



academic guide

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[Principles and Policies on Tenure and Promotion](#)

## Faculty/Librarians

### TENURE/PROMOTION/REAPPOINTMENT POLICIES

#### Statement of Principles

The recruitment, advancement, and retention of an eminent and engaged faculty are among the most important obligations of an institution of higher learning. Accordingly, a primary mission of Indiana University Bloomington is to continually employ, cultivate, and reward faculty for superior accomplishments in various fields and realms of intellectual, artistic, and performative endeavor. To realize these goals, the University is committed to providing high-achieving faculty members and librarians with the incentive structures and career-advancement opportunities necessary to encourage continuous academic excellence. The principles and policies detailed in this document are intended to achieve these ends for the faculty, students, and other constituencies of Indiana University Bloomington, while concurrently securing the operation and interests of the University as an institution wholly invested in the propagation of a reputedly credentialed, dynamically productive, and professionally responsible faculty.

Similar to other mutual relationships, the conferral of tenure creates reciprocal rights and obligations on the part of both the University and individual faculty members and librarians. Successful candidates for promotion and tenure are granted the protections of academic freedom and job security. In return, the University requires that tenured personnel remain engaged in enterprises such as meaningful research and creative activity; quality instruction and pedagogical innovation; and noteworthy service to the institution and the larger profession over the entire arc of their academic careers. It is acknowledged that achievements in one of the three performance areas may temporarily eclipse advancement in the others during different phases of the professional life of a faculty member or librarian. However, it is understood that tenure and promotion are predicated on the expectation that a faculty member or librarian consistently satisfies or exceeds standard criteria in all three applicable performance areas at any given time.

At the foundation of the campus's tenure and promotion system is a salient and abiding appreciation for the efficacy of rigorous and continuous peer review of faculty performance and professional conduct. Alongside the principles of collaborative academic citizenship, shared governance, and collegiality, Indiana University Bloomington fully embraces the prominent role of regular faculty scrutiny and evaluation of the work and contributions of other faculty members as hallmarks of professionalization and accountability. Proceeding from the premise that the faculty is the vital core and essential engine of the University and its various intellectual, instructional, and professional functions, this policy recognizes that tenure and promotion processes necessarily begin with and advance through vital stages of peer review that both protect the procedural rights and interests of individual candidates and safeguard the academic quality and foundational mission of Indiana University. In accordance with these principles of professional mutuality, this policy explicitly upholds the right of every candidate for tenure and promotion to be judged by peers in an informed and procedurally grounded manner based upon an impartial and good-faith assessment of the

accumulated evidence of the candidate's achievements and professional competence.

Additionally, this policy affirms that every faculty member and librarian is entitled to a tenure and promotion process that is fair, transparent, and consistent with official policies and sanctioned practices. Such candidates are also due an appeals process that is clearly delineated, equitable, and timely. While multiple checks and balances are incorporated into the tenure and promotion system to ensure thorough and judicious evaluations of individual candidacies, these various strata of assessments are not intended to unduly delay or complicate decisions regarding employment or advancement at the University.

Given the broad array of programs, departments, and schools across the Bloomington campus, this policy recognizes that such units should have sufficient purview to create standards for promotion and tenure that are informed by pertinent disciplinary expertise and specialized training, as well as more expansive understandings of research, scholarship, creative activity, and pedagogy that take into account the value of collaborative, cross-unit, and interdisciplinary approaches to the creation and dissemination of knowledge. While it is expected that the tenure and promotion policies of individual departments and schools will conform to the principles and procedures set forth in this document, it is understood that local units will have jurisdiction for establishing evaluative criteria to judge the achievements of faculty members and librarians in the applicable performance areas.

As individual units contemplate, craft, and apply promotion and tenure standards, they should remain mindful of the increasingly interdisciplinary and integrated terrains of intellectual inquiry and pedagogical practice upon which Indiana University operates. It is assumed that disciplinary, specialized, and field-specific expertise and achievement will continue to inform and influence expectations and decisions at all levels of the promotion and tenure process. Nonetheless, programs, departments, and schools are encouraged to recognize and reward high-impact research/creative activity, teaching, and service that transcend and transform conventional disciplinary and unit boundaries—especially when such enterprises create new knowledge, artistic/performative expressions, and/or methodologies and experimentation.

Finally, this policy acknowledges the impact of the incessant and often rapid transformation of the means of transmitting knowledge, publishing research, and exhibiting creative activity in the digital age. It also recognizes that scholarly productions, creative/performative works, and teaching practices can be enhanced by the medium through which they are articulated and disseminated. Such realities of the computer and internet era require a more flexible understanding of how researchers, teachers, artists, and performers interact with and deploy new media to realize scholarly and pedagogical goals, as well as to reach various audiences. All campus units involved in promotion and tenure decisions should undertake active efforts to update their criteria for evaluating scholarship, creative activities, teaching styles, and service engagements that incorporate new media.

