#### IUB Promotion and Tenure Process and Procedures O'Neill School of Public and Environmental Affairs

October 2000 (Revised December 2001; November 2004; September 2006, May 2016) Updated May 2017, February 2018, January 2020, February 2022, November 2023, April 2024

This document describes promotion and tenure processes and procedures specific to SPEA-IUB. A separate document with parallel structure describes [will describe] the corresponding processes and procedures specific to SPEA-IUPUI.

## I. O'NEILL CORE SCHOOL PROCESS AND PROCEDURES

Several documents govern the O'Neill School of Public and Environmental Affairs' promotion and tenure process. These include the O'Neill *Faculty Guide*, the O'Neill Governance document (revised 2015), the O'Neill Promotion and Tenure Standards for Tenure Track Faculty (revised April 2019), and the O'Neill Promotion Standards for Non-Tenure Track Faculty (revised December 2019). Additional information is available in the "Guidance for Promotion and Tenure Candidates: O'Neill IUB, 2020." The O'Neill school documents are available on the web at: <u>https://oneill.indiana.edu/policies/index.html</u>.

[Faculty being evaluated for promotion and tenure can choose to be evaluated for both decisions using the standards in place at that time, or the candidate may choose to be evaluated for tenure based on the standards in place at the time he/she was hired, while being evaluated for promotion based on the current standards in place at the time.

Lecturers, Clinical Assistant Professors, and Assistant Scientists being considered for promotion have the choice of whether to be evaluated using the standards in place at the current time or at the time of their original appointment. All other faculty being considered for promotion will be evaluated using the standards in place at the current time.]

The O'Neill Core School becomes involved at two key phases in the process: (1) review of candidate dossiers by the O'Neill Core School Promotion and Tenure Advisory Committee and (2) review by the O'Neill School Dean. These are described here and flagged below in *italicized* text preceded by "<u>Core</u> <u>School Process.</u>"

Throughout this document, reference to the campus Executive Associate Dean means this individual or her/his designee, e.g., the Associate Dean for Faculty Affairs on the IUB campus.

## A. O'Neill Core School Promotion and Tenure Advisory Committee

The O'Neill Core School Promotion and Tenure Advisory Committee will review the candidate's eDossier and the recommendation of the O'Neill Campus Promotion and Tenure Advisory Committee. The O'Neill Core School Promotion and Tenure Advisory Committee will prepare its own recommendation for tenure and/or promotion based on the eDossier. It will vote on this recommendation and provide the results of the vote in its recommendation report. The committee's vote and recommendation will uploaded to the candidate's eDossier by the chair of the O'Neill Core School Promotion and Tenure Advisory Committee. The campus Executive Associate Dean advises candidates of the O'Neill Core School Promotion and Tenure Advisory Committee's recommendation.

The Core School Promotion and Tenure Advisory Committee will be comprised of the chairpersons of each Campus

Promotion and Tenure Advisory Committee and three additional members appointed by the Dean. The Dean will appoint the chairperson of the Core School Promotion and Tenure Advisory Committee annually, usually the chair of one of the Campus Promotion and Tenure Committee. The chair of the Core School Committee may participate in all discussions regarding candidates but shall abstain from voting on the awarding of tenure and promotion for any candidate from her/his campus since he/she will have voted as part of the Campus Promotion and Tenure Committee. The Core School Promotion and Tenure Committee must complete its duties at least two weeks before the deadline for submission of the eDossier on the candidate's campus in order to allow enough time for preparation of the Dean's letter of recommendation.

# B. Dean's Recommendation

After reviewing the recommendations of the O'Neill Campus Promotion and Tenure Advisory Committee and the O'Neill Core School Promotion and Tenure Advisory Committee, the Dean and the campus Executive Associate Dean prepare an independent report on each case containing explicit judgments relative to each area of review and an explicit recommendation concerning tenure and/or promotion. This recommendation should include reference to the School's multi-disciplinary, multi-campus structure and will be included in the candidate's eDossier.

# II. O'NEILL-IUB PROCESS AND PROCEDURES

## A. Faculty Guidance and Assistance During the Pre-Tenure/Promotion Review Process

Every probationary faculty member chooses at least one faculty mentor in consultation with her/his faculty group chair and the IUB Associate Dean for Faculty Affairs. The faculty mentor's responsibilities (see https://oneill.indiana.edu/policies/docs/advisor-mentor2016.pdf) include providing guidance about professional matters, including career development with a view toward the tenure and/or promotion process. Faculty mentors typically are senior O'Neill faculty but may be members of some other unit of Indiana University. Occasionally, by request of the probationary faculty member, some colleague external to Indiana University will act as mentor.

When initially hired, each probationary faculty member is urged to review the O'Neill policies page (https://oneill.indiana.edu/policies/index.html) which contains useful information concerning SPEA and its policies and procedures, including all documents pertinent to the School's promotion and tenure process.

## Third-Year Review

O'Neill faculty members on probationary status are afforded the benefits of a comprehensive review during their third year. The purpose of this review is to appraise each candidate's strengths and weak-nesses in the areas of faculty work appropriate to his/her type of appointment (teaching, research, and service for tenure-track faculty; teaching and service for clinical faculty; teaching and teaching related services for lecturer faculty; and research for scientist faculty) and to assess whether he or she is on track towards tenure and/or promotion if the current trajectory continues.

This third-year review is distinct from the annual review process for all faculty. In every important respect save three, this third-year review is identical to the tenure and/or promotion review. (The exceptions are that (1) reviews by experts external to the university (2) student letters, or (3) a faculty vote are not sought). Third-year faculty prepare a tenure and promotion dossier that is identical in substance and structure to that which they will submit for the actual review two years later. To facilitate this effort, the IUB Associate Dean for Faculty Affairs arranges for third-year faculty to have access to a system of network folders that mirrors the eDossier system used for the tenure and/or promotion review.

The candidates due for third year review must submit their dossiers on or around January 15 during their third year of probationary status. The IUB Associate Dean for Faculty Affairs solicits evaluations of the dossier by chairs of faculty group in which the candidate is a member and by program directors (where relevant). Candidates with teaching responsibilities are encouraged to arrange peer observation of classroom teaching, course materials and syllabi prior to the review. The full dossier is forwarded to the O'Neill IUB Promotion and Tenure Advisory Committee, which reviews the dossier and provides extensive written feedback to the candidate.

