

Senate Document SD 16-27  
(Approved, 3/13/17)  
(Supersedes SD 95-4)

TO: Fort Wayne Senate  
FR: Faculty Affairs Committee  
Lesa Rae Vartanian, Chair  
RE: DSB P & T document  
Date: February 24, 2017

DISPOSITION: To the Fort Wayne Senate for inclusion in the next senate meeting

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WHEREAS, the Doermer School of Business has elected to adopt SD 14-35 as their college criteria for promotion and tenure, and has revised their promotion and tenure procedures document (attached) so as to be in compliance with SD 14-36; and

WHEREAS, the Faculty Affairs Committee finds that revised document is in fact in compliance with SD 14-36;

BE IT RESOLVED, the Senate approve the DSB document as their current promotion and tenure document.

Doermer School of Business (DSB)  
Reappointment, Promotion & Tenure Procedures

Preamble

Given that the University and DSB are self-governing entities, each full time faculty member is expected to participate in the shared responsibilities of such governance. In accepting these responsibilities, each faculty member will strive to meet the attributes of good citizenship including, but not limited to: professionalism, fairness, integrity, honesty, collegiality, etc.

This document shall be distributed in writing to each faculty member upon becoming a member of the DSB tenure track faculty.

Discussions and information regarding committee deliberations, reviews, and voting outcomes are to be held in confidence.

Effective Date

This document becomes effective when approved by the DSB faculty and IPFW Senate.

The School P&T Committee will review this document as needed. This committee will be empowered to propose formal revisions of the procedures to the faculty of the School.

I. POLICY AND PROCEDURES FOR REAPPOINTMENT/RETENTION

A. Performance Reviews.

Annual reappointment reviews will be conducted by all administrative levels. Such reviews will be based upon the candidate's academic performance of the most recent year.

There will be two comprehensive reviews at the Department level during the sixth and eighth semesters respectively of the candidate's tenure track employment. Each review will assess the cumulative record of academic performance in each of the three areas of teaching, intellectual contributions, and service. The primary purpose of the first review is to provide constructive feedback to the candidate on his/her progress toward promotion and tenure. The primary purpose

of the second comprehensive review is to assess the progress and potential of the candidate for attaining tenure and/or promotion. These reviews will also provide the basis for the reappointment recommendation at all levels.

In addition, there will be a comprehensive review at the school level during the sixth semester of the candidate's tenure track employment.

#### B. Documentation for Annual Reappointment Decisions.

A candidate for tenure track reappointment is expected to provide the following documentation to the Department Chair according to the schedule provided by their Department Chair:

1. a copy of the original appointment letter/contract placing the candidate on tenure track,
2. a current curriculum vita,
3. all current and previous annual productivity reports, with supporting evidence for the most recent year,
4. all previous reappointment recommendations from all levels, and
5. any additional documents chosen by the candidate.

#### C. Review of Progress of Probationary Faculty to Tenure and Promotion.

Departments must develop a procedure for reviewing progress of probationary faculty toward tenure and promotion that adheres to the following principles:

1. The procedure must make use of annual reviews (discussing performance in the previous year) and annual reappointments (discussing progress toward promotion and tenure);
2. Departments must have a thorough comprehensive review process that provides specific details about where improvement is needed and must be based on department criteria. The first comprehensive review must occur half way through the sixth semester of the probationary faculty member's tenure track employment. The second comprehensive review must occur half way through the eighth semester of the probationary faculty member's tenure track employment;
3. The comprehensive review must be voted on by the department committee;
4. The department chair must comment on the case and the review from the committee; and
5. The probationary faculty member must have opportunities to respond during the reviews.
6. If a department chair or dean does not recommend reappointment, the vote of the committee at the same level must be sought.

## II. POLICY AND PROCEDURE FOR PROMOTION AND TENURE

### A. Discovery of Evidence.

The purpose of this section is to set forth a promotion and tenure policy to govern such personnel decisions within the DSB. This policy should ensure that standards and procedures for the evaluation of candidates for retention, promotion and tenure are consistent with the professional needs of the DSB, IPFW, and the requirements of the Indiana University Academic Handbook.

Each full time faculty member shall be required to submit an annual productivity report. This report shall document all professional accomplishments in the areas of (1) teaching, (2) intellectual contributions and (3) service. This report shall be submitted in the format provided by the Office of the Dean. The Department Chair shall maintain these activity reports in a confidential file.

1. The case is to be submitted in the format as prescribed by campus policy and practice.
2. 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. The completed case is to be submitted to the candidate's Department Chair on the date set by the department.
4. The record of evidence shall remain available to the candidate's Department Chair and relevant members of the faculty for their appraisal. All appropriate administrators and faculty members reviewing the case shall confine their deliberations and decisions to the School's policy and procedure guidelines.
5. The candidate's record of evidence shall be the sole basis for personnel decisions. The department criteria for the candidate shall be applied to the case for the final recommendation.
6. 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.
7. Each decision level forwards only a letter of recommendation to the next level. Recommendations may not include attachments or supplemental information.
8. The administrator or committee chair at the department or school 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.

9. The deliberations of the department and school committees shall be strictly confidential, and only the committee 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.

B. Individual Participation.

1. Only tenured faculty may serve as voting members of promotion and tenure committees at the department and/or school level.
2. No person shall serve as a voting member of the department or school 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.
3. Individuals may serve and vote at the department level and school level.
4. Voting members of committees, a department chair and Dean 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 department chair or Dean who collaborated with the candidate needs to recuse her/himself.
5. Any department or school committee member who recuses her/himself shall leave the room during the discussion of that case.
6. A department chair or Dean who has written a letter of recommendation at an earlier level will recuse themselves from discussion or vote on that candidate's case at a higher level.