#### Authority and Application of Policy

This policy (hereafter referred to as "Principles and Policies") communicates the professional and institutional values, rank-advancement procedures, and evaluative metrics that guide the promotion and tenure process of Indiana University Bloomington. Departments, schools, and all other units and offices on this campus shall be governed by the Principles and Policies in matters pertaining to the promotion and tenure of faculty members and librarians. This policy updates, clarifies, and elaborates upon the reappointment, tenure, and promotion provisions of the Indiana University Bloomington *Academic Guide*. Moreover, it replaces the "Tenure and Promotion Statements" of the Bloomington Faculty Council. In any instance in which the Principles and Policies conflict with the *Academic Handbook* or any other applicable Indiana University standards on promotion and tenure, the system-level statutes of the University shall be superordinate.

This document is not intended as a comprehensive or exhaustive catalogue of promotion and tenure procedures or practices, given the diversity of (inter)disciplinary

cultures, programmatic resources, and assessment regimens that characterize the Bloomington academic community. The Office of the Vice Provost for Faculty and Academic Affairs shall provide the interpretative guidance and support necessary for the implementation and operation of the Principles and Policies. Guidelines and other instruments of advisement produced by the Office of the Vice Provost for Faculty and Academic Affairs should be consulted for a fuller rendering of the administrative logistics and procedural details that inform the campus's promotion and tenure process.

Authority to institute additional promotion and tenure procedures and practices not explicitly codified or expressed in this document, the Indiana University Bloomington *Academic Guide*, the Indiana University *Academic Handbook*, or the procedural guidelines of the Office of the Vice Provost for Faculty and Academic Affairs shall devolve to the purview and discretion of IUB schools and departments (in that order). Such procedural adjustments and/or enacted "best practices" must be limited in scope and effect and demonstrably necessary to realize the stated principles and ends of this document. In all instances, the Bloomington Faculty Council and the Office of the Vice Provost for Faculty and Academic Affairs shall ensure that such devolved authority is exercised transparently and judiciously by schools and departments, in accordance with the promotion and tenure criteria of Indiana University and in the interest of maintaining the integrity, consistency, and functionality of the campus promotion and tenure process. Proposed substantive changes to school and/or departmental procedures and practices shall be handled through the regular policy review process described below under "Documentation and Distribution of Departmental and School Policies."

## **Documentation and Distribution of Departmental and School Policies**

Every unit (school or department) shall generate a formal statement that specifies the mission of the unit and the unit's perception of the relative importance of research/creative activity, teaching, and service in receiving a favorable endorsement for promotion and tenure. Specific provisions for variations in the ranking of importance should be made for individuals who have formal unit approval of a mission that varies from the general unit's mission. Such provisions should include a statement of the circumstances under which variations from these perceptions may be expected. The types of material accepted by the unit as evidence of research/creative activity, teaching, and service, including a statement concerning the unit's views of the relative strength of each type of evidence, shall be included in the unit document.

The head of each department or the dean of each school—in cooperation with a faculty committee from that department or school—shall describe in writing the procedures used in that department or school to implement the Principles and Policies in arriving at regulations concerning promotion and tenure. These documents must be current and public. Therefore, the unit document must be reviewed by the unit as a whole no less frequently than once every five years. A copy of the relevant departmental or school document(s) must be provided to each faculty member at the time of his or her initial appointment and at the time of any subsequent application for promotion. Upon completing each five-year review, a copy—in both paper form and digital format—of any new or revised document shall be forwarded to the Vice Provost for Faculty and Academic Affairs and, in the case of departments, to the school dean for review and comment. Furthermore, the Vice Provost for Faculty and Academic Affairs shall ensure that the descriptions of each school's procedures and criteria used in implementing the campus and University policies for promotion and tenure decisions are available on the website of the Office of the Vice Provost for Faculty and Academic Affairs.

In the offer letter sent at the time of initial hiring of a new faculty member, the appropriate unit head or department chairperson shall describe briefly the kinds of professional duties expected of faculty members at Indiana University Bloomington and shall state how the criteria for promotion and tenure are likely to apply in the individual faculty member's case. This letter shall have been approved by the Vice Provost for Faculty and Academic Affairs prior to being sent. For matters of tenure, each faculty member shall be allowed to have his or her case evaluated under either the unit expectations and criteria in existence at the time of his or her initial appointment or the expectations and criteria in effect at the time the dossier is forwarded for consideration for tenure. Both tenure and promotion reviews will be conducted by the unit (department or school) defined as the current tenure home of the candidate, with voting eligibility and other procedures determined by the policies of that unit.

All documents explaining or interpreting promotion and tenure criteria, including letters to referees, are to be regularly reviewed and approved by the faculty of the unit (department or school) in the same manner as the mission and criteria statement itself. Copies of all such texts are to be sent to all faculty in the unit and to the Vice Provost for Faculty and Academic Affairs.

## **The Tenure-Probationary Period**

A tenure-track employee appointed to the faculty or as a librarian for full-time service shall be eligible for tenure after a probationary period. At the time of initial appointment, a probationary period shall be stated. During the probationary period, appointments are usually for a period of one to three years. The total probationary period—or "tenure clock"—typically does not exceed seven years, though various leaves and other approved suspensions of duties may extend the probationary period. All tenure candidates may choose to be reviewed before the end of the probationary period. However, each candidate is allowed only one tenure review that reaches the level of an executive recommendation to the Board of Trustees (except when a grievance results in the Provost's recommendation for another review). Since the acquisition of tenure represents a major change in the status of a faculty member or librarian, the employee to whom tenure is being granted shall be so informed in writing. Attaining tenure automatically entails promotion to the associate rank for professors and librarians, with the exception of those who have previously acquired this rank.

