

Senate Document SD 15-23  
(Approved, 3/14/2016)

Senate Document SD 14-36  
(Amended and Approved, 4/27/2015)  
(Supersedes SD 88-13)

MEMORANDUM

TO: Fort Wayne Senate

FROM: Kathy Pollock, Chair  
Executive Committee

DATE: March 1, 2016

SUBJ: Amendment to Procedures for Promotion and Tenure and Third Year Review

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at IPFW WHEREAS, SD 14-36 was passed by the Senate April 27, 2015; and

WHEREAS, the administration at Indiana University has expressed a desire for all cases to be reviewed at the campus level;

BE IT RESOLVED, that the Fort Wayne Senate delete 3.2.1 and 3.2.2 from the Procedures for Promotion and Tenure and Third Year Review document.

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## **PROCEDURES FOR PROMOTION AND TENURE AND THIRD YEAR REVIEW**

(Information regarding promotion procedures for clinical faculty can be found in SD XX-XX)

IPFW and its autonomous academic units shall establish, within the timeframes and by means of guiding principles and criteria established in other documents, procedures for the evaluation of faculty for promotion and tenure according to the following procedures. Autonomous academic units shall consist of those units subject to the powers of the Faculty detailed in Section VI of the Constitution of the Faculty; other units may, at their option, adhere to these guidelines and procedures.

The procedures for evaluating faculty for promotion and tenure ensure fair and consistent treatment of candidates. The procedures include multiple levels of review with clear expectations for each level. When considered in its entirety, the procedures create a coherent whole that includes a system of checks and balances. While there are variations between academic units, all procedures are based on these principles. If a department/program (department) or college/school/division (college) cannot comply with specific procedures in this document, they are expected to explain why they cannot and utilize a procedure that conforms as closely as possible to the procedures in this document. The explanation and amended procedure shall be included in a separate document with recommendations regarding cases for promotion and tenure.

The procedures and guiding principles for evaluating faculty for promotion and tenure are discussed in separate documents (see SD 14-35 for guiding principles), but the two are interrelated. The procedures for evaluating faculty members are the method for implementing the guiding principles.

Amendments to this document shall trigger reviews of college and department procedure documents. It shall be the responsibility of the Presiding Officer of the Senate, in concert with the Senate Secretary, to notify colleges and departments of any amendments to this document and the need to review their procedure documents.

The appointment letter of a faculty member to more than one academic unit shall identify that department whose tenure/promotion process shall apply to the appointee.

### 1. Document Review and Approval

#### 1.1. Department documents

- 1.1.1. Departments must include procedures and criteria for promotion and tenure in documents.
- 1.1.2. Department procedures must adhere to the guidelines and procedures laid out in college and Senate documents.
- 1.1.3. Department criteria must align with college guiding principles.
- 1.1.4. Department procedures must be submitted to the Senate Faculty Affairs Committee for feedback and then reviewed and approved at the college level. The feedback from the Senate Faculty Affairs Committee shall be forwarded to the college.
- 1.1.5. Department criteria must include:

- 1.1.5.1. Criteria for quality of performance (e.g. competence, excellence) in all areas (e.g. teaching, service, research/creative endeavor) for all levels (e.g. associate professor, full professor, librarian), except criteria for excellence in service to associate professor.
- 1.1.5.2. Rationale of the department for the criteria.
- 1.1.6. Department criteria must be reviewed and approved at the college level. The review by the college must focus on:
  - 1.1.6.1. The completeness of the department criteria document.
  - 1.1.6.2. The explanation of how the department criteria align with the guiding principles of the college. This explanation should reference credible evidence as to the appropriateness of the criteria for the discipline.
- 1.1.7. If a college rejects the criteria of a department, a thorough explanation of the rejection must be sent to the department.
- 1.1.8. If there is a disagreement between a department and college about criteria, the Senate Faculty Affairs Committee will arbitrate the disagreement.
- 1.1.9. Upon passage of this document by the Senate, departments have one academic year to draft, approve, and seek review of department promotion and tenure documents.
- 1.2. College documents
  - 1.2.1. Colleges must include procedures and guiding principles in documents. Colleges may choose to elect the campus guiding principles as the guiding principles of the college.
  - 1.2.2. College procedures must adhere to the guidelines and procedures laid out in senate documents.
  - 1.2.3. College procedures and guiding principles must be reviewed and approved at the campus level first by the Senate Faculty Affairs Committee and then by the Senate.
- 2. Decision Levels: Nominations for promotion and/or tenure shall be considered at several levels. The quality of the evidence presented in the case is best evaluated at the department level. Candidates may respond in writing to recommendations at all levels. Written responses must be submitted within 7 calendar days of the date of the recommendation and proceed with the case.
  - 2.1. The department committee
    - 2.1.1. Establishing the department committee: The department committee composition and functions shall be established according to a procedure adopted by the faculty of the department and approved by the faculty of the college. The Senate shall have the right of review of this procedure. The department committee shall follow procedures established by the faculty of the college or, in the absence of such procedures, by the Senate.
    - 2.1.2. Composition of the department committee:
      - 2.1.2.1. The majority of the departmental committee shall be persons possessing the same or higher rank to which a candidate aspires.
      - 2.1.2.2. If, by established departmental criteria, fewer than three persons are eligible to serve on the department committee, the department shall submit to the chief academic officer of the college the names of faculty members from other departments whom it deems suitable to serve on the department committee. From this list, the chief academic officer of the college shall

