

**Approved 1996  
Amended Aug. 1, 2009**

**Department of International Language and Culture Studies**

Reappointment, Promotion, and Tenure

Procedures and Criteria

**Preamble:** This document is intended to comply with the guidelines stated in the *Indiana University Academic Handbook* and in relevant IPFW documents, including:

- the A & S Governance Document, section 12. (Procedures for Promotion and Tenure)
- Senate Document SD 88-13 (Procedures for Promotion and Tenure)
- the A & S Faculty Affairs Committee's recommendations on how to construct departmental promotion and tenure criteria statements ("attachment c," undated)
- Senate Document SD 88-25 (Criteria for Promotion and Tenure)
- Senate Document SD 94-3 (Promotion and Tenure Guidelines)
- OAA Memorandum 93-1 (April 1994): Faculty Promotion and Tenure Dossier Format ("Brown Document").
- Senate Document SD 91-20 (tenure stop-out policy)
- Senate Document SD 95-6 (Amendment to SD88-25: criteria)
- Senate Document SD 95-7 (Criteria for Instructors)

Whenever one of the above documents is amended or superseded, the ILCS RPT committee shall review the relevant sections of this document and recommend changes if necessary.

**Committee structure:** The Reappointment, Promotion, and Tenure Committee will consist of three senior faculty members and one alternate. The alternate will serve in the event that one of the other three committee members presents a case for promotion or sabbatical. A majority of the committee members shall hold the rank of associate professor or higher (see A & S Governance Document 12.2.1 and SD 88-13, 1.1) in the years when a promotion case is being considered.

## I. Procedures

It is the department chair's responsibility to notify faculty members of their impending consideration for reappointment or tenure and to advise each faculty member concerning her/his progress toward tenure and promotion. Individuals with contingency appointments (as lecturer or instructor prior to completion of the Ph.D. or other terminal degree) are normally reappointed only if the degree has

been completed according to the deadline spelled out in the letter of appointment.

A. Reappointment of untenured tenure-track faculty:

1. Based on information provided by the individual to be reviewed, the RPT committee conducts a review of each untenured faculty member each year, normally in February, and presents a recommendation to the chair.
2. The chair prepares her/his own recommendation for reappointment or non-reappointment of each untenured faculty member and forwards it, together with the RPT committee's report, to the Dean of A & S, who in turn forwards it with his/her recommendation to the VCAA and the Chancellor.
3. Copies of the committee's and the chair's recommendations must be provided to the faculty member. In addition, the chair will meet with each untenured faculty member at the time the reappointment recommendation is made to discuss her/his progress toward tenure and promotion.
4. The chair's annual evaluation of each tenure-track faculty member is another opportunity to review progress toward tenure and promotion.
5. In cases of non-reappointment, the faculty member should be informed orally of the specific reasons for the negative decision and should have the reasons in writing within 30 days if she/he so requests.

B. Tenure and Promotion Procedures:

Each tenure-track faculty member must be considered for tenure not later than during the penultimate year of the probationary period. Normally, a candidate for tenure will also present a case for promotion from assistant to associate professor (see criteria for tenure and promotion, section II. B below). Tenured faculty may nominate themselves for promotion at any time, usually after four years in rank. The tenure and promotion timetable for faculty hired with years toward tenure and/or at a rank above that of assistant professor will depend on the specific terms of her/his letter of appointment.

1. Timetable: A faculty member wishing to be considered for tenure or promotion should submit all relevant materials to the department chair approximately one week before the beginning of the fall semester. In order to meet this deadline, the candidate should begin preparing her/his case no later than April of the preceding spring semester, so that any outside evaluations can be requested in a timely fashion.

It is the responsibility of the department chair to inform any faculty member being considered for tenure and/or promotion of any apparent or real inadequacy in his/her case as soon as it comes to the chair's attention, and no

later than one week before the departmental RPT committee meets to begin consideration of the candidate's case.

2. Outside Review: According to SD 94-3, outside reviews, like all types of evaluations, should be accompanied by a statement indicating who solicited the reviews, the terms under which they were obtained, the number solicited, and the number returned. By mandate of former IU President Thomas Ehrlich, tenure and promotion cases for IU faculty must include appraisals by six outside evaluators.