<u>O'Neill Core School Process</u>: The dossier is also sent to the SPEA Core School Promotion and Tenure Advisory Committee for further review.

Both reviews are forwarded to the probationary faculty member by the IUB Associate Dean for Faculty Affairs and to the Office of the Dean, no later than April 1<sup>st</sup>.

## B. Promotion and Tenure Process and Procedure

Except for Scientist faculty, the probationary faculty member submits her/his final tenure and/or promotion dossier before the start of the sixth year, although the process begins the previous spring.<sup>1</sup> Scientist faculty have the option of deciding when to submit his/her promotion dossier (e.g., he/she is not subject to an "up or out" review in the 6<sup>th</sup> year of probationary appointment and consequently is also free to decide when to initiate the 3<sup>rd</sup> year review described above).

The IUB Associate Dean for Faculty Affairs will develop a *SPEA IUB Promotion and Tenure Timeline* (available on the SPEA Policies webpage) that establishes important dates and deadlines for various participants in the tenure and/or promotion process.

The IUB Associate Dean for Faculty Affairs will populate the review levels on the eDossier system (e.g., specify which individuals have review privileges on each level of review) for SPEA-IUB candidates.

## C. Initiation of Candidacy

The initiation of candidacies should be made in writing to the IUB Associate Dean for Faculty Affairs on or before a deadline established by the *O'Neill IUB Promotion and Tenure Timeline*. A copy of this notification should be sent to the Office of the Dean.

- 1. Any faculty member may initiate his/her own candidacy or may recommend any other faculty member for tenure and/or promotion.
- 2. The IUB Associate Dean for Faculty Affairs and the Office of the Dean may add to the list of candidates and will include all probationary faculty approaching the end of their fifth year of appointment counting towards tenure or long-term contract and subject to mandatory reviews in their sixth year. (Scientist faculty are not subject to mandatory promotion reviews.)

<sup>&</sup>lt;sup>1</sup> With the exception of research leaves taken with a fellowship, time spent on a leave where there is a separation from regular duties for other reasons will not normally count toward tenure, thereby extending the probationary period. With the exception of approved leave plans (Medical, Family Medical Leave Act, etc.), other leaves (departmental, partial, leave without pay) are subject to approval by the campus Executive Associate Dean, the Dean of the School, and the Vice Provost/Vice Chancellor for Academic Affairs on the faculty member's campus.

## D. Dossier Preparation

- 1. Each candidate for tenure and/or promotion tenure will be advised of his/her candidacy by the IUB Associate Dean for Faculty Affairs and will have primary responsibility for the preparation and timely submission of the eDossier. If desired, the faculty mentor will assist the probationary candidates (including third year review candidates) in the preparation of their dossier. The IUB Associate Dean for Faculty Affairs has the responsibility of soliciting input regarding collaborative work, if appropriate. The Office of the Dean will be available to assist the candidate, the mentor and/or the IUB Associate Dean for Faculty Affairs upon request.
- 2. Each eDossier should be prepared in accordance with the O'Neill *Guidance for Promotion and Tenure Candidates* available on the web.
- 3. The IUB Associate Dean for Faculty Affairs will assist candidates as they comply with the promotion and tenure procedures on the IUB campus. The Office of the Dean will provide assistance where appropriate.
- 4. The O'Neill IUB Promotion and Tenure Timeline will establish a date by which the candidate must provide electronic copies of her/his personal statement, vita, and sample documentation for distribution to external reviewers research publications for candidates declaring excellence in research and documentation relevant to teaching or service for candidates declaring excellence in one of those fields.
- 5. The *O'Neill Promotion and Tenure Timeline* will establish the deadline for submission of the completed eDossier for candidates for tenure and/or promotion.
- 6. The IUB Associate Dean for Faculty Affairs will review the eDossier with each candidate before the candidate officially submits the eDossier.
- 7. Once the candidate has formally submitted his/her eDossier, the IUB Associate Dean for Faculty Affairs will make the eDossier as submitted by the candidate available to voting-eligible O'Neill-IUB faculty.
- 8. The IUB Associate Dean for Faculty Affairs will also submit the eDossiers at each review level to make relevant review letters available at each review level, except for the recommendation and votes prepared by the two Promotion and Tenure Advisory Committees (O'Neill IUB and O'Neill Core School).

## E. Letters of Evaluation

The O'Neill IUB Promotion and Tenure Timeline will designate a deadline for promotion and/or tenure candidates to submit, in writing, a declaration of the area in which excellence is to be claimed (teaching, service, or research). In exceptional cases, a candidate may present evidence of balanced strengths that promises excellent overall performance of comparable benefit to the university over time (in such cases, candidates are expected to demonstrate Very Good performance in all areas of faculty work and evidence of integration between them).<sup>2</sup> In addition, the O'Neill IUB Promotion and Tenure Timeline will designate a date for candidates to submit nominations of external reviewers they deem competent to examine materials in the candidate's declared areas of excellence.

The candidate is expected to nominate independently twelve external reviewers in his/her declared area of excellence. These should be faculty holding the rank of full professor (or the equivalent) at highly regarded institutions. However, half of the external reviewers for candidates for promotion to Senior Lecturer may be from IUB but outside of the O'Neill School. These do not need to be full professors

<sup>&</sup>lt;sup>2</sup> A copy of this declaration will be sent to the Office of the Dean at the same time.

but could be seasoned professionals with teaching-related expertise. In the case of promotion to Senior Lecturer or Teaching Professor, the IUB Associate Dean for Faculty Affairs must obtain at least six such letters (with the goal of having three from each list), including at least four from reviewers external to IU). Two may be from IUB units outside of O'Neill. The reviewers must be chosen with special reference to the candidate's declared area of excellence. In each case, the final list of external reviewers from whom letters are solicited will be identified by the source of nomination. Candidates may also provide names of reviewers they have reasons to believe would be unable or unwilling to provide an unbiased assessment of their performance, with reasons indicated.

