. They should be able to demonstrate that they now work with less direct supervision and such as it is comes now from a higher rank than it did when they were Clinical Assistant Professors.

Those seeking promotion to Clinical Professor should demonstrate continuing growth in clinical skills and teaching, the recognition of senior full-time faculty, and that they both work independently within their speciality and that they provide supervision to junior ranks. (Amendment on 4/19/93 to Promotion and Tenure Guidelines.)

RESEARCH AND CREATIVE ACTIVITY:

Broadly defined, research is that type of scholarly activity which contributes to the body of knowledge and is published in widely-disseminated publications and/or presented at state, regional, national or international professional meetings. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity.

The case for adequacy in research/creative activity must demonstrate that the candidate is productive. Evidence of productivity will consist of an active research program that has yielded publications and/or professional meeting presentations, and/or performances or exhibits and, for a tenure, decision which also shows promise for continued achievement.

A case for excellence in research/creative activity should clearly show that the candidate is unusually productive and a recognized scholar or creative artist in his or her discipline. Publications in respected national or international journals normally are expected, especially for the rank of full professor.

Publications should be grouped into the categories of published, unconditionally accepted for publication, accepted for publication subject to satisfactory revision, submitted for publication and being prepared for submission. Unpublished but completed manuscripts are acceptable provided the reasons they have not been published are external to the quality of the work. Normally, work in preparation is of little value in the promotion process; it may be helpful in a tenure decision.

If co-authored works are included, the candidate's contribution should be included.

SERVICE:

To be relevant, service activity should clearly involve a high level of skill in communicating and applying the knowledge of one's professional competence. Service may be both inside and outside the university. Service activities may be rendered to the department, university, to professional organizations, to governmental bodies or other similar institutions.

Candidates from departments or division (e. g., SPEA and Continuing Studies) which have extension or outreach as part of their mission should document their effort in this area.

Checklist

The candidate provides:

- _____ A cover letter in which the candidate formally requests action and explains briefly the grounds of his/her excellence.
- _____ A resume of the candidate's educational background and accomplishments which is divided into the categories of teaching, research/creative activity, and service. Candidates holding clinical rank may seek promotion on the basis of teaching and service alone. (Amendment on 4/19/93 to Promotion and Tenure Guidelines.)
- _____ Annual reports for the past four years.
- _____ Under separate cover, two copies of published materials or creative activities documentation.
- _____ The name of suitable referees as they are needed.

The Department Chairman provides:

- _____ Summary tabulations of all anonymous course evaluations by students from the past three years.
- _____ If desired by candidate, chairman, or any review committee, letters of evaluations from specific students.
- _____ Grade distribution printouts for the past three years.
- _____ Letters from faculty at IUN.
- _____ Reviews by non-IUN faculty of the candidate's publications or creative activities or an explanation of why these were not necessary.
- _____ Evaluations by IUN faculty or non-faculty of the status of the journals in which material has appeared.
- _____ Copies of the annual evaluations for the last four years.
- _____ Recommendation for action and justification for that recommendation whether it is positive, neutral or negative.
- _____ Arrangements for the selection and functioning of department committees.

The Department Committee provides:

- _____ Recommendation to the department chairman for action. If the vote is not unanimous, both the majority and the minority positions must be explained in separate, confidential memoranda.

The Dean/Director provides:

- _____ In divisions not further subdivided, all the material required of the department chairman.
- _____ Recommendation for action, and justification that speaks to the division's needs.

The Division Committee provides:

- _____ In divisions not further subdivided, all the material required of the department chairman.
- _____ Recommendation to the dean/director for action. If the vote is not unanimous, both the majority and the minority positions must be explained in separate, confidential memoranda.

Please note that all these steps are explained at greater length in the Guidelines.

APPENDIX A: SUGGESTED AREAS OF DOCUMENTATION

- I. Teaching
 - A. Courses taught (list each course by course number, title, credit hours, enrollment, grade distribution, indicate regularity and whether undergraduate or graduate).
 - B. Teaching awards or other teaching honors, including recognition by student organization.
 - C. Teaching in institutes, special seminars, etc., (be specific about the type of situation, duration, level, and audience or participants).
 - D. Textbooks (show co-author, if any, publisher, place of publication and year. Include reviews if available).
 - E. A list of publications which are relevant to teaching (show volume, month, year, pagination, and referee comments if available).
 - F. Department or division committees that relate to teaching.