appoint enough faculty members to bring the committee membership to between three and five.

- 2.1.2.3. Members of the department committee shall elect a chair from among its members.
- 2.1.2.4. The chief academic officer of the department may not serve on the department committee or participate in meetings.
- 2.1.3. Primary Tasks: The department committee shall review the evidence presented in the case, compare the case to department criteria, and make a recommendation to the next level in the form of a letter.
- 2.1.4. Letter of Recommendation: The letter of recommendation from the department committee shall be based on the case and department criteria and clearly state and explain the recommendation of the committee including commenting on the candidate's professional standing.
- 2.1.5. Other:
  - 2.1.5.1. Any faculty member subject to the procedures and guiding principles of promotion and tenure at IPFW shall have the opportunity to read and provide feedback on cases in their home department until the department committee has made a recommendation regarding tenure and/or promotion. Any document that is provided does not become part of the case and does not move forward with the case.

## 2.2. The chief academic officer of the department

- 2.2.1. Primary Tasks: The chief academic officer of the department shall:
  - 2.2.1.1. Review the case and compare the case to department criteria.
  - 2.2.1.2. Review how well the process has adhered to the documented procedures to this point.
  - 2.2.1.3. Review the recommendation of the lower level.
  - 2.2.1.4. Make a recommendation to the next level in the form of a letter.
- 2.2.2. Letter of Recommendation: The letter of recommendation from the chief academic officer of the department shall be based on the chief academic officer's review of the case in light of department criteria, the process to this point, and clearly state and explain the recommendation of the chief academic officer including an explanation of agreement or disagreement with the decision of the lower level.

## 2.3. The college committee

- 2.3.1. Establishing the college committee: The college committee composition and functions shall be established by the college faculty, incorporated into the documents which define the procedures of faculty governance within the college, and approved by the Senate. This procedure shall be periodically published, simultaneously with the Bylaws of the Senate, as and when the Bylaws of the Senate are distributed.
- 2.3.2. Composition of the college committee
  - 2.3.2.1. There is no requirement that the majority of the college committee members be at the same or higher rank than the rank to which a candidate aspires.
  - 2.3.2.2. Members of the college committee must have prior experience serving at a lower level in the process before serving on the college committee.

- 2.3.2.3. Members of the college committee may serve at the department level, but not at the campus level in the promotion and tenure process while serving on the college committee.
  - 2.3.2.4. Members of the college committee may not serve consecutive terms. Terms shall be staggered and may not be longer than three years.
  - 2.3.2.5. Members of the college committee shall elect a chair from among its members.
  - 2.3.2.6. The chief academic officer of the college may not serve on the college committee or participate in the meetings.
  - 2.3.3. Primary Tasks: The college committee shall:
    - 2.3.3.1. Review how well the process has adhered to the documented procedures to this point and ensure that the candidate has been afforded basic fairness and due process.
    - 2.3.3.2. Review the recommendation of the lower levels.
      - 2.3.3.2.1. This review shall include a consideration of the basis of the decisions from the lower levels.
      - 2.3.3.2.2. If the committee judges that a decision from a lower level is contrary to the evidence, the committee may include consideration of the evidence in the case as it compares to department criteria.
    - 2.3.3.3. Make a recommendation to the next level in the form of a letter.
  - 2.3.4. Letter of Recommendation: The letter of recommendation from the college committee shall be based on the committee's review of the process to this point, and must clearly state and explain the recommendation of the committee including an explanation of agreement or disagreement with the decisions of lower levels.
- 2.4. The chief academic officer of the college
- 2.4.1. Primary Tasks: The chief academic officer of the college shall:
    - 2.4.1.1. Review how well the process has adhered to the documented procedures to this point.
    - 2.4.1.2. Review the recommendations of the lower levels. This review:
      - 2.4.1.2.1. Shall include a consideration of the basis of the decisions from the lower levels.
      - 2.4.1.2.2. May include consideration of the evidence in the case as it compares to department criteria if a decision from a lower level is judged to be contrary to the evidence.
    - 2.4.1.3. Make a recommendation to the next level in the form of a letter.
  - 2.4.2. Letter of Recommendation: The letter of recommendation from the chief academic officer of the college shall be based on the chief academic officer's review of the process to this point, and must clearly state and explain the recommendation of the chief academic officer including an explanation of agreement or disagreement with the decisions of lower levels.
- 2.5. The Senate Promotion and Tenure Committee (a.k.a. the campus committee)
- 2.5.1. Establishing the campus committee
    - 2.5.1.1. Members of this committee shall be selected to staggered, three-year terms, by the Chief Administrative Officer of IPFW and the two Speakers of the Faculty.