C. Department Action.

This shall serve as a guide to DSB departments which will in turn promulgate departmental policies consistent with the School policies and procedures.

1. Application for Promotion/Tenure

Application for promotion/tenure shall be initiated at the departmental level. Each probationary faculty member has the right to apply for promotion/tenure. Such applications shall be made in writing and submitted to the Department Chair by a date to be determined by the Departments to assure the timely request for external letters.

2. Departmental Evaluation

The initial and most significant evaluation of a candidate for promotion and/or tenure shall occur at the departmental level. Departmental committees shall consist of at least three tenured voting faculty members. The majority of the departmental committee shall be persons possessing the same or higher rank to which a candidate aspires. Should there be less than three eligible members from within the candidate's department, the department shall submit to the Dean the names of faculty members from other departments whom it deems

suitable to serve on the department committee. From this list, the Dean shall appoint enough faculty members to bring the committee membership to between three and five.

Members of the department committee shall elect a chair from among its members. The department chair may not serve on the department committee or participate in its meetings.

The department chair shall make available, for inspection, to the department committee members prior to the departmental meeting, each candidate's case.

During the departmental evaluation, the committee shall use the policies and criteria developed by the department. The committee's recommendation shall reflect the result of an openly declared ballot. All committee discussions, deliberations and actions are to be held in strict confidence by the committee members.

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.

The department committee shall provide the candidate with the results of the ballot and specific reasons concerning its appraisal of the candidate's record of performance with a copy to the department chair.

### 3. Chair Evaluation

The Department Chair shall:

- a. Review the case and compare the case to department criteria;
- b. Review how well the process has adhered to the documented procedures to this point;
- c. Review the recommendation of the department committee; and
- d. Make a recommendation to the next level in the form of a letter. The letter of recommendation from the department chair shall be based on his/her review of the case in light of department criteria, the process to this point, and clearly state and explain the recommendation of the department committee including an explanation of agreement or disagreement with the committee's decision.

### 4. Exceptions

Promotion cases for department chairs and deans shall be evaluated by the appropriate department P&T committee. In the event that the candidate is a department chair, the recommendations of the departmental committee will go directly to the school P&T committee. When the candidate is a Dean, the recommendations of the school committee will go directly to the all-campus promotion and tenure committee.

## D. School Action

1. Membership of School P& T Committee

- a. The DSB promotion and tenure committee shall be in accordance with the DSB current constitution and by-laws. There is no requirement that the majority of the school committee members be at the same or higher rank than the rank to which a candidate aspires.
- b. Members of the school committee must have prior experience serving at the department committee level in the process before serving on the school committee. Members may serve on the department committee but not on the campus committee.
- c. Members of the school committee may not serve consecutive terms. Terms are no more than 3 years. Terms shall be staggered.
- d. Members of the school committee shall elect a chair from among its members.
- e. Department chairs and the Dean shall not be eligible to serve on the school committee.
- f. Department chairs and the Dean may serve as resource persons to the school committee, but shall not attend committee meetings.

2. Charge to the School's P&T Committee

The school committee shall:

- a. 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;
- b. Review the recommendation of the lower levels. This review shall include a consideration of the basis of the decisions from the lower levels. If the school 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;
- c. Make a recommendation to the next level in the form of a letter. The letter of recommendation from the school 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 the lower levels.

3. The Dean's Recommendation

The Dean shall:

- a. Review how well the process has adhered to the documented procedures to this point;
- b. Review the recommendation of the lower levels. This review shall include a consideration of the basis of the decisions from the lower levels. The review 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; and

- c. Make a recommendation to the next level in the form of a letter. The letter of recommendation from the Dean shall be based on his/her review of the process to this point, and must clearly state and explain his/her recommendation including an explanation of agreement or disagreement with the decisions of the lower levels.

#### 4. School Level Timetable

All School level activities and recommendations must be completed and forwarded to the campus level by the deadline imposed by the VCAA. Should this deadline change substantially, alterations in the candidate's original submission date and/or the departmental timeline may be necessary to provide at least a month at each of the department and school levels.

**MEMORANDUM**

**To:** DSB Faculty  
**From:** Myeong H. Kim, Chair  
DSB's Reappointment, Promotion & Tenure (RP&T) Committee  
**Date:** October 26, 2016  
**Subject:** Senate FAC Feedback on revised SD 95-4 (DSB's Retention, Promotion and Tenure Policy and Procedures)

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WHEREAS, SD 95-4 created the Doermer School of Business (DSB) retention, promotion and tenure (RP&T) policy and procedures; and

WHEREAS, SD 14-35 created guiding principles for promotion and tenure at IPFW;

WHEREAS, SD 14-36 created procedures for promotion and tenure and third year review at IPFW;

WHEREAS, DSB faculty adopted SD 14-35 as the guiding principles for promotion and tenure in the School on 10/27/2015;

WHEREAS, DSB faculty elected to align SD 95-4 with SD 14-36 on 10/27/2015;

WHEREAS, Senate Faculty Affairs Committee (FAC) has considered the 10/27/2015 revisions of SD 95-4 and provided the School with additional feedback;

BE IT RESOLVED, that DSB faculty approve the incorporation of Senate FAC's feedback in SD 95-4.