

IUPUI SoE Policy 22.01

IUPUI School of Education

Procedures for faculty seeking Promotion, Tenure, and/or Long-term Contract¹

Identifying and Informing of Candidates Seeking Promotion, Tenure, and/or Long-term Contract

1. In October, Department Chairs will notify the Dean of all candidates who intend to seek promotion, tenure, and/or long-term contract the following year.
2. In October, the Department Chairs will meet with candidates and the Associate Dean for Research and Faculty Development to discuss the review process, timelines, rights, and responsibilities.

Preparation for External Review

As stated in the *IUPUI Promotion and Tenure Guidelines*,

“External assessment is essential to provide the committees evaluating each candidate for promotion and/or tenure an objective evaluation of the value and impact of the candidate’s work within the discipline, and to demonstrate that each candidate for associate professor has achieved an emerging national reputation and that each candidate for full professor has achieved a sustained national reputation as demonstrated by a well-established and cumulative body of work in rank.”

All candidate dossiers must include a minimum of six assessment letters from qualified external referees. The referees must meet university criteria in terms of title, rank, and stature as well as for independence. To ensure review committees receive the requisite number of letters from qualified referees in a timely manner, the School has instituted the following process.

1. All candidates shall submit to the Department Chair a list of scholars including: (1) up to six nominees for external referees, along with brief biographies of each nominee; and (2) up to six who the candidate would definitely not want to serve as an external referee. The list shall be submitted no later than **March 1**.
2. The Dean, in consultation with the Associate Dean for Research and Faculty Development, the Department Chair, and appropriate faculty members, shall generate a list of eight qualified referees, no later than **April 1**.
3. The Dean and their representatives shall obtain agreements to review from a minimum of eight qualified external referees. No more than three of the referees shall have been nominated by the candidate. External referees shall be invited and their willingness to write letters shall be obtained no later than **May 15**. Internal letters should be solicited according to this timeline as well.
4. In some cases and in consultation with the candidate, the Chair and Dean may solicit additional letters to complement the external review. These may include, but are not limited to, letters from experts in the candidate’s field, the community of

¹ Procedures in this document provide guidance for all regular faculty pursuing promotion, tenure, and/or long-term contract (LTC). The procedures apply commonly to tenure-track and non-tenure track faculty, except where specific distinctions are noted. The document references the *IUPUI Promotion and Tenure Guidelines* by its formal title, recognizing that document applies to both groups.

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- practice, appropriate Chairs, directors, or deans of other units (in instances of joint or adjunct/affiliate appointment), or local faculty colleagues. If such letters are to be included, they shall be solicited at this time and shall be included in the dossier in accordance with the IUPUI Promotion & Tenure guidelines. Each solicited letter shall be accompanied by a cover letter which explains the rationale for inclusion.²
5. In some cases, the Department Chair is not of sufficient rank to vote on promotion. In such cases and in consultation with the candidate, and Chair, the Dean may solicit a letter from the Chair. In cases in which the Department Chair has been recently appointed, the Dean in consultation with the candidate, and the current and prior Chairs, may solicit a letter from the prior Chair to be placed among solicited letters in the dossier. In either instance, the letters shall be solicited at this time and shall be placed among solicited letters in the dossier with a cover letter which explains the rationale for inclusion.³
 6. Prior to the close of the spring semester:
 - a) The primary/departmental and school review committees shall be appointed according to the School's policy.
 - b) The committees shall appoint a chair and notify the Dean. The chair shall review responsibilities and guidance from the Office of Academic Affairs.
 - c) The committee may choose a committee member to present the case, or may proceed without a presentation. If the committee elects to have a member present the case, the presenter shall be appointed at this time.
 - d) Tentative dates for the committee meetings shall be scheduled and communicated to members.

Candidate Submission of the Abbreviated Dossier

All candidates must prepare and submit an abbreviated dossier containing materials to be assessed by the external referees.

1. The abbreviated dossier shall include the following materials: (1) a complete copy of a properly formatted vitae; (2) a candidate statement not to exceed seven pages; and (3) key materials supporting each specific case for excellence, such as but not limited to three to five key publications and/or other forms of dissemination (research & scholarship), three to five syllabi, signature assignments for key courses, and/or evidence of curriculum development

² By convention, letters solicited by the Department Chair or Dean rather than the candidate are understood to allow greater candor and thus to carry greater weight with reviewers. While the procedures allow latitude, solicitation should contribute to assessment of substantive work related to the candidate's case and the promotion criteria. Said differently, this is intended to be a selective not exhaustive process.