While ultimately contingent upon performance in rank, faculty members and librarians in tenure-track positions are normally expected to be reappointed continuously up to the tenure review. Departments and schools are expected to provide opportunities, resources, guidance, and mentoring to tenure-track faculty members and librarians in order to help them succeed in achieving a record in the applicable performance areas sufficient for tenure.

A faculty member or librarian who has not received a notice of recommendation for non-reappointment may request consideration of the tenure decision at any time after the initial appointment. However, if the tenure decision is negative, the faculty member's or librarian's appointment shall terminate at the end of the academic year following the year in which the negative tenure decision was made. A faculty member or librarian who applies for early tenure should be forewarned that a candidate for tenure should expect only one full review. A faculty member or librarian who requests early tenure shall be immediately notified of any negative recommendation concerning his or her request prior to a final decision by the President. A faculty member or librarian may withdraw his/her request for early tenure at any time prior to a final decision by the President.

In some cases, a department or school may decide that the performance of a faculty member or librarian indicates that a positive tenure decision will be unlikely, and they may choose not to reappoint the candidate for additional probationary years beyond the end of the present contract. This non-reappointment decision should follow from the unit's policies and practices for reviews of tenure-probationary employees, and include a vote by eligible tenured faculty. The Vice Provost for Faculty and Academic Affairs shall be immediately notified of all non-reappointment decisions by departments or schools. Tenure-probationary employees may appeal non-reappointment decisions.

## **Promotion from Associate to Full Professor**

Faculty members in the associate rank may apply for promotion at any time. The application process is similar to that governing promotion from assistant to associate rank. A positive decision results in advancement to full rank (with tenure). A negative decision means that full rank is not achieved; however, associate status and tenure are maintained. An associate professor may apply for full rank multiple times during the course of employment, though such repeated attempts without concomitant meaningful advancements in qualifications are discouraged.

Any faculty member or librarian may submit to the dean of the appropriate school or to the Vice Provost for Faculty and Academic Affairs a recommendation for the promotion of any faculty member or librarian, including that of himself or herself. These recommendations shall be properly documented. It is expected that all such recommendations will be considered in accordance with both the promotion process established by this document and the related procedures of the candidate's home unit.

## **Promotion and Tenure of Librarians**

In addition to being characterized by distinctive performance areas, the promotion and tenure processes for librarians diverge in various ways from those germane to the promotion and tenure of faculty members. These differences affect the preparation of applications, the administrative routing of dossiers, proficiency standards, and the evaluative categories associated with the rank advancement of librarians. For the specific requirements of promotion and tenure for librarians, please refer to the *IU Library Faculty Handbook*, the Indiana University *Academic Handbook*, and the Bloomington campus's *Academic Guide*.

## **Promotion and Tenure Committees**

At the school level, all members of deans' promotion and/or tenure advisory committees shall be issued, at the beginning of each academic year they serve, the relevant campus and University statements of criteria on which they are to judge the dossiers they review. At the campus level, the Vice Provost for Faculty and Academic Affairs shall have the responsibility of appointing advisory committees for both tenure and promotion. These campus-wide committees shall consider all cases and give advice to the Vice Provost for Faculty and Academic Affairs. In the case of the Tenure Advisory Committee, the Bloomington Faculty Council has indicated the composition of the committee and the types of cases to be referred to it. As a matter of administrative practice, the Promotions Advisory Committee is constituted according to the same procedures.

The membership of all committees concerned with promotion and tenure shall be made a matter of public record at the time of their appointment.

## Voting Procedures

Untenured faculty members are ineligible to vote on the awarding of tenure in promotion and tenure review committees or unit meetings. As a general practice, faculty members who do not hold the rank being applied for or higher do not vote on the award of that rank in review committees or unit meetings. Except for reconsideration of prior decisions, each faculty member and administrator who participates in the promotion and tenure process votes only once in any particular case. Faculty members are ineligible to vote on promotion or tenure in review committees or unit meetings if they have not been materially engaged with the dossier and related deliberations of the case. All votes should be cast by secret ballot; no proxy voting is allowed. Candidates will be informed promptly of vote tallies and decisions at the department and school levels.

## Application for Promotion and Tenure

Promotion and tenure at the University require positive action. Rank advancement is never acquired by default. The first step in the preparation of applications for reappointment, tenure, or promotion consideration is to invite candidates to submit relevant materials. In all cases the candidate will have been advised of the upcoming review. For application materials submitted in electronic format, the candidate is responsible for providing the required materials in a manner that facilitates the process of digital storage, organization, and distribution. Electronic dossiers will be stored on secure University servers for at least the duration of the application process. If, for any reason, a dossier is submitted with physical components, the candidate and the department chair or dean (in non-departmentalized schools) should work cooperatively to compile and organize these materials. Such items shall reside in the possession of an administrator at each level of the process.