The IUB Associate Dean for Faculty Affairs also composes a list of external reviewers in consultation with Faculty Group chairs and senior faculty in the School, independent of the list prepared by the candidate. Then, using the candidate's list and her/his list, the IUB Associate Dean for Faculty Affairs selects the external reviewers and solicits their input, and must obtain at least six such letters for each candidate with the goal of having three from each list.

The letter of solicitation (see Attachments A, B, C and D) follows a standard format for all candidates, addressing different areas of excellence as self-identified by the candidate. The letter highlights the School's special features and includes a summary sheet with information about the context in which the candidate has worked (see Attachment E). O'Neill's Promotion and Tenure Standards (or Professional Guidelines, for those opting to be reviewed under those criteria) are also attached. The candidate's campus of affiliation is identified. In accordance with action by the University Faculty Council concerning the confidentiality of external reviews, reviewers are advised that the candidate has the right to request access to the reviews and must be given such access to the review. The letter of solicitation also notes that voting-eligible faculty are granted access to the external review letters but are instructed to treat such letters as confidential and expected to act accordingly. Other than follow-up contact by the IUB Associate Dean for Faculty Affairs to increase response rate and to acknowledge receipt of reviews, no other contact with external reviewers is permitted.

The IUB Associate Dean for Faculty Affairs also solicits input from graduate and undergraduate program directors (Attachment G) and Chairs of Faculty Groups (Attachment H) in which the candidate is a member. These letters of solicitation will be similar to the sample letters provided in the attachments. These letters should be included in the eDossier before the O'Neill campus Promotion and Tenure Advisory Committee begins its consideration of the candidate's case.

The candidate's resume, personal statement and sample documentation will be provided to external reviewers. The candidate is responsible for providing electronic copies of these documents to send to external reviewers by the deadline established by the IUB Associate Dean for Faculty Affairs. Program directors, faculty chairs, and faculty eligible to vote on the candidate's tenure and/or promotion will have access to external letters but are instructed to treat such letters as confidential and are expected to act accordingly.

Candidates will be invited, by the IUB Associate Dean for Faculty Affairs, to submit names of former students who may be in a position to assist in providing an evaluation of teaching activities and performance. The IUB Associate Dean for Faculty Affairs will also draw a random sample of former students from the candidate's list and rosters from the candidate's courses, with the assistance of program directors, where applicable. These letters are solicited by the IUB Associate Dean for Faculty Affairs (see Attachment I). The candidate may specify the names of specific students that he or she believes would be unable or unwilling to provide an unbiased assessment and the reasons why.

Candidates have the option of submitting names of individuals who can confirm the value of significant public service (or unusual professional service) they have provided to external organizations or on policy issues. These letters are also solicited by the IUB Associate Dean for Faculty Affairs (see Attachment J).

Candidates must provide a list of co-authored work and the contact information for all co-authors of each publication. In cases where there are more than five co-authors, the candidate should identify the five co-authors who have had the most substantive role in producing the publication. The IUB Associate Dean for Faculty Affairs will solicit the assessment by co-authors (generally no more than five) of the candidate's contributions to each co-authored work (see Attachment K). In cases where the co-author is a current student of the candidate, such an assessment will not be solicited to avoid conflict of interests.

# F. O'Neill Campus Promotion and Tenure Advisory Committee

The IUB Executive Associate Dean will form a O'Neill IUB Promotion and Tenure Advisory Committee and the Committee will, in consultation with the IUB Associate Dean for Faculty Affairs establish the procedures it follows in accordance with the O'Neill IUB Promotion and Tenure Timeline. The O'Neill IUB Promotion and Tenure Advisory committee reviews the eDossier of each candidate and presents its detailed review and recommendation to a meeting of voting-eligible faculty.

Available for the Committee's review are the candidate's complete eDossiers, all internal and external letters of review, and letters solicited from students.

The Committee's report, with an explicit record of votes taken with respect to tenure and/or promotion (as appropriate) and with respect to performance in each of the areas of teaching, service and research (as appropriate), is submitted to the candidate's eDossier by the Committee Chair and informs the IUB Associate Dean for Faculty Affairs of this step. The IUB Associate Dean for Faculty Affairs forwards results of the committee's votes to the candidate, who is provided a one-week period during which to prepare a rebuttal to committee action if so desired.

<u>O'Neill Core School Process</u>. The Committee's report is also available to the O'Neill Core School Promotion and Tenure Advisory Committee at least five weeks before the deadline for submission of the eDossier for campus-level review. This deadline for submission of the recommendation to the O'Neill Core School committee allows a review of the eDossier by the O'Neill Core School Promotion and Advisory Committee and preparation of the Dean's letter in sufficient time to meet the campus eDossier submission deadline.<sup>3</sup>

<sup>&</sup>lt;sup>3</sup> The mandated five-week time span between completion of the O'Neill IUB Promotion and Tenure Advisory Committee's deliberations and the campus deadline for submission of dossiers allows for a one-week rebuttal period after the candidate is notified of the O'Neill IUB committee's decision. The candidate must submit a written rebuttal to the IUB Associate Dean for Faculty Affairs no later than one week after being notified of the O'Neill IUB Promotion and Tenure Committee's decision. The written rebuttal will then be uploaded to the candidate's eDossier and available to the O'Neill IUB Promotion and Tenure Advisory Committee, which will have one week to reconsider its recommendation in light of the written rebuttal. At the same time the O'Neill Core School Promotion and Tenure Advisory Committee will be informed of the rebuttal by the IUB Associate Dean for Academic Affairs. The O'Neill IUB Promotion and Tenure Advisory Committee will prepare and upload its response to the rebuttal, noting any changes in its original recommendation, no later than two weeks after it completed its original deliberations. This response will be available to the O'Neill Core School Promotion and Tenure Committee.

## G. Balloting of Faculty of Rank

The IUB Associate Dean for Faculty Affairs will arrange a meeting of faculty eligible to vote on a candidate before the deadline for the balloting on the candidate's campus. The intent of this meeting is to hear the report and recommendations of the O'Neill IUB Promotion and Tenure Advisory Committee and to discuss the promotion and/or tenure of eligible candidates. No formal action is taken. Verbal summaries of factual information (including summaries of review letters) may be presented in a format designed to safeguard the confidentiality of external reviewers.