³ IU policy requires that faculty voting for promotion must be at or above the rank sought by the candidate. For example, Department Chairs below the rank of Professor cannot vote in cases of promotion to Professor. The Chair's role and responsibilities commonly provide unique and important insight into a candidate's work and contributions to the department and program. For that reason, a letter from the Chair solicited by the Dean may contribute substantively to the assessment of the case. The decision to solicit that letter shall be made in consultation with the candidate and Department Chair. For similar reasons, the Dean may also solicit letters from prior Department Chairs who may contribute to assessment of the case. The decision to solicit that letter shall be made in consultation with the candidate, Department Chair, and prior Chair(s).

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(teaching), documentation of service activities across three to five settings (service), and/or other materials referenced in the candidate statement. Please refer to Criteria for Promotion and Tenure/Long-term Contract for the IUPUI School of Education and to the *IUPUI Promotion & Tenure Guidelines* for guidance on selecting key materials associated with each area of excellence.

2. All candidates submit the abbreviated dossier to the Dean no later than **April 15** of the year they seek promotion, tenure, and/or long-term contract. For tenure-line assistant professors, this shall be **April 15** of the fifth year of service. For faculty members including those in the clinical and lecturer ranks, this shall be **April 15** of the year they aspire to seek promotion and/or long-term contract.
3. Following submission, the Department Chair shall initiate the assessment of the dissemination outlets in the candidate's area of excellence or in all areas for a balanced case. (Note: Refer to #3 in following section.)

Preparation and Submission of the Full Dossier

1. Candidates shall prepare and submit the full dossier through the eDossier system no later than **August 1**. Candidates are responsible for preparing the dossier in accord with the *IUPUI Promotion & Tenure Guidelines* corresponding to the year of their review.
2. Upon submission, candidates shall only update the dossier contents in accord with the *IUPUI Promotion & Tenure Guidelines*.
3. Following submission, the Department Chair shall finalize and upload an assessment in accord with the *IUPUI Promotion and Tenure Guidelines* of the dissemination outlets in the candidate's area of excellence (or in all areas for a balanced case). This assessment shall be included as a separate document in the dossier.
4. The Dean or designee will upload all solicited letters on or before this date.

Review by the Primary/Departmental Committee

1. The primary/departmental committee for each candidate shall be seated according to the current School policy.
2. The primary/departmental committee shall choose its own chair, who will facilitate the discussion and composition of the committee's letter. The primary/departmental committee may choose a member to present the case, or may proceed without a presentation.
3. The primary/departmental committee meeting shall occur by **September 1**, unless circumstances pertaining to the case necessitate a change in the date.
4. The primary/departmental committee shall vote on the case after the scheduled meeting has concluded.
5. In accord with the *IUPUI Promotion & Tenure Guidelines*, the committee chair shall prepare a letter summarizing the deliberation and vote. The letter, approved

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by the committee, shall be submitted to the candidate and into the eDossier no later than **September 10**.

6. The review letter and vote shall follow current SoE guidelines and criteria and include the following information: a) summary of the case; b) the ratings of teaching, research (if applicable), and service; c) the votes for and against tenure and promotion, as well as the number of abstentions; and d) the reasons for any "no" votes and abstentions.

Review by the Department Chair

1. In accord with the *IUPUI Promotion & Tenure Guidelines*, the Department Chair shall compose a letter of evaluation of the candidate's case and recommendation for action and enclose this in the dossier. (Note: See above for guidance on solicited letters in instances the Chair is not of sufficient rank to vote on promotion and/or if there has been a change in Chairs.)
2. Before submitting to the next level, the Department Chair will meet with the candidate to discuss the results of the primary/departmental committee's deliberation and the Chair's letter and have the candidate sign for receipt of the documents. In a tenure case, if there have been negative votes, the Department Chair will discuss the candidate's rights and the process for reconsideration (see below). In instances the Department Chair is not of sufficient rank to vote, Chair of the Primary/Department committee shall meet with the candidate to discuss the letter and obtain their signature.
3. The Department Chair's vote and letter will be completed and submitted into the eDossier by September 20.