By definition, outside evaluators are people not affiliated with IPFW. If they hold university rank, it should be at or above that sought by the candidate. Of course, all evaluators should possess credentials appropriate for assessing the candidate's achievements. Normally, the material submitted for outside review will be the candidate's research/creative endeavor; however, in some cases it may be desirable to solicit outside evaluations of teaching or service contributions. As noted above ("Timetable"), letters to outside evaluators should be sent out no later than April of the spring semester prior to the fall deadline for presentation of cases.

3. Selection of outside reviewers: Each candidate provides to the chair a list of at least six potential outside evaluators, including their names, titles, and addresses along with a brief statement of their credentials (e.g., "Prof. X's book on New Hystericism is the definitive work on the subject."). If the candidate has had a personal or professional relationship (e.g., thesis advisor, co-author, close friend) with anyone on the list, that should also be indicated. The chair will also prepare a list of six potential evaluators, from which the candidate has the right to strike up to three names if he or she wishes. (The candidate will also indicate if she/he has had a close relationship with any of the individuals on the chair's list.) The chair will then prepare a third list drawn from names remaining, including no more than two individuals with whom the candidate has had a close relationship, and invite them to serve as outside evaluators. If fewer than six agree to do so, the chair and the candidate will follow a similar procedure to that already outlined until an appropriate panel of reviewers has been confirmed.

4. Materials sent out for review: In consultation with the chair, the candidate will prepare a packet of materials for outside review. The

packet will contain the department's promotion and tenure criteria, the candidate's C.V., and a sample of the candidate's research or creative work. While published work that has already been peer-reviewed need not be sent out for outside evaluation, candidates may choose to send some or all of their refereed publications along with unrefereed and/or still unpublished work in order to give outside reviewers a more complete picture of their scholarly/creative accomplishments. Unrefereed work and work that has been submitted for publication but not yet accepted **must** be submitted for outside review if it is to count as evidence of scholarly/creative productivity.

5. Candidate's access to outside letters: The candidate will receive a copy of the letter sent by the chair to the outside reviewers and a list of their names. These items, together with information about the reviewers' credentials, should be included in the candidate's case. The candidate may choose one of two methods of access to the content of the letters to assist her/him in preparing the case:

- a. The candidate will be given copies of the letters with indications of authorship deleted.
- b. Instead of making the letters available to the candidate, the chair will evaluate the letters and discuss them with the candidate, providing as much information as possible about the likely impact the letters will have on the candidate's case without revealing the evaluators' identities.

In both procedures, the outside evaluators will be informed of the procedure the candidate has chosen. (specifics on final disposition of the original letters to be added later.)

6. Format: In preparing the tenure and/or promotion case, the candidate should follow the format spelled out in OAA Memorandum 93-1 ("Brown Document") and the A & S Governance Document ¶ 12.1.2.

7. Levels of review: Each case will be reviewed by the ILCS RPT Committee, the ILCS Department Chair, the A & S Promotion and Tenure Committee, the Dean of Arts and Sciences, the Campus Promotion and Tenure Committee (in January), the VCAA, and the Chancellor of IPFW. The Chancellor will forward her/his recommendation to the President of Indiana University. The candidate will be notified in writing of the recommendation at each level, and of the reasons therefor.

8. Departmental review: A copy of each candidate's tenure and/or promotion case will be made available to all full-time ILCS faculty. In

reviewing cases, the RPT Committee will call at least one meeting of the ILCS faculty as a whole to ensure that all have an opportunity to provide input; faculty members may also present written comments to the RPT Committee if they wish. The RPT Committee will provide a recommendation to the chair or, if the candidate is the chair, to the Dean of Arts and Sciences.

9. Review by the A & S Committee: selection of a representative: According to the A & S Governance Document (§ 12.2.3.3), each candidate may select from among the tenured or tenure-track faculty a nonvoting representative who will be available to answer questions that members of the A & S Promotion and Tenure Committee may have about the case. A member of the A & S Committee may not serve as representative for any candidate.