The IUB Associate Dean for Faculty Affairs will also organize balloting for a candidate(s) on that campus using the confidential ballot format provided (see Attachment L). The balloting will involve all voting-eligible faculty of rank on the candidate's campus (see Attachment M). Results of the balloting will be summarized by the IUB Associate Dean for Faculty Affairs, reported to the candidate, and included in the candidate's eDossier. Faculty who serve on the O'Neill Campus or O'Neill Core Promotion and Tenure Committees may participate in the discussion of candidates, but must abstain from voting until casting their votes as members of the Committees.

## H. O'Neill Core School Promotion and Tenure Advisory Committee

<u>O'Neill Core School Process</u>: The Dean's Office and each Campus Executive Associate Dean will have access to the candidate's complete eDossier, including the O'Neill Campus Promotion and Tenure Advisory Committee detailed recommendation, at least five weeks before the deadline for submission of promotion and tenure eDossiers on the candidate's campus. The O'Neill Core School Promotion and Tenure Advisory Committee will review the candidate's eDossier and the recommendation of the O'Neill Campus Promotion and Tenure Advisory Committee. The O'Neill Core School Promotion and Tenure Advisory Committee. The O'Neill Core School Promotion based on the eDossier. It will vote on this recommendation and provide the results of the vote in its recommendation report. The Committee's chair will upload the recommendation and vote to the candidate's eDossier and notify the Campus Executive Associate Dean that this step has been taken. The campus Executive Associate Dean will advise candidates of the O'Neill Core School Promotion and Tenure Advisory Committee's recommendation.

The Core School Promotion and Tenure Advisory Committee will be comprised of the chairpersons of each O'Neill Campus Promotion and Tenure Advisory Committee and three additional members appointed by the Dean.<sup>4</sup> The Dean will appoint the chairperson of the Core School Promotion and Tenure Advisory Committee annually, usually the chair of one of the O'Neill Campus Promotion and Tenure Committee. The chair of the Core School Committee may participate in all discussions regarding candidates but shall abstain from voting on the awarding of tenure and promotion for any candidate from her/his campus since he/she will have voted as part of the O'Neill Campus Promotion and Tenure Committee must complete its duties at least two weeks before the deadline for submission of the eDossier on the candidate's campus in order to allow enough time for preparation of the Dean's letter of recommendation.

## I. Dean's Recommendation

<u>O'Neill Core School Process</u>: After reviewing the full dossier, including the recommendations of the O'Neill Campus Promotion and Tenure Advisory Committee, and the O'Neill Core School Promotion and Tenure Advisory Committee, external reviewer letters, and the faculty vote, the Dean Executive Associate Dean prepare an independent report on each

<sup>&</sup>lt;sup>4</sup> An IUB Promotion and Tenure Advisory Committee chairperson will be designated every academic year regardless of whether that campus has any promotion and tenure cases to consider.

case containing explicit judgments relative to each area of review and an explicit recommendation concerning tenure and/or promotion. This recommendation should include a discussion of the context for the vote of faculty of rank and reference to the School's multi-disciplinary, multi-campus structure and will be included in the candidate's eDossier. The IUB Associate Dean for Faculty Affairs will also advise candidates of the Dean's recommendation.

# J. Forwarding of Recommendations

The candidate's eDossier, now contains all internal and external letters of review, letters from students, a report of the balloting by faculty of rank, the O'Neill Campus Promotion and Tenure Advisory Committee report and record of votes, the O'Neill Core School Promotion and Tenure Advisory Committee report and record of votes, the Dean's report and recommendation, and any materials added by the candidate by way of rebuttal or supplementary information. The eDossier is then submitted by the IUB Associate Dean for Faculty Affairs and available for review and action by the campus-wide Promotion and Tenure Committee. From there eDossiers move forward to the IUB Provost. Following the Provost's action, the eDossiers are forwarded to the Vice President for Academic Affairs, the President, and eventually to the Board of Trustees for action.

# K. Additions to eDossier

Until the eDossier goes to the Board of Trustees, the candidate has the right to add new material (e.g. notification of manuscripts accepted for publication, grant awards, etc.) to the eDossier at any time, however only accomplishments completed prior to the decision by the Executive level of review (e.g., Provost's Office) may be included in the dossier. If any new material is added, all prior review levels with access to similar information are advised of the addition and given the opportunity to reconsider the original recommendation.

# L. Clinical and Lecturer Appointments

All clinical, lecturer and scientist faculty undergo annual reviews just as do tenure and tenure-probationary faculty. For lecturers, evaluation of performance focuses chiefly on contributions to the teaching mission of the School including, but not limited to, classroom teaching, student advising, and curriculum development. For Clinical faculty, evaluation focuses also on contributions to the School's service mission, particularly public and professional service. For Scientist faculty, evaluation focuses on contributions to the School's research mission.

Clinical and lecturer faculty also shall undergo a third-year review with the explicit understanding that they have no responsibility to engage in research and scholarly publications.

All clinical and lecturer faculty shall be considered for promotion and appointment to long-term contracts in the sixth year of their probationary periods following the procedures for tenured and tenureeligible faculty described above. Promotion and reappointment for clinical appointments will be based on excellence in at least one area (teaching or service) and satisfactory performance in the other area (teaching or service). Alternatively, promotion and reappointment may be based on the balanced case criteria of very good performance in teaching and in service that has equivalent value to the School as excellence in one area and satisfactory in the other. Promotion and reappointment for lecturers will be based on excellence in teaching. If a clinical or lecturer candidate fails to receive appointment to a longterm contract, s/he will not be eligible for reappointment.

Scientist faculty may request a third-year review at any time as preparation for a promotion review; they

may also request a promotion review at any time, but there is no deadline for when they have to be considered for promotion. Promotion for scientist appointments will be based on excellence in research and research-related services. If a scientist candidate fails to receive promotion he/she will still be eligible for reappointment.