The compilers of a dossier should keep in mind that the objective evidence in the dossier is meant to assist in the making of an explicit case for promotion or tenure, going beyond the mere assertion that the candidate has made satisfactory progress. Moreover, the performance area(s) upon which the tenure/promotion case will be predicated must be declared before the compilation of the dossier and clearly announced in the candidate's statement and in correspondence soliciting external reviewers. Candidates and sponsoring units must compile dossiers in accordance with a checklist provided by the Office of the Vice Provost for Faculty and Academic Affairs. Upon completion of the dossier, this checklist should be signed by both the candidate and the department chair or dean (in non-departmentalized schools).

The completed dossier 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. At any time in the review process, candidates may request access to all dossier materials, including external reference letters. Faculty members and administrators who participate in the promotion and tenure process have full access to all materials in the candidate's dossier, as well as assessments at all previous levels of review.

Promotion and tenure dossiers should contain at least six external review letters from qualified and credentialed individuals who are not employed by Indiana University Bloomington. Half of these referees should be derived from a list submitted by the candidate, and the other half should be drawn from a list prepared by the department or school. At the discretion of the unit head, more letters can be requested when explicitly deemed necessary. External reviewers should not have a significant relationship—commercial, personal, familial, or otherwise—with the candidate, which generally precludes the solicitation of thesis advisors, postdoctoral mentors, co-authors, former colleagues, and former classmates. In any event, any such relationship must be clearly disclosed by the reviewer or the candidate. Ideally, reviewers should hold at least the rank that the candidate is applying for, or its equivalent, and be well-recognized and established members of their field(s) employed at peer institutions. Highly qualified individuals at non-peer institutions or relevant non-academic organizations may occasionally be considered as potential reviewers, if suitable justification is provided.

## Evaluative Categories

A candidate's proficiency in the performance areas of Research/Creative Activity and Service is rated in accordance with four categories: Excellent, Very Good, Satisfactory, and Unsatisfactory. In assessing competence in Teaching, the categories are: Excellent, Very Good, Effective, and Ineffective.

## Tenure, Promotion, and Performance Areas

Candidates for promotion and tenure are required to rate as Excellent in one performance area and at least Satisfactory/Effective in the other two. Candidates are required to choose a single performance area on which to predicate their application for tenure or promotion (although this decision does not rule out the possibility that performance in one or both of the other areas will also be assessed Excellent). Throughout the process, review committees and administrators should keep in mind that the dossier materials (including external letters) were compiled and submitted to make the case for tenure or promotion on the basis of Excellence in the one performance area chosen by the candidate.

In exceptional instances, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University. Candidates preferring to be judged on the "balanced case" must be rated as Very Good in all three performance areas. As in instances where a candidate has selected a single performance area for tenure or promotion purposes, review committees and administrators should remain aware that dossier materials (including external letters) are collected and submitted to demonstrate the superior achievements of the candidate across performance areas.

If research or other creative activity is the primary criterion for tenure, the faculty member should be discernibly well on the way toward achieving a national and/or international reputation for excellence in research or creative work in his or her field, or across fields and disciplines. In addition, a comprehensive plan of future research of high merit should be evident. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either a single work or project of considerable importance or a series of studies or projects constituting a general program of worthwhile research or creative/performance output. The candidate should possess a definite continuing program of studies, investigations, or creative works. Candidates for promotion to full professor on the basis of research/creative activity should have achieved a position of national and/or international leadership and prominence in the field(s), with a documented and robust record of achievement and distinction. Again, quantity of research, scholarship, and creative output is less pertinent than quality and impact, though it is expected that research/creative accomplishments since achieving the rank of associate professor will be exemplary enough in character and breadth to justify promotion at a university of top rank.

If teaching is the primary criterion for tenure, the candidate's pedagogical aptitude and instructional impact should be demonstrably superior to that of effective teachers at Indiana University Bloomington and other major institutions. Indicators of such excellence would reasonably include development of instructional/curricular materials, pedagogical publications (e.g., textbooks) and presentations; active engagement with the scholarship of teaching and learning (papers/books about teaching); and participation in national conferences on teaching. Promotion to full professor based on teaching should entail exceptional pedagogical, curricular, and instructional innovations while in rank as an associate professor; new publications that actively and creatively engage the scholarship of teaching and learning; regular participation in workshops, conferences, and invited talks devoted to teaching and pedagogy; mastery over the technologies and methodologies of modern classroom presentation and management; and, wherever feasible, demonstrated ability to direct the studies of advanced students. Moreover, the faculty member seeking full rank should have a national and/or international reputation as a leader in the practice and study of teaching.

If service to the University, profession, state, and/or community is the primary criterion for tenure, distinguished contributions must be evident. The evaluation of the service should be in terms of the effectiveness with which the service is performed and its relation to the general welfare of the University. Candidates seeking promotion to full professor on the basis of excellence in service must provide evidence for national and/or international visibility and stature resulting from service activities (even abundant local committee work is not enough). Such distinguished contributions could be administrative and institutional in nature, or evidenced through superlative work in a (inter)disciplinary endeavor, governmental organization, or some other entity or cause with national and/or international reach and relevance.

## Negative Decisions and Appeals Processes

Once the dossier is prepared, the unit will decide upon its recommendation based on the evidence in the dossier. If the decision is negative, the faculty member should be informed so that he or she may request that the dossier be forwarded even though the unit has not made a positive recommendation.