- II. Research/Creative Activities
 - A. Research honors and awards.
 - B. Books and monographs (show co-author, if any, publisher, place of publication, and year. Include reviews and editorial comments if available).
 - C. Articles (show volume, month, year, pagination, and referee comments, if available).
 - D. Scholarly papers presented at professional meetings, symposia chaired, commentator.
 - E. Funded research proposals and reports.
 - F. Research projects and proposals in progress.
 - G. Projection of future research/creative activities with expected results.
 - H. Creative Activities
 - 1. A precise definition of area of activity (composing, directing, performance, writing, painting, etc.).

2. Presentation of area of activity (A listing of works performed, plays directed, performances given, publications, exhibitions, etc. Group listings according to local, statewide, regional, national, or international significance.).

III. Service

A. University Service

1. University service awards and honors.
2. Committee service assignments in department, division or University (nature of participation, duration, accomplishments or reports).
3. University administrative service (administrative unit, position, role, duration, accomplishments).
4. Coordinator of University outreach program.
5. Special administrative assignments in the department, division, and University.
6. Evaluation of these assignments.

B. Public Service

1. Public service awards and honors.
2. Membership on committees and boards (nature of participation, duration, accomplishments or reports).
3. Consultations to the community, to agencies of government or to industries.
4. Public lectures and presentations.
5. Outreach program development.
6. Participation in radio and television programs.
7. Service in official positions of public organizations or agencies.
8. Publications for non-professionals.
9. Testifying at public hearings.
10. Preparation of reports.

C. Professional Service

1. Professional service awards and honors.
2. Membership on state, regional or national review panels, study sections, councils, etc.
3. Meetings attended.
4. Journal referee or membership on editorial boards of professional journals.
5. Officer of regional or national organizations.

**POLICIES ON ACCESS TO AND THE INCLUSION OF CERTAIN DOCUMENTS
IN PROMOTION, TENURE AND SABBATICAL LEAVE DOSSIERS**

I. Access to Dossiers by Candidates.

In 1983, the University issued a new policy governing the rights of employees to their own personnel files. This policy is as follows:

- A. Every academic employee shall have access to his or her personnel file. The file shall be made available upon request by the employee.¹

In accordance with this policy, promotion, tenure and sabbatical leave dossiers shall be considered as personnel files. This means that candidates for promotion, tenure and sabbatical leave after having prepared and transmitted their dossiers to their chairpersons shall have the right to inspect any additional materials which have been gathered and added to the dossiers by reviewing administrators and committees. This could be done at any stage in the review process.

University policy also prohibits employee access to (1) letters of evaluation solicited by the University under the explicit or implicit promise of confidentiality written prior to January 1, 1984, (2) statements of evaluation by University administrators or faculty review committees submitted under the explicit or implicit promise of confidentiality written prior to November 1, 1983, (3) letters or statements solicited from students which comment on an academic employee's performance as a teacher written prior to November 1, 1983 and (4) unsolicited letters or statements from students which comment on an academic employee's performance as a teacher, scholar, or advisor written prior to November 1, 1983 which in the judgment of a responsible administrator will jeopardize a student's academic or professional career.² In accordance with this policy it shall be the policy of Indiana University Northwest not to include documents which fall into categories (1) through (4) above in promotion, tenure or sabbatical leave dossiers unless placed there by the candidate.

Candidates for promotion, tenure, and sabbatical leave may have access to their promotion, tenure and sabbatical leave dossiers by making a request to the custodian of the dossiers. For the purpose of promotion, tenure and sabbatical leave dossiers, the custodian shall be the administrator who is engaged in the review of a dossier or the chairperson of a committee which is engaged in the review. If a candidate asks to see his or her dossier, the custodian shall note that in the dossier and make the dossier available promptly but in no case later than five

¹

Indiana University Policy Governing Access To and Maintenance of Academic Employee Records, 1983, p. 2.

²

Ibid.

days after the request. No charge shall be made to a candidate for any copies of promotion, tenure or sabbatical leave dossier materials he or she may request.³ The dossier shall be considered transmitted to the next custodian whenever a letter of evaluation is written and/or a record of the committee vote is prepared and placed in the dossier and the dossier is received in the office of the next reviewing administrator or committee chairperson.

II. Solicited Evaluations Related to Promotion, Tenure and Sabbatical Leaves.

In accordance with the University's policy on access to records, all letters which are solicited for the purpose of obtaining evaluative comments with respect to promotion, tenure or sabbatical leave shall contain the following statement:

Although letters of recommendation are not normally disclosed to candidates, a state law permits employees to gain, upon request, access to their own personnel files, including such letters.⁴

III. Unsolicited and Anonymous Evaluations Related to Promotion, Tenure and Sabbatical Leave.

Unsolicited evaluations related to promotion, tenure and sabbatical leaves may be placed in dossiers only in accordance with University's general policy on the maintenance of employee records. This is as follows:

- A. Unsolicited communications containing evaluative or judgmental statements about the employee's performance, qualifications, or character (other than those described in B.) shall not be placed in an employee's record unless:
1. The employee is the provider of the item, or
 2. The employee has received a copy of the item in its entirety prior to its being placed into the file.