## ATTACHMENT A

### Letter to External Reviewers – Tenure-Track Faculty

Reviewer NAME and ADDRESS

Dear :

Professor **[Name]** is being considered [for tenure and] promotion to the rank of [Associate Professor/Full Professor] as a member of the faculty of the O'Neill School of Public and Environmental Affairs at Indiana University [campus].

As part of our review procedures, we customarily write a select group of experts in the candidate's field asking them to provide an independent assessment of the candidate's contributions to research, teaching, and/or service. Ordinarily a candidate should excel in one of these areas and be at least satisfactory in the other two areas. Professor [Name] is being considered for [tenure and] promotion on the basis of **excellence in research**.

As an expert in your field, I would greatly appreciate your frank appraisal of the significance of [Name's] [specify area targeted for this reviewer – research/teaching/service] contributions. Do you rate them as below average (unsatisfactory), average (satisfactory), above average (very good), or excellent in quality? In quantity? Has [Name] established [for untenured candidates: the promise of] a national or international reputation as a researcher in [his/her] field? How do you assess the promise for the future of [Name's] work? Are you personally acquainted with the candidate? [I invite your evaluations of Professor [Name's] performance in [list of remaining area(s), as well, if you have knowledge of them.]

Enclosed is a sheet summarizing key factors that provide a context for [Name's] appointment, a vita, a brief "candidate's statement," representative examples of [Name's] work, and other background information. If you are interested in reviewing other items listed in the resume or statement, or would like to have additional information, please let me know.

Given the unusual structure and organization of our School, some candidates find that their academic circumstances are quite different from those of their colleagues in more traditional departments. To supplement the information provided in the attached context summary sheet, *[Name]* has been asked to highlight in *[bis/ber]* personal statement key factors that it may be appropriate for you to consider.

Please note that in most cases, reviews will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Letters of recommendation normally are not disclosed to the candidates themselves, however, a candidate may request access to the entire dossier, and state law requires the university to comply with such a request.

In order for the candidate's dossier to receive a full review, I ask that you provide us with your assessment by *[date]*. Because of the School's disciplinary diversity, we would also appreciate it if you could provide us with a copy of **your own vitae** (or web address where it may be obtained) to include in the dossier with the outside referee information.

We realize that a request such as this is a real burden and we very much appreciate your taking the time

to assist us in this manner. As you are well aware, the process of reviewing candidates for tenure and/or promotion is extremely important for both the candidate and the university.

Sincerely,

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[Name]

### ATTACHMENT B

## Letter to External Reviewers – "Balanced Case" Tenure-Track Faculty

Reviewer NAME and ADDRESS

Dear :

Professor **[Name]** is being considered [for tenure and] promotion to the rank of [Associate Professor/Full Professor] as a member of the faculty of the O'Neill School of Public and Environmental Affairs at Indiana University [campus].

As part of our review procedures, we customarily write a select group of experts in the candidate's field asking them to provide an independent assessment of the candidate's contributions to research, teaching, and/or service. Ordinarily a candidate for tenure and/or promotion should excel in at least one of the categories of research, teaching, or service and be at least satisfactory in the other two areas. In exceptional cases, however, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. In such cases, we expect Very Good performance in all three categories and evidence of integration between them. Professor *[Name]* is being considered for *[for tenure and]* promotion on the basis of a **balanced case**.

As an expert in your field, I would greatly appreciate your frank appraisal of the significance of [Name's] [specify area targeted for this reviewer – research/teaching/service] contributions. Do you rate them as below average (unsatisfactory), average (satisfactory), above average (very good), or excellent in quality? In quantity? Is there evidence of integration among the three areas of work? How do you assess the promise for the future of [Name's] work? Are you personally acquainted with the candidate? Would Professor [Name] be granted promotion at your university?

Enclosed is a sheet summarizing key factors that provide a context for [Name's] appointment, a vita, a brief "candidate's statement," representative examples of [Name's] work, and other background information. If you are interested in reviewing other items listed in the resume or statement, or would like to have additional information, please let me know.

Given the unusual structure and organization of our School, some candidates find that their academic circumstances are quite different from those of their colleagues in more traditional departments. To supplement the information provided in the attached context summary sheet, *[Name]* has been asked to highlight in *[bis/ber]* personal statement key factors that it may be appropriate for you to consider.

Please note that in most cases, reviews will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Letters of recommendation normally are not disclosed to the candidates themselves, however, a candidate may request access to the entire dossier, and state law requires the university to comply with such a request.

In order for the candidate's dossier to receive a full review, I ask that you provide us with your assessment by *[date]*. Because of the School's disciplinary diversity, we would also appreciate it if you could provide us with a copy of **your own vitae** (or web address where it may be obtained) to include in the dossier with the outside referee information.

We realize that a request such as this is a real burden and we very much appreciate your taking the time to assist us in this manner. As you are well aware, the process of reviewing candidates for tenure and/or promotion is extremely important for both the candidate and the university.

Sincerely,

[Name]

## ATTACHMENT C

### Letter to External Reviewers – Clinical Faculty

#### Dear [Salutation]:

Professor *[Name]* is being considered for promotion to the rank of *[Clinical Associate/Full]* Professor as a member of the faculty of the O'Neill School of Public and Environmental Affairs at Indiana University Bloomington.

As part of our review procedures, we customarily write to a group of experts in the candidate's field to ask them for an independent judgment of the candidate's contributions to one of the main areas of faculty work appropriate to the type of appointment. For clinical faculty this is teaching or service (only tenured or tenure-track faculty are expected to undertake scholarly research). As a Clinical faculty, *[Name]* is being considered for promotion on the basis of excellence in *[teaching/service]*.

For the purposes of your review, please focus your assessment on [Name's] [specify area targeted for this review – teaching/service] record. Specifically, we would like for you to address the following questions: How do you rate the contributions both in quality and in quantity? Do you rate them as below average (unsatisfactory), average (satisfactory), above average (very good), or excellent in quality? In quantity? How do you assess the promise for [Name's] future contributions to the School's [teaching/service] mission? Are you personally acquainted with the candidate? Would [Name] be granted promotion to [Clinical Associate/Full] Professor at your university?