The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her. At the time that a faculty member or librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Policies Governing Reappointment and Non-Reappointment During Probationary Period," and the *Academic Handbook* statement on criteria for tenure, to ensure that he or she is fully informed of his or her rights. The Vice Provost for Faculty and Academic Affairs shall determine reasonable due dates for such appeals and the submission of related materials.

## Joint Appointments and Inter-Campus Commitments

In instances of joint or multiple appointments, the head of the home (tenure-granting) unit shall consult with the other relevant unit head(s) to clarify in writing the faculty member's responsibilities in the units involved, as well as specific requirements of the appointment(s) as they relate to promotion and tenure. This letter shall have been approved by the Vice Provost for Faculty and Academic Affairs prior to being sent to the faculty member.

It is the responsibility of each unit of Indiana University to develop appropriate structures and administer the necessary procedures for the implementation of general University tenure policies. In cases of faculty members with professional commitments that involve multiple campuses, relevant units and offices should specify in

writing the job responsibilities and the promotion and tenure expectations pertaining to such appointments. Faculty members who teach or are engaged in activities on more than one campus should have their loads adjusted to reflect their assignments.

In accordance with Indiana University policy, the tenure home of each faculty member is specific to the campus unit in which he or she is serving at the time that tenure is attained. As a general rule, only Bloomington-appointed faculty are eligible to vote on promotion and tenure cases involving faculty members seeking promotion and tenure in an IUB unit.

In any case in which the position of a faculty member with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the faculty member in a comparable position elsewhere in the University or in another institution.

## **Tenure Status for Non-Citizens**

Only individuals who are U.S. citizens or permanent residents are eligible for appointment to tenured positions. Appointments to positions with tenure that are offered to non-U.S. citizens or permanent residents will be temporarily converted to tenure-probationary appointments until permanent residence in the U.S. has been obtained. At that time, the appointment will be converted back to the tenured position as originally offered.

## **Authorization to Change Faculty Ranks**

The Bloomington Faculty Council must approve changes in the description of faculty positions as defined in the Indiana University *Academic Handbook*, or the institution of new ranks that would alter the definition of faculty.

## **Review of Campus Policy**

This promotion and tenure policy shall be reviewed every five years, or within a timeframe no longer than the default probationary period of a tenure-track assistant professor (currently seven years). The president of the Bloomington Faculty Council will charge an existing or ad hoc committee with conducting the review. At that time, all amendments, resolutions, and revisions that were approved by the Bloomington Faculty Council during the interim years and that are still considered relevant, appropriate, and necessary will be incorporated into the body and text of a new, revised promotion and tenure document, along with any other warranted changes made at the time of the review.

Each faculty member or librarian will have the option of being considered for tenure under any newly implemented campus policy or under the policy in operation at the time of their initial hiring.

## **Availability of Previous Policies**

Legacies documents, or previous promotion and tenure policies, shall be available upon request, in paper or digital form, from the Office of the Bloomington Faculty Council.

## **OTHER TENURE/PROMOTION/REAPPOINTMENT POLICIES AND PROCEDURES**

### **Annual Reviews**

An annual review regarding reappointment and tenure prospects must be conducted for each full-time, non-tenured librarian and faculty member. The University Faculty Council approved in 1977 a policy which provides that all assistant and associate professors, and all affiliate, assistant, and associate librarians be given an annual review relative to promotion prospects. (See [Policy E-14](#)).

### **Tenure Track Reviews**

No specific date for annual reviews is established. The reviews of tenure-track faculty and librarians may occur at any time during the academic year, although many units find it convenient to conduct the re-appointment reviews before the bulk of their reappointment recommendations are due (March 1). The results of these reviews may best be transmitted orally in the first instance, but for all tenure-track faculty a summary must be recorded in writing. The summary should speak to progress in the three areas of responsibility-teaching, research/creative activities, service. One copy of the written summary is to be given to the candidate and the other copy is to be placed in the unit's files. For the benefit of the candidate and the University, it is recommended that the review state two things in addition to the evaluation per se: first, that the review reflects the evaluation of the unit only, and second, that subsequent evaluations at any level of the University may differ from the evaluation of the unit.

The annual reappointment review shall be conducted each year for all full-time, non-tenured faculty members and librarians regardless of the length of time the person has been on the faculty, whether they have an appointment which exceeds one year, or whether they may be temporarily on leave of absence. Even though the review conducted during a faculty member's first year in residence is probably based on less information than subsequent reviews and may therefore not seem as useful, it is imperative that such a first-year review occur.

### **Reviews of Tenured Appointees**

The procedures are slightly different for annual reviews relative to promotion prospects required for all tenured faculty and librarians below full rank. The fact that a review or discussion has taken place must be confirmed in writing to the appointee and to the Vice Provost for Faculty and Academic Affairs. The appointee may request a written summary of the substance of the review or discussion, or the reviewer may independently decide to provide a written summary. In either event, if the statement is put in writing, copies must be both placed in the file and given to the appointee.

### **Notice of Reviews**

Well in advance (2-4 weeks) of any review, the faculty member must be invited to assemble and submit materials relevant to his or her teaching, research/creative activities, and service.