- 2.5.1.2. The committee members will be selected from a panel of nominees composed of at least two representatives from the faculty of each college elected according to procedures adopted by the college faculty and incorporated into the documents which define the protocols of faculty governance within the college and a person with prior service on a college committee. The vote totals from the elections shall be included with the panel of nominees.
- 2.5.2. Composition of the campus committee
- 2.5.2.1. The campus committee shall consist of seven (7) members.
- 2.5.2.2. A minimum of five (5) academic units must be represented on the campus committee and no more than three (3) members of the campus committee may be from one academic unit.
- 2.5.2.3. A majority of the members of the campus committee must be at the rank of professor, or librarian.
- 2.5.2.4. Members of the campus committee must have prior experience serving at a lower level in the process before serving on the campus committee.
- 2.5.2.5. Members of the campus committee may serve at the department level, but not at the college level in the promotion and tenure process while serving on the campus committee.
- 2.5.2.6. Members of the campus committee may not serve consecutive terms.
- 2.5.2.7. Members of the campus committee shall elect a chair from among its members.
- 2.5.2.8. The chief academic officer of IPFW may not serve on the campus committee or participate in the meetings.
- 2.5.3. Primary Tasks: The campus committee shall:
- 2.5.3.1. Review how well the process has adhered to the documented procedures to this point and ensure that the candidate has been afforded basic fairness and due process.
- 2.5.3.2. Review the recommendations of the lower levels.
- 2.5.3.2.1. This review shall include a consideration of the basis of the decisions from the lower levels.
- 2.5.3.2.2. If the committee judges that a decision from a lower level is contrary to the evidence, the committee may include consideration of the evidence in the case as it compares to department criteria.
- 2.5.3.3. Make a recommendation to the next level in the form of a letter.
- 2.5.3.4. Letter of Recommendation: The letter of recommendation from the campus committee shall be based on the committee's review of the process to this point, and must clearly state and explain the recommendation of the committee including an explanation of agreement or disagreement with the decisions of lower levels.
- 2.6. The chief academic officer of IPFW
- 2.6.1. Primary Tasks: The chief academic officer of IPFW shall:
- 2.6.1.1. Recognize the credibility of the decisions of lower levels.
- 2.6.1.2. Review split votes and/or inconsistencies in findings and recommendations at, and between, lower levels. When there is a split vote and/or inconsistency, the chief academic officer of IPFW will focus the review on that part of the case dealing with the split vote and/or inconsistency.

- 2.6.1.3. Review how well the process has adhered to the documented procedures.
      - 2.6.1.4. Make a recommendation to the next level in the form of a letter.
    - 2.6.2. Letter of Recommendation: The letter of recommendation from the chief academic officer of IPFW shall be based on the chief academic officer's review of recommendations from lower levels, the process to this point, and must clearly explain the recommendation of the chief academic officer including an explanation of agreement or disagreement with the decisions of the lower level(s).
  - 2.7. The chief administrative officer of IPFW shall forward recommendations to the President of Indiana University or to the President of Purdue University.
3. Case Process: Nominations for promotion and/or tenure shall be considered at several levels.
  - 3.1. The candidate must identify the criteria document that should be used to judge the case. The department criteria document used must have been in effect at some point during the six years preceding the submission of the case.
  - 3.2. All cases for promotion and/or tenure shall pass sequentially through the decision levels above.
  - 3.3. No information, other than updates to items in the case, can be added to the case after the vote and recommendation from the department level. The intent is that each level will be reviewing the same case. Each decision level is responsible for determining if items submitted after a case has cleared the department committee should be included in the case or considered to be new evidence that should be excluded.
  - 3.4. Each decision level forwards only a letter of recommendation to the next level. Recommendations may not include attachments or supplemental information.
  - 3.5. The administrator or committee chair at each level shall inform the candidate in writing of the vote tally or recommendation on the nomination, with a clear and complete statement of the reasons therefor, at the time the case is sent forward to the next level. When the vote is not unanimous, a written statement stipulating the majority opinion and the minority opinion must be included. The candidate may submit a written response to the statement to the administrator or the committee chair within 7 calendar days of the date of the recommendation and must proceed with the case. At the same time that the case is sent forward to the next level, the administrator or committee chair shall also send a copy of the recommendation and statements of reasons, and the candidate's response, if any, to administrators and committee chairs at the lower level(s). Committee chairs shall distribute copies to committee members.
  - 3.6. The deliberations of committees at all levels shall be strictly confidential, and only the chair may communicate a committee's decision to the candidate and to the next level. Within the confidential discussions of the committees, each member's vote on a case shall be openly declared. No abstentions or proxies are allowed. Committee members must be present during deliberations in order to vote.
4. Individual Participation