Enclosed is a sheet summarizing key factors that provide a context for [Name's] appointment, a vita, a brief "candidate's statement," representative examples of Professor [Name's] work, and other background information. The curriculum vitae and personal statement enclosed for your consideration includes a list of courses taught and other contributions to [teaching/service], as well as information about the candidate's [teaching]-related service. We realize that the judgments in some areas of teaching and service must rely heavily upon local assessment, but invite your comments on relevant topics in these areas as well. If you are interested in reviewing other items listed in the CV or statement, or would like to have additional information, please let me know.

Given the unusual structure and organization of our School, some candidates find that their academic circumstances are quite different from those of their colleagues in more traditional departments. To supplement the information provided, *[Name]* has been asked to highlight in *[his/her]* personal statement key factors that may be appropriate for you to consider. In addition, we have included a copy of the School's Promotion Standards for Non-Tenure Track Faculty for your review. Please note that while publicly disseminated and peer reviewed scholarship in teaching is desirable, it is not required for promotion on the basis of excellence in teaching.

Your letter will be available to a small group of faculty members serving in a tenure and/or promotion advisory capacity. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. The candidate may request access to, and the University is legally compelled to give access to, the entire dossier.

I appreciate your time and aid in allowing us to compile as thorough a dossier as possible for [Name]. Since our review is currently under way, it would be helpful if you could respond by [date]. Because of the School's disciplinary diversity, we would also appreciate it if you could provide us with a copy of

your own vitae (or web address where it may be obtained) to include in the dossier with the outside referee information.

We realize that a request such as this is a real burden and we very much appreciate your taking the time to assist us in this manner. As you are well aware, the process of reviewing candidates for promotion is extremely important for both the candidate and the university.

Sincerely,

[Name]

Attachments

## ATTACHMENT D

## Letter to External Reviewers – Lecturers

### Dear [Salutation]:

[Name] is being considered for promotion to the rank of [Senior Lecturer] as a member of the faculty of the O'Neill School of Public and Environmental Affairs at Indiana University Bloomington.

As part of our review procedures, we customarily write to a group of experts in the candidate's field to ask them for an independent judgment of the candidate's contributions to one of the main areas of faculty work appropriate to the type of appointment. For lecturers this is teaching and teaching-related service (only tenured or tenure-track faculty are expected to undertake scholarly research). As a lecturer, *[Name]* is being considered for promotion on the basis of excellence in teaching.

For the purposes of your review, please focus your assessment on [Name's] teaching record. Specifically, we would like for you to address the following questions: How do you rate the contributions both in quality and in quantity? Do you rate them as below average (unsatisfactory or ineffective), average (satisfactory or effective), above average (very good), or excellent in quality? In quantity? How do you assess the promise for [Name's] future contributions to the School's teaching mission? Are you personally acquainted with the candidate? Would [Name] be granted promotion to Senior Lecturer at your university?

Enclosed is a sheet summarizing key factors that provide a context for [Name's] appointment, a vita, a brief "candidate's statement," representative examples of Professor [Name's] teaching-related work, and other background information. To supplement the information provided in the attached context summary sheet, [Name] has been asked to highlight in [his/her] personal key factors that it may be appropriate for you to consider. We realize that the judgments in some areas of teaching and service must rely heavily upon local assessment, but invite your comments on relevant topics in these areas as well. If you are interested in reviewing other items listed in the CV or statement, or would like to have additional information, please let me know.

Given the unusual structure and organization of our School, some candidates find that their academic circumstances are quite different from those of their colleagues in more traditional departments. To supplement the information provided, [Name] has been asked to highlight in [his/her] personal statement key factors that may be appropriate for you to consider. In addition, we have included a copy of the School's Promotion Standards for Non-Tenure Track Faculty for your review. Please note that while publicly disseminated and peer reviewed scholarship in teaching is desirable, it is not required for promotion to senior lecturer on the basis of excellence in teaching.

Your letter will be available to a small group of faculty members serving in a tenure and/or promotion advisory capacity. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. The candidate may request access to, and the University is legally compelled to give access to, the entire dossier.

I appreciate your time and aid in allowing us to compile as thorough a dossier as possible for [Name]. Since our review is currently under way, it would be helpful if you could respond by [date]. Because of the School's disciplinary diversity, we would also appreciate it if you could provide us with a copy of your own vitae (or web address where it may be obtained) to include in the dossier with the outside

referee information.

We realize that a request such as this is a real burden and we very much appreciate your taking the time to assist us in this manner. As you are well aware, the process of reviewing candidates for promotion is extremely important for both the candidate and the university.

Sincerely,

[Name]

Attachments

#### ATTACHMENT E Letter to External Reviewers – Scientist

Reviewer NAME and ADDRESS

Dear :

Dr. *[Name]* is being considered *[for tenure and]* promotion to the rank of *[Associate Scientist/Senior Scientist]* as a member of the faculty of the O'Neill School of Public and Environmental Affairs at Indiana University *[campus]*.

As part of our review procedures, we customarily write a select group of experts in the candidate's field asking them to provide an independent assessment of the candidate's contributions to research, which is the primary area of responsibility for Scientists.

As an expert in your field, I would greatly appreciate your frank appraisal of the significance of [Name's] research contributions. Do you rate them as below average (unsatisfactory), average (satisfactory), above average (very good), or excellent in quality? In quantity? Has [Name] established [for assistant scientists: the promise of] a national or international reputation as a researcher in [his/her] field. How do you assess the promise for the future of [Name's] work? Are you personally acquainted with the candidate?

Enclosed is a sheet summarizing key factors that provide a context for [Name's] appointment, a vita, a brief "candidate's statement," representative examples of [Name's] work, and other background information. If you are interested in reviewing other items listed in the resume or statement, or would like to have additional information, please let me know.

Given the unusual structure and organization of our School, some candidates find that their academic circumstances are quite different from those of their colleagues in more traditional departments. To supplement the information provided in the attached context summary sheet, *[Name]* has been asked to highlight in *[bis/ber]* personal statement key factors that it may be appropriate for you to consider.