The office employee in control of the record shall notify the academic employee whose record is at issue of the receipt of unsolicited communications. The academic employee shall be provided with an opportunity to respond in writing to any statement in any unsolicited communication. The response shall become part of the record.

³

Ibid. Charges may be made for copies of other personnel records in accordance with University Policy.

⁴

Ibid.

- B. Unsolicited communications from an employee's present or former students may be filed and collected by the administrator to whom they are addressed. The contents of such communications and the names of their authors shall not be given to the employee if such action, in the judgment of the responsible administrator, may jeopardize a student's academic or professional career, unless the information is to be used as a basis of formal action against the employee.
- C. With the exception of formal student evaluations of teaching, anonymous communications shall not be included in any record, nor shall they be stored or maintained. Such anonymous communications shall not be considered or referred to in matters of promotion, tenure, reappointment, or salary determination.
- D. Disputes about access to and maintenance of academic employee records shall be resolved through the grievance and review procedures generally applicable to the employee involved.⁵

In accordance with this policy, unsolicited communications may not be added to a promotion, tenure or sabbatical leave dossier unless the candidate receives a copy of the item and is provided an opportunity to respond in writing to its contents or the item is placed there by the candidate.

Unsolicited communications which fall into category B. above shall not be placed in a promotion, tenure or sabbatical leave dossier. Except for formal student evaluations as described in C. above, anonymous communication shall not be placed in dossiers.

⁵

Ibid., p. 3.

**REVIEW PROCESSES FOR PROMOTION, TENURE AND
SABBATICAL LEAVE CANDIDATES**

I. Processes within Academic Divisions and System Schools

Each academic division may establish its own processes for the review of promotion, tenure and sabbatical leave candidates provided that they are consistent with these guidelines and other requirements which may be established from time-to-time by the IUN Faculty Organization.

Divisions which are units within system schools may be expected to follow those processes and guidelines established by those schools. Candidates who prepare dossiers within system schools should follow school guidelines provided that any additional materials recommended by these guidelines are added by the candidates or Deans/Directors before the review of the Campus Promotion and Tenure Committee. Schedules for review within system schools may also vary from the schedule within these guidelines provided that all dossiers are submitted to the Campus Promotion and Tenure Committee not later than the first week in December. (Consult the Division for the review processes of system schools at IUN.)

II. Campus Promotion, Tenure and Sabbatical Leave Committee

The campus promotion, tenure and sabbatical leave committee shall establish its own working and voting procedures for the purpose of conducting its review. The committee shall be assisted by the Academic Affairs Office as needed.

III. Requests for Additional Information

Any administrator or committee engaged in the review of promotion, tenure or sabbatical leave dossiers may request additional information or supporting materials from the candidate or seek additional evaluations from University or outside reviewers. Additional materials from the candidate shall be placed in the dossier by the administrator or committee chairperson with an appropriate notation on the date received. Additional materials from evaluators may be placed in the dossier only after the candidate has been provided a copy of these materials and given an opportunity to respond in writing. A record of the invitation to respond shall be placed in the dossier along with a notation of the administrator or committee chairperson in any case in which the candidate does not respond within ten days. The written response of candidate shall be added to the dossier with a notation by the administrator or committee chairperson on the date received. Any materials added to dossiers shall be considered by subsequent reviewers.

IV. Confidentiality

The dossiers of promotion, tenure and sabbatical leave candidates shall not be available to the public or to University personnel except for those who are directly involved in the review process. The recommendations of administrators and committees shall be added to the dossiers and passed on to the next level of reviewers. These recommendations and votes shall remain confidential except as provided in V and VI below. Deliberations of committees in the review process shall also be confidential.

V. Notifications to Candidates of Negative Recommendations and Negative Committee Votes.

At any level of review of the promotion, tenure and sabbatical leave decisional process at which a candidate receives a negative recommendation by an administrator or a negative majority vote by a committee, the candidate shall be informed and provided a written statement of the reason for such a recommendation or negative vote. The administrator or committee chairperson at that level shall be responsible for informing the candidate.

Candidates for promotion, early tenure, and sabbatical leave may elect to withdraw their dossiers following such notification. If they do not exercise this option, their dossiers shall go forward in the review process. Regular tenure cases cannot be withdrawn unless a candidate submits his or her resignation from the University.