### **Notice Requirements for Non-Reappointment**

The University adheres to the AUUP statement on the amount of notice faculty members should be accorded if they are not to be reappointed or granted tenure. (See [Policy E-2](#)). Faculty members are to be given at least three months' notice during their first year of service (by February 1), six months' notice during their second year of service (by November 15), and twelve months' notice after two or more years of service (by May 1). To accommodate these deadlines, recommendations are due in the Office of the Vice Provost for Faculty and Academic Affairs by the following dates:

1st year . . . . . January 10 . . . . for 2nd year reappointment

2nd year . . . . . October 15 . . . . for 3rd year reappointment

2nd year . . . . . March 1 . . . . for 4th year reappointment

3rd-5th year March 1 . . . . for 5th-7th year reappointment

6th year . . . . . November 1 . . . . for 8th year-tenured status.

Originally these deadlines applied only to faculty members. On 12/3/68 the Faculty Council approved the extension of these requirements to include lecturers and in 2001 the Academic Officers' Committee adopted the extension of these requirements to Academic Specialists. Trustees' action (see [Policy E-4](#)), provides that the same requirements shall apply to librarians.

### **Non-Promotion**

In order to prevent inequities in promotions the Faculty Council in 1952 directed the Dean of the Faculties (now the Vice Provost for Faculty and Academic Affairs) to review all faculty below full rank who have not recently been accorded a formal review for promotion. (See [Policy E-18](#)). Accordingly, the Vice Provost for Faculty and Academic Affairs requests information from units about faculty members who have not been recommended for promotion in the last two years and who have been in the following ranks for at least the indicated period of time:

Associate Professor . . . . 7 years

Assistant Professor . . . . 5 years

Lecturer, Research Scientist/Scholar, Clinical Professor . . . . 3 years

Such information may then be taken by the Vice Provost for Faculty and Academic Affairs to the Campus Promotions Advisory Committee for advice.

### **Resignations by Faculty**

The AAUP has also issued a statement concerning a faculty member's obligation "not to resign in order to accept other employment as of the end of the academic

year, later than May 15 or 30 days after receiving notification of the terms of his continued employment the following year, whichever date occurs later." The complete AAUP Statement appears in [Policy B-15](#).

## RESEARCH AND OTHER ACADEMIC RANKS

### Research Ranks

#### Project Tenure

Although the Board of Trustees in 1956 approved a policy providing for research project tenure, it has been used only rarely. Recommendations for project tenure must be approved by the appropriate academic dean and the Vice Provost for Faculty and Academic Affairs. Because the policy requires termination notice of one year in recommending project tenure, the project director or unit head must provide satisfactory evidence that funding for the possible one-year period is assured within the budget of the recommending unit or from some outside funding source. If project tenure is contemplated, all relevant problems, especially that of providing satisfactory evidence of funding resources, should be discussed with the Vice Provost for Faculty and Academic Affairs. (See [Policy A-5](#)).

#### Reappointment

Recommendations for annual reappointment of Assistant Scholars/Scientists are subject to evaluative review by the chairperson or director, and to the assurance of available funding. Recommendations are reviewed and acted upon by the school dean and the Vice Provost for Faculty and Academic Affairs. If the research mission of the project and its funding resources permit, Associate and Senior Scholars/Scientists should, whenever possible, be appointed for more than one year. Subsequent reappointments go through the same review process as that specified for Assistant Scholar/Scientists.

#### Notice Requirement

Except for those holding research ranks who have been granted Project Tenure (which provides a one-year notice requirement), the minimum notice of termination is, as with all non-tenure-line appointees, one pay period (currently one month).

#### Promotions

Criteria for each of the three ranks (Senior, Associate, Assistant Scientist/Scholar) are roughly equivalent to those set forth in the area of research for members of the faculty. (See Criteria for Faculty Promotions, [Policies E-7](#) and [A-5](#)).

#### Criteria

**Assistant**—typically has completed the terminal degree in his or her discipline, in some fields, has at least one year of successful postdoctoral research experience, and is capable of original, independent research or developmental, scholarly work under the direction of a senior faculty member or an Associate of Senior Scientist/Scholar;

**Associate**—has begun to establish a national reputation through published work, would typically have responsibility for carrying out independently, as principal investigator, projects of his or her own devising, and has normally completed a minimum of three years of postdoctoral research;

**Senior**—has established a national reputation as a first-class researcher or scholar who has made substantial contributions to her/his discipline.

As with faculty, research and creative endeavors among non-faculty research specialists can include experimental research, theoretical development, creation of artistic works, and development of research tools or methods. Some forms of research, creative, and/or developmental activities may not necessarily result in publications in scholarly journals, but nonetheless may have an impact on future inquiry by introducing new techniques by which research is conducted. For example, certain scientific or scholarly findings and technological developments might be disseminated through presentations made to professional organizations and through consultations with persons engaged in similar development activities at other institutions.