Please note that in most cases, reviews will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Letters of recommendation normally are not disclosed to the candidates themselves, however, a candidate may request access to the entire dossier, and state law requires the university to comply with such a request.

In order for the candidate's dossier to receive a full review, I ask that you provide us with your assessment by *[date]*. Because of the School's disciplinary diversity, we would also appreciate it if you could provide us with a copy of **your own vitae** (or web address where it may be obtained) to include in the dossier with the outside referee information.

We realize that a request such as this is a real burden and we very much appreciate your taking the time to assist us in this manner. As you are well aware, the process of reviewing candidates for tenure and/or promotion is extremely important for both the candidate and the university.

Sincerely,

[Name]

#### ATTACHMENT F *Attachment for Letter to External reviewers* O'Neill School of Public and Environmental Affairs Indiana University [Campus]

As a context for your review of Professor [candidate name], please give careful consideration to the following.

**Indiana University Promotion and Tenure Criteria**. Indiana University's promotion and tenure regulations normally require that the candidate demonstrates excellence in one of the three categories of faculty work (teaching, research, and service), and be judged at least satisfactory in the remaining *area(s)*. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university over time. <u>Professor [Name]</u> has declared <u>her/his area of excellence to be [specify area OR has declared her/his candidacy on the basis of a balanced case]</u>.

**O'Neill's Promotion and Tenure Standards**. The O'Neill School of Public and Environmental Affairs is a professional school, organized as a multi-disciplinary, university-wide division of Indiana University, with strong commitments to teaching, research, and public service. The School's promotion and tenure standards reflect these commitments. Professor [Name] will be reviewed against the [Professional Guidelines that were in effect when he/ she was hired; Promotion and Tenure Standards that were adopted by the School's faculty in May of 1999 and revised in 2008; 2019; document on Lecturer and Clinical Appointments, 2009; Promotion Standards for Non-Tenure Track Faculty]. This document is enclosed here.

**The** *[location]* **campus**. The School's faculty members hold a primary appointment at one of two Indiana University campuses which offer degrees. <u>Professor [Name]</u> has an appointment at our *[location]* campus, where the School awards the degrees listed on the attached document [Comment: the attached sheet should include the most recent list of degrees and associated majors/ minors/concentrations and certificates awarded on this campus]. The campus operates within the context of a [specify category] university as assessed by the 1994 Carnegie Classification (for definitions of this system, please see the attached sheets) with mainly [full-time, residential (IUB), mix of full-time and returning/in-service/part-time (IU-PUI), returning/in-service/part-time (regional)] students. [Comment: the attached sheet should contain the most recent Carnegie definitions].

**Teaching Load**. On the *[location]* campus, the School's *[tenure-line faculty members normally teach four courses; non-tenure track faculty members normally teach six courses]* per year, although in recent years some reductions have been made available to newly hired junior tenure-track faculty. Please note that the number of courses taught, the diversity of faculty course preparations, and types of students enrolled may differ significantly from those of traditional disciplinary departments of the candidate's peers.

## ATTACHMENT G

### Letter to Graduate and Undergraduate Program Directors (if applicable)

#### Dear

As you know, *[Candidate name]* is being considered for *[promotion/tenure and promotion]* to *[faculty rank]* as a member of the faculty of the School of Public and Environmental Affairs.

As O'Neill's *Doctoral/Graduate/Undergraduate*] Program Director, your evaluation of *[candidate first name]*'s teaching and contributions to *[doctoral/graduate/undergraduate]* program is particularly important. I invite your assessment of *[his/her]* record in other areas of faculty work as well.

As you know, for tenure-line faculty Indiana University's promotion and tenure regulations normally required that the candidate prove excellence in either research, service, or teaching and be judged at least satisfactory in the remaining two (for teaching: effective). In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university over time. Clinical faculty must prove excellence in teaching or service; and lecturers in the area of teaching.

[Candidate first name] has declared [his/her] area of excellence to be [list area]. [If relevant: S/he has also indicated that s/he wishes to be reviewed against the old promotion and tenure professional guidelines].

To assist you in preparing your evaluation, you have been provided access to *[candidate first name]*'s dossier, including the vita, personal statement and other documentation provided by the candidate. Your letter will be available to a small group of faculty members serving in a tenure and/or promotion advisory capacity. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Such letters normally are not disclosed to candidates, but the candidate may request, and the University is compelled to give, access to the entire dossier.

In order to complete the promotion and tenure dossiers in a timely fashion, I will need your letter no later than *[date]*.

Thank you for your help.

### ATTACHMENT H

### Request for Faculty Chair Letters

Dear :

As you know, [Candidate name] is being considered for [promotion/tenure and promotion] to [faculty rank]. As chair of the [faculty group] in which [Candidate first name] is a member, I am writing to solicit your advice in these matters.

Balloting of the School's faculty will take place early this fall. In the meantime, I hope that you will consider providing a written assessment (to be added to the candidate's dossier) that will serve to assist the Promotion and Tenure committee, voting-eligible faculty, and the Dean in understanding the nature and quality of our colleague's contributions. [For substantive faculty group chairs: Your frank and candid assessments of Professor [candidate name]'s contributions in the areas of research would be most welcome and beneficial. If at all possible, please include an assessment of quality of the outlets in which the candidate's publications have appeared.] [For Teaching & Learning faculty group chair:] Your frank and candid assessments of Professor [candidate name]'s contributions in the areas of research of Professor [candidate name]'s contributions in the areas of research would be most welcome and beneficial. If at all possible, please include an assessment of quality of the outlets in which the candidate's publications have appeared.] [For Teaching & Learning faculty group chair:] Your frank and candid assessments of Professor [candidate name]'s contributions in the areas of teaching would be most welcome and beneficial]. I invite you assessment of [his/her] contributions in other areas of faculty work. As well

As you know, Indiana University's promotion and tenure regulations normally require that tenure-line candidates prove excellence in either research, service, or teaching and be judged at least satisfactory in the remaining two. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university over time. Clinical faculty must prove excellence in teaching or service, lecturers in the area of teaching, and scientists in the area of research. [Candidate first name] has declared [his/her] area of excellence to be [list area]. [If relevant: S/he has also indicated that s/he wishes to be reviewed against the old promotion and tenure professional guidelines, attached here].