## II. **Definitions: Teaching, Research/Creative Endeavor, and Service**

It is understood that teaching, research/creative endeavor, and service are overlapping areas of faculty responsibility--it is not always possible to designate a specific activity as belonging strictly to one or the other area.

A. Teaching: Teaching includes all the activities, whether in the classroom or outside of it, that are associated with effectively communicating to students the subject matter. Such activities include, but are not limited to: the methods and strategies used in the classroom; preparation for one's classes (this includes keeping abreast of current developments in the field); development of instructional media; the informal providing of advice to students concerning their choice of courses and curriculum, their research, career interests, etc; the sharing of ideas/techniques with one's peers at local or regional workshops, and so on.

B. Research/Creative Endeavor: In our field, research/creative endeavor includes both applied pedagogical research/creative activity and "theoretical" or interpretive research. That is, pedagogical research is counted in the research/creative endeavor area rather than in teaching. Research/creative projects that have been peer-reviewed are counted more heavily in tenure and promotion decisions than work that has not undergone peer review.

C. Service: This category encompasses university, professional, and community service. Most university service, whether at the departmental, school, campus, or system level, involves serving on committees or similar bodies (Senate, task forces) and other administrative work (language lab director, director of an interdisciplinary program, etc.). Service to professional associations includes organizing conferences or conference sessions; holding

office in an organization or serving on boards, task forces, etc.; reviewing manuscripts or published materials; journal editing. Community service includes public presentations and popular writings, work done for community agencies (volunteer teaching, serving on boards, consulting, etc.), translating and interpreting done for local businesses, and so on.

### III. **Criteria: General**

#### A. Criteria for reappointment:

For each year's reappointment, the faculty member should be able to show progress toward fulfilling the criteria for tenure (as defined below) in each of the three areas of faculty responsibility.

#### B. Criteria for Tenure:

The *IU Academic Handbook* states: "The criteria for tenure and the criteria for promotion are similar but not identical. . . . Tenure will generally not be conferred unless the faculty member or librarian achieves, or gives strong promise of achieving, promotion in rank within the University" (p. 26).

Candidates for tenure have traditionally been told they must demonstrate competence in all three areas of faculty responsibility, while candidates for promotion were expected to demonstrate excellence in either teaching or research/creative endeavor and at least satisfactory performance in the other two areas. That tenure and promotion may still be considered separately is shown by statements such as the following: "Promotion is a recognition of past achievement; tenure [is] a statement of confidence in future achievement" (IPFW Senate Document SD 94-3). However, in today's climate, it is unwise for faculty at the rank of assistant professor to expect tenure without simultaneous promotion to associate professor.

#### C. Criteria for Promotion:

Normally, a candidate for promotion will be expected to demonstrate excellence in one of the three areas of faculty responsibility and competence in the other two. Another avenue, the "Balanced Case," has been approved by the Indiana University Faculty Council but was not endorsed by the Fort Wayne Senate (Senate Document SD 92-8); the following is from Circular U13-94 (to be inserted in the *IU Academic Handbook* ¶ "Criteria for Promotion" [June 1992, p. 27]):

. . . A candidate for promotion [or tenure] should normally excel in at least one of the above categories and be at least satisfactory in the others. *In exceptional cases*, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. (emphasis added)

The fact that the "Balanced Case" is defined as exceptional indicates that this avenue may be a risky one.

#### IV. **Criteria for Promotion from Assistant to Associate Professor**

A candidate for promotion to associate professor should demonstrate excellence in either teaching or research/creative endeavor and competence in the other two areas. Because service is de-emphasized for pre-tenure faculty, it is not advisable to base a tenure/promotion case on service.

Because certain promotion or tenure cases may have characteristics that could not have been predicted, it is recognized that interpretive adjustments of departmental policy may have to be made in assessing those cases.

##### A. Teaching:

**Competence** in teaching is defined as effectiveness in communicating to students the substance of the subject being taught. Competence also implies a thorough knowledge of the subject fields being taught, continued upgrading of this knowledge, fairness and objectivity toward students, and a receptivity to improving teaching methods and techniques.

**Excellence** in teaching may be defined