#### Nomination and Promotion Procedures

Nomination and promotion procedures for holders of research ranks are similar to those for faculty promotions. Dossiers are prepared by the scientist's or scholar's department or project unit and reviewed by administrators and advisory committees at the school and campus levels. At the campus level, the Promotions Advisory Committee considers promotions in the research ranks; the committee is appointed by the Vice Provost for Faculty and Academic Affairs. The procedure for nomination and promotion for research ranks is as follows:

1. Ascertain that a person qualifies under the University policy. This means: (1) the person holds the terminal degree in his or her field and has at least one year of successful post-degree experience (the terminal degree in some fields may not be the doctorate); (2) the person is wholly involved in research activities with no instructional responsibilities; and (3) the individual's responsibilities provide an opportunity for achieving independent contributions in research or developmental activities that have resulted in or eventually result in national recognition for these contributions.
2. The names of outside referees (six for nominations at the rank of Senior or Associate Scientist/Scholar, three for nominations at the rank of Assistant Scientist/Scholar) along with representative samples of the nominee's work and a complete curriculum vitae, should be in the Office of the Vice Provost for Faculty and Academic Affairs by the first week of January in order for the referees to respond by February. Normally, half of these names should be suggested by the nominee and half by the nominator or others in the unit who are in the best position to select qualified referees; be certain to indicate the source of each. Avoid selecting persons who have had a close personal relationship with the nominee. When you prepare the list of outside referees, please detail the expertise of these individuals as well as their relationship to the nominee.
3. The head of the nominee's unit should write a letter to the Vice Provost for Faculty and Academic Affairs. The letter should indicate which rank is recommended and should summarize the nominee's qualifications and research record. In addition, the nature of the nominee's appointment and position should be summarized, including a clear account of duties and responsibilities, and the relationship of the nominee's role to others in the unit or on the project.
4. A dossier should accompany the letter of nomination which includes the nominee's curriculum vitae; copies of published papers or books; supporting letters from colleagues (if desired); and any other evidence which would be helpful for judging the nomination.
5. The letter of nomination and supporting materials should be sent to the dean or division head to whom the nominating unit reports for endorsement. The dean will add his or her endorsement of the nomination together with comments and forward the nomination to the Office of the Vice Provost for Faculty and Academic Affairs by the first week of March for actions to be effective July 1.

#### Mediation/Representation/Review

The research ranks are represented on and by the Bloomington Faculty Council and have open to them the review mechanisms provided by that body—Faculty Board of Review, Affirmative Action Grievance Procedures, etc. (See [Policies D-22](#) and [D-30](#)).

#### Other Academic Ranks (OAXX, CNXX, IR93, IR92, MDOO)

##### Reappointment

Initial appointments are made for one calendar year or less; reappointments are normally made on an annual basis. After two years of service, however, reappointments to positions on general fund accounts may be made on a non-limited basis. Reappointment to positions funded by grants or contracts may not exceed one year or the expiration date of the grant if that date is earlier.

##### Notice Requirement

Appointees on general fund accounts must be given one pay period, i.e., one month's, notice of a decision to terminate them. Appointees on grant accounts are afforded the same amount of notice for termination prior to the end of a grant period. Appointments to the end of the grant period should be assumed to be terminating unless notice of **reappointment** is given.

##### Annual Reviews

It is urged that academic appointees be accorded an annual review of their performance, preferably at the time a reappointment recommendation is due.

##### Review of Negative Recommendations

Review procedures established by the Faculty Council are available to all academic appointees. The Faculty Mediation Committee and the Faculty Board of Review deal with decisions concerning reappointment, salary, conditions of work, etc. (See Section D.) Complaints alleging discrimination on the basis of sex, minority status or age may be reviewed under the Discrimination and Harassment Complaint Procedure. (See [Policy D-30](#)).

## SALARY POLICIES

### Salary Budgeting

The administration of Indiana University and of the Bloomington Campus determine general budget guidelines in compliance with the legislative appropriations to the University. These guidelines typically specify such variables as the overall percentage increase to be applied to all continuing positions for academic personnel, the overall percentage increase for the supplies and expenses budget, etc. The advice of the Budgetary Affairs Committee, a standing committee of the Bloomington Faculty Council, is sought at a number of stages in the budgeting process, including development of the overall guidelines. It then becomes the responsibility of the unit head to make recommendations for the specific line-by-line allocations of funds assigned to the unit.

### Budgetary Timing/Salaries

Annual budgeting typically begins in the spring. The exact timing of the budgeting process depends in part on the appropriation of funds by the State legislature. Other budgetary information, such as requests for capital expenses, may occur at various times during the year. Summer budgets are established during the preceding fall.

### University Salary Policy

A set of eight principles to guide salary decision-making has been drawn up by the University Faculty Council. (See [Policy E-22](#)). The principles encourage participation by elected Faculty bodies in salary determination, urge flexibility in responding to local circumstances, and reaffirm the primary of merit among the factors affecting allocation of resources to salaries. (Summer pay for teaching follows as closely as possible the BFC resolution set out in [Policy C-4](#)).

### Salary-Setting Procedures

Both the University Faculty Council and the Bloomington Faculty Council have approved Salary Policies (see [Policies E-22](#) and [E-23](#)), which provide that with faculty involvement each unit shall outline procedures used in initiating and reviewing salary recommendations for academic appointees. The procedure is to be in writing and available to all faculty members. (The Affirmative Action Plan also requires this and provides for an annual equity check; see [Policy E-24](#)).