Candidates, upon notification of the negative recommendations or vote, may submit additional statements and supporting materials to be added to their dossiers. These materials should be sent to the administrator or committee chairperson who informed the candidate of the negative recommendation or committee vote within 15 days after receipt of that notification. These materials shall be added to the dossier by that administrator with an appropriate notation to the dossier on the date received. The administrator or committee shall reconsider the dossier with the additional materials. (Amended April 28, 1989.)

If the candidate requests reconsideration at the level of the negative recommendation or vote, this recommendation shall take place promptly and the administrator shall submit an additional recommendation and/or the committee shall take an additional vote. Both recommendations or votes shall be transmitted in the dossier but the second of these shall be the recommendation or vote of record. If these second reviews result in a negative recommendation or vote, the candidate shall be informed once more. The candidate may then submit additional materials to the next level of review and these shall be added to the dossier with an appropriate notation to the dossier on the date received. These materials shall also be considered by subsequent reviewers.

Reconsideration shall not take place at a level below the first level at which a negative recommendation or vote occurs.

VI. Notification to Academic Administrators of Negative Committee Votes.

Academic administrators, e.g., department chairs and Dean/Director, who become candidates for promotion, tenure and sabbatical leaves shall prepare and submit for review their dossiers in accordance with general procedures and format prescribed in these guidelines. The only

exceptions will be that the results of the review which takes place within the administrator's academic unit, e.g., department or division, shall be communicated to the administrator or committee chairperson immediately above the administrator in the review process. In the event of a negative vote with the administrator's academic unit, the administrator or committee chairperson at the level above the academic administrator under review shall inform the academic administrator of the result in accordance with the provisions of V. above. As V. above, the administrator may submit additional materials and request reconsideration either within his academic unit or at the next level of review. If the former is requested, the administrator or committee chairperson shall return the dossier with the additional materials to the academic unit for reconsideration. This shall be done in accordance with the provisions in V.

APPENDIX C: BALANCED CASES

A candidate for promotion (or tenure) should normally excel in at least one of the above categories and be 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. 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.

**APPENDIX D: PROMOTION CRITERIA FOR SENIOR LECTURERS
AND NON-RESEARCH ACADEMIC APPOINTEES**

I. IUN PROMOTION CRITERIA FOR SENIOR LECTURERS

Candidates for promotion from Lecturer to Senior Lecturer will be evaluated using criteria for teaching and service. Since a Lecturer's primary responsibility is teaching, this should normally be their area of excellence but service may be the focus, as well. A person promoted to Senior Lecturer will provide some evidence of continuous growth in relation to teaching competence and mastery of subject matter, or, if the area is service, some record reflecting significant service to the university, community, or profession. Nothing in this document should be interpreted as contradicting the standards of the University as contained in the IU Academic Handbook. (See IU Academic Handbook for statement on promotion to Professor and references to Librarian ranks and Clinical ranks.)

II. POLICY FOR NON-RESEARCH ACADEMIC APPOINTEES

Mechanisms for appointment, reappointment, review and promotion of Lecturers and Clinical appointees will follow the same guidelines and time frames as with tenure-track faculty (as described in the IUN Academic Review Calendar). Lecturers and Clinical appointees will be evaluated on teaching and service, but will not be evaluated on research.

III. POLICY FOR EXISTING LECTURERS AND INSTRUCTORS CAUGHT IN TRANSITION

After a person has served as lecturer for a minimum of five years, candidates who are successfully promoted to Senior Lecturer or Associate Clinical Professor will be awarded long-term contracts, structured as a rolling 3-year contract. It will be understood that interest in promotion will be totally voluntary. That is, there is no requirement that a Lecturer be promoted to a Senior Lecturer. It is not analogous to the "Probationary period" that applies to tenure-track assistant professors.

Current Lecturers who already have greater than five years of full-time service (or the equivalent) may submit an abbreviated dossier that consists of copies of their past annual reports and a short summary of their teaching and service accomplishments. Their unique circumstances should be given consideration when making the decision on their promotion.

Since the "Instructor" title has been eliminated, all current Clinical Instructors will be automatically reclassified as Assistant Clinical Professors. When they are evaluated for a long-term contract at the end of their probationary period, they will have the opportunity to apply for promotion to Associate Clinical Professor.

Clinical and tenure-track faculty members who have converted from an Instructor and are subsequently applying for promotion to Associate rank may provide evidence of achievements since their appointment as Instructor, and the evidence will be given full consideration in making the promotion decision.