- 4.1. Only tenured faculty may serve as voting members of promotion and tenure committees at any level.
- 4.2. No person shall serve as a voting member of any committee during an academic year in which his or her nomination for promotion or tenure is under consideration, nor shall any individual make a recommendation on his or her own promotion or tenure nomination.
- 4.3. The department level excepted, no individual shall serve in a voting or recommending role at more than one decision level. In order that this be accomplished, the campus committee shall be filled before college committees.
- 4.4. Individuals may serve and vote at the department level and one other level (college or campus).
- 4.5. Voting members of committees and chief academic officers shall recuse themselves from considering cases of candidates with whom they share significant credit for research or creative endeavor or other work which is a major part of the candidate's case or if they have other conflicts of interest. The committee will decide if committee members who collaborate with the candidate need to recuse themselves. The next highest administrator will decide if a chief academic officer who collaborated with the candidate needs to recuse her/himself.
- 4.6. Any committee member, at any level, who recuses her/himself shall leave the room during the discussion of that case.
- 4.7. Chief academic officers who have written a letter of recommendation as part of 2.2.2. will recuse themselves from discussion or vote on that candidate's case at a higher level.

#### REVIEW OF PROGRESS OF PROBATIONARY FACULTY TO TENURE AND PROMOTION

It is in the best interest of IPFW to see its faculty succeed. One way to judge success for probationary faculty is to evaluate progress toward tenure and promotion at the midway point. The diversity of colleges and departments at IPFW makes it difficult to develop a single procedure for reviewing progress of probationary faculty to tenure and promotion.

5. Development of Review Procedure: Departments must develop a procedure for reviewing progress of probationary faculty toward tenure and promotion that adheres to the following principles.
  - 5.1. The procedure must make use of annual reviews (discussing performance in the previous year) and annual reappointments (discussing progress toward promotion and tenure).
  - 5.2. Departments/programs must have a thorough formative review process that provides specific details about where improvement is needed and must be based on department criteria. The formative review must occur half way through the third year.
  - 5.3. The formative review must be voted on by the department promotion and tenure committee.
  - 5.4. The chief academic officer of the department must comment on the case and the review from the committee.
  - 5.5. The probationary faculty member must have opportunities to respond during the reviews.



- 5.6. If, at any point during the probationary period, a chief academic officer at any level is not recommending the reappointment of a probationary faculty, the input and vote of the promotion and tenure committee at the same level must be sought.

Department procedures for reviewing progress shall be established according to a procedure adopted by the faculty of the department and approved by the faculty of the college. The Senate Faculty Affairs Committee shall be consulted about any newly established review procedures and any changes to a review procedure. The Senate shall have the right of review of this procedure. The department committee shall follow procedures established by the faculty of the college or, in the absence of such procedures, by the Senate.

6. Senate Procedure to be used in the absence of a department or college procedure:
- 6.1. The required review of the progress of probationary faculty to tenure and promotion must make use of annual reviews (discussing performance in the previous year) and annual reappointments (discussing progress toward promotion and tenure).
  - 6.2. This review must be formative and be based on department criteria.
  - 6.3. This review must occur halfway through the third year.
  - 6.4. This review must move forward with the reappointment documentation for that year.
  - 6.5. This review must occur at the first two levels (department promotion and tenure committee and chief academic officer of the department referred to in 2.1 and 2.2 above) and result in a written recommendation from both levels.
  - 6.6. This review must be voted on by the department promotion and tenure committee.
  - 6.7. The chief academic officer of the department must comment on the case and the review from the committee.
  - 6.8. The probationary faculty member must have opportunities to respond during the reviews.
  - 6.9. If, at any point during the probationary period, a chief academic officer at any level is not recommending the reappointment of a probationary faculty, the input and vote of the promotion and tenure committee at the same level must be sought.