Recommendations coming forward from departments and schools are reviewed in the Provost-Bloomington's office, in the office of the President, and finally by the Board of Trustees. After acceptance of the budget by the Board, salary letters are sent, via deans and chairpersons, to continuing appointees budgeted on general fund monies.

### Access to Salaries

The salaries of academic personnel on the Bloomington campus are available at <https://fdrs.fms.indiana.edu/cgi-bin/Salary/Salary.pl>. In response to a request of the Bloomington Faculty Council for information about Bloomington faculty salaries (see [Policy E-25](#)), the Vice Provost for Faculty and Academic Affairs maintains a listing of faculty salaries arranged in cohort groups defined by rank, years in rank, and academic field. This listing is available online. The Office of the Vice Provost for Faculty and Academic Affairs conducts periodic studies of salaries to identify problems of equity and to identify factors operating in the determination of salary levels and distributions.

### Salary Minima

The Bloomington Faculty Council accepted the recommendation of its Budgetary Affairs Committee to recommend salary minima for faculty members and librarians. (See [Policy E-25](#)). The recommended minima for 2008-09 are:

Lecturer/Affiliate Librarian . . . . .	\$35,729.65
Assistant Professor/Assistant Librarian . . . . .	\$38,430.03
Associate Professor/Associate Librarian . . . . .	\$48,250.52
Professor/Librarian . . . . .	\$58,972.42

The Bloomington Faculty Council has indicated that (1) the recommended minima are to be reviewed and/or adjusted annually, and (2) any salaries below the minima are to be justified and an explanation made available to the appointee upon request to the Provost. Bloomington Campus administrators have accepted these recommendations including the provision for exceptions.

### Mid-year Salary Increases

The policy of the I.U. Administration, as represented in various memoranda, indicates there is an active discouragement of mid-year salary adjustments for all academic appointees. The Board of Trustees reviews and approves the current operating budget at the beginning of each fiscal year and the assumption is that the budget submitted to them is carefully constructed, error-free, and final. Mid-year salary increases are therefore seen as inconsistent with the commitment to the Board of Trustees. (A post-July 1 annual salary adjustment for an academic appointee whose annual appointment does not coincide with the fiscal year, is, however, appropriate.)

The Bloomington Campus Administration will continue to review carefully mid-year requests and approve them only in cases where the justification is persuasive.

### Extra Work

At the request of the Governor of the state of Indiana in 1966, the four state universities agreed to adopt uniform rules governing expenditures of time and extra compensation for faculty members. (See [Policy E-26](#)). The general rule is that the total time commitment for all permissible forms of extra work—outside consulting, overload, supplemental projects—is not to exceed an average of one day a week.

Guidelines for approval of extra work assignments and payment mechanisms are discussed on the following pages. The principal points of the policies are:

1. Any extra work carried out by an academic appointee must not interfere or conflict with the appointee's regular duties in the home academic unit.
2. Extra pay from University funds, whether from the General Fund or contracts and grants, can only be approved under special circumstances, and in no case can exceed 20% of the person's base salary for the period.
3. In no case may total salary components from a combination of grant and General Fund accounts exceed 100% of the approved budget rate.
4. Extra work assignments should be approved by the home department and school where possible prior to the performance of service.

Proposed extra work assignments should be cleared with the Office of the Vice Provost for Faculty and Academic Affairs **prior** to firm commitments being made.

## Policies

[Policy E-1- Presidential Authority](#)

[Policy E-2- Faculty Tenure](#)

[Policy E-3- Academic Freedom](#)

[Policy E-4- Tenure for Librarians](#)

[Policy E-5- Criteria for Faculty Tenure](#)

[Policy E-6- Criteria for Faculty Tenure](#)

[Policy E-7- Criteria for Faculty Promotions](#)

[Policy E-8- Criteria for Librarian Promotion](#)

[Policy E-9- Policies Governing Reappointment and Non-Reappointment During Probationary Appointment Period](#)

[Policy E-10- Unit Criteria and Procedures for Tenure and Promotion](#)

[Policy E-11- The Commission on Teaching](#)

[Policy E-12- Teaching Evaluation Policy](#)

[Policy E-13- Promotion and Tenure Explanatory Documents](#)

[Policy E-14- Annual Reviews and Promotion Procedures for Academic Appointees](#)

[Policy E-15- Affirmative Action Implementation Document \(Extract\)](#)

# Visited 01/09/2015

[Policy E-16- Procedures for Faculty Tenure](#)  
[Policy E-17- Review of Non-reappointments for Tenure Probationary Faculty and Librarians](#)  
[Policy E-18- Procedures for Faculty Promotion Recommendations](#)  
[Policy E-19- Procedures for Librarian Promotion Recommendations](#)  
[Policy E-20- Tenure Advisory Committee](#)  
[Policy E-21- Waiver of Right to Access Letters of Evaluation](#)  
[Policy E-22- Salary Policy, University](#)  
[Policy E-23- Bloomington Campus Salary Policy for Faculty/Librarians](#)  
[Policy E-24- Affirmative Action Plan: Salary Policy](#)  
[Policy E-25- Salary Issues](#)  
[Policy E-26- Extra Compensation](#)



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