Should you choose to provide written commentary, your letter will be available to a small group of faculty members serving in a tenure and/or promotion advisory capacity. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Such letters normally are not disclosed to candidates, but the candidate may request, and the University is compelled to give, access to the entire dossier.

To assist you in preparing your remarks, you have been provided access to [candidate first name]'s dossier, including the vita, personal statement and other documentation provided by the candidate.

In order to complete our work in timely fashion, I will need your letters not later than [date].

Thank you for your help.

# ATTACHMENT I

## Request for Student Letters

#### Dear :

[Candidate name, assistant/associate] Professor of Public and Environmental Affairs at our [campus] is being considered for [promotion/tenure and promotion] to [faculty rank] in the O'Neill School of Public and Environmental Affairs.

As a former student of Professor [Candidate name] we would appreciate your candid assessment of [his/her] teaching, and the impact that [s/he] has had on your career development. Your detailed consideration of these issues is important to us as we consider Professor [Candidate name]'s candidacy.

In most cases, your letter will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Such letters normally are not disclosed to candidates; however, the candidate may request, and the University is compelled to give, access to the entire dossier.

I greatly appreciate your time and aid in assisting us to compile a dossier for Professor [Candidate name]'s and it would be most helpful if you could respond by [date] or sooner, and if you would indicate also your current position and/or use business letterhead if possible. Please feel free to fax your letter to me at (812) 855-6234 or send it via email to mahaffey@indiana.edu.

# ATTACHMENT J

### Request for Confirmation of Service Letters

Dear :

[Candidate name, current rank] is being considered for [promotion/tenure and promotion] to [faculty rank] in the O'Neill School of Public and Environmental Affairs at our [campus]. Professor [Candidate name] has suggested that you might be in a position to provide an informed assessment of at least some of [his/her] service activities. Your frank appraisal of the scope and significance of Professor [Candidate name]'s service contributions to organizations with which you are familiar would be greatly appreciated.

In most cases, your letter will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Such letters normally are not disclosed to candidates; however, the candidate may request, and the University is compelled to give, access to the entire dossier.

I hope you will be in a position to submit your assessment by *[date]*. It would also be helpful if you would indicate your current position and/or use business letterhead if possible. Please feel free to fax your letter to me at (812) 855-6234 or send it via email to <u>mahaffey@indiana.edu</u>.

I greatly appreciate your time and effort in assisting us as we review Professor [Candidate name] 's candidacy.

## ATTACHMENT K

## Request for Confirmation of Co-Authorship Role

Dear :

As you may be aware, [Candidate name, faculty rank] is being considered for [promotion/tenure and promotion] to [faculty rank] in the School of Public and Environmental Affairs on our [Campus]. It is my understanding that Professor [Candidate name] has co-authored the [publication/publications] listed below with you. I am writing to ask for your frank appraisal of Professor [Candidate name]'s contributions to this co-authored work.

In most cases your letter will be seen only by a small group of faculty members serving in an advisory capacity to the Dean on promotion and tenure cases. In addition, faculty members eligible to vote on a given candidate will have access to such letters, but are instructed that such letters are confidential and are expected to act accordingly. Such letters normally are not disclosed to candidates, but candidates may request, and state law compels, the University to give access to the entire dossier.

I hope you will be in a position to submit your assessment by *[date]*. Please feel free to fax your letter to me at (812) 855-6234 or send it via email to <u>mahaffey@indiana.edu</u>.

I greatly appreciate your time and effort in assisting us as we review Professor [Candidate name]'s candidacy.

Sincerely,

[List of publications co-authored with this particular co-author]

### ATTACHMENT L

#### *Faculty Ballot* O'Neill School of Public and Environmental Affairs CONFIDENTIAL TENURE/PROMOTION BALLOT

NAME of Candidate: [ <b>NAM</b> CLAIM: [Excell	<u>[E]</u> ence in <u>Area]</u>				
TENURE (check one)	Approve	Disapprove			
Evaluation in each area	Research (check one)	Service (check one)	Teaching (check one)		
Excellent					
Very Good					
Satisfactory/Effective					
Unsatisfactory/Ineffective					
PROMOTION (check one)	Approve	prove			
Evaluation in each area	Research (check one)	Service (check one)	Teaching (check one)		
Excellent					
Very Good					
Satisfactory/Effective					
Unsatisfactory/Ineffective					
		<u>+</u>			

**Approve:** Approve tenure (or promotion) on the basis that the candidate presents evidence of being excellent in the declared area of excellence and at least satisfactory/effective in the other area(s). **Disapprove:** Disapprove tenure (or promotion) on the basis that the candidate (1) does not excel in declared area of excellence AND/OR (2) is unsatisfactory in at least one area.

### ATTACHMENT M Voting Chart – Who is Eligible to Vote for Which Type of Candidate

		VOTING-ELIGIBLE FACULTY								
CANDIDATES		Tenured Faculty		Non-tenure Track Faculty with Long-Term Contracts			Scientists/Scholars			
Candidate's cur- rent type of ap- pointment	Candidate being consid- ered for tenure and/or promotion to	Full Prof. w/ tenure	Assoc. Prof. w/ tenure*	Prof. of Practice	Clinical Full Prof.	Clinical Assoc. Prof.	Teaching Prof.	Senior Lecturer	Senior Scientist /Scholar	Assoc. Scientist /Scholar
Tenured or Ten- ure-track Faculty	Full Prof. w. tenure	x								
	Assoc. Prof. w/ tenure	x	х							
	Assoc. Prof. w/o tenure	x	х							
Prof. of Practice	Long-term contract	x	х	x	x	x	x	x		
Clinical Faculty	Clinical Full Prof	x			x					
	Clinical Assoc. Prof	x	х		x	x				
	Teaching Professor	x			x		x			
	Senior Lecturer	x	х	x	x	x	x	×		
/Scholar	Senior Scientist/Scholar	x							х	
	Assoc. Scientist/Scholar	x	х						х	x

\* This includes Associate Professors whose tenure have been approved by the IU Board of Trustees, but whose tenure is not yet effective.