Review by the SoE-level Committee

1. The SoE-level committee for each candidate shall be seated according to the current School policy.
2. The SoE level committee will meet by **September 30**, unless circumstances pertaining to the case necessitate a change in the date.
3. The SoE level committee shall choose its own chair, who will facilitate the discussion and composition of the committee's letter.
4. The SoE-level committee shall vote on the case after the scheduled meeting has concluded.
5. In accord with the *IUPUI Promotion & Tenure Guidelines*, the SoE-level committee chair shall prepare a letter summarizing the deliberation and vote. The letter, approved by the committee, shall be submitted to the candidate and into the eDossier no later than **October 10-14**.
6. The review letter and vote shall follow current SoE guidelines and include the following information: a) a summary of the case; b) the ratings of teaching,

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research (if applicable), and service; c) the votes for and against tenure and promotion, as well as the number of abstentions; and d) the reasons for any "no" votes and abstentions.

Review by the Dean

1. In accord with the IUPUI Promotion & Tenure Guidelines, the Dean shall compose a letter of evaluation of the candidate's case and recommendation for action and enclose this in the dossier.
2. The Dean shall ensure the candidate receives the letter from the SoE level committee and the Dean and have the candidate sign for receipt of the documents. If there have been negative votes, the Dean ~~Department Chair~~ will discuss the candidate's rights, the process for reconsideration, and obtain the candidate's signature indicating receipt.
3. The SoE Dean's vote and letter will be completed and submitted into the eDossier by **the last Friday in October**.
4. The IUPUI Office of Faculty Affairs shall receive the dossier in that office no later than **the last Friday in October**.

Request for Reconsideration

1. A candidate for tenure must be notified at the first level of negative tenure review. This must happen in a timely manner and before the next scheduled level of review. They must be apprised of their right for reconsideration at that time. While there is no formal right to reconsideration in cases of promotion, candidates shall be notified in a timely manner and before the next scheduled review. The procedure for reconsideration of the offer of, or terms related to, long-term contract shall be directed to the Dean (see SoE procedure guiding long-term contracts for Clinical Faculty and Lecturers).⁴
2. A candidate receiving a majority negative vote for tenure and/or promotion at either the department or school level may request a reconsideration, no more than 14 days after receiving the vote. The relevant committee will schedule a meeting and other deadlines shall be adjusted to ensure the School's review process is completed prior to the campus deadline.
3. Requests for reconsideration will proceed as follows:
 - a. The request is in the form of a response to the vote and letter, providing the rationale for reconsideration. The latter shall be based on an argument regarding the decision and/or note overlooked information.
 - b. The letter shall be added to the post-submission supplemental materials, and the

⁴ The *IUPUI Promotion and Tenure Guidelines* distinguish in policy the formal right to reconsideration for tenure decisions, from requests for reconsideration of promotion decisions, which apply to both tenure-track and non-tenure track cases. In practice, OAA recommends honoring requests for reconsideration and the procedures used are similar. This document does not apply to the request for reconsideration of decisions on long-term contracts, which is outlined in the *SoE procedure guiding long-term contracts for Clinical faculty and Lecturers*.

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- committee shall be notified with a request to review it.
- c. The committee may elect to reconsider, revote, and/or revise the letter, but is under no obligation to do so.
 - d. The timeline for candidate and committee is not strict, but must provide adequate time to complete the process prior to the campus deadline.
 - e. The committee chair shall formally notify the candidate of the committee's response. The formal response will be placed with the internal review letters in the dossier.
 - f. The request for reconsideration and committee response shall be visible at subsequent levels of review.

Requests for Withdrawal:

Candidates may withdraw the case from further review at any time. The requests for withdrawal shall be directed to the Associate Dean for Research and Faculty Development. In the event of withdrawal, candidates may seek promotion in subsequent years. If seeking promotion within the next 3 years under the same 'area of excellence', the original letter-writers shall be contacted to update their letters. If they don't respond or don't want to update, the original letters remain.

Schedule Summary

March 1: Candidate submit list of possible referees

April 1: Dean, ADRFD and Department Chairs generate list of referees

April 15: Candidate abbreviated dossier due;

May 15: External referee agreements secured; Department Chair initiates review of dissemination outlets.

Aug. 1: Candidate submits full eDossier; Department Chair uploads review of dissemination outlets; all solicited letters are uploaded on or before this date.

Sept. 1: Primary/departmental committee meets on or before this date.

Sept. 10: Primary/departmental committee submits letter on or before this date.

Sept. 20: Department Chair submits letter and meets with candidate on or before this date; candidate signature indicating receipt of review letter(s) is obtained.

Sept. 30: The SoE-level committee meets by this date

Oct. 14: The SoE-level committee letter is completed and submitted to the Dean by this date

Last Friday in October: The Dean's letter is completed; candidate signature indicating receipt of review letter(s) is obtained.

Last Friday in October: The IUPUI Office of Faculty Affairs shall receive the dossier

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IUPUI School of Education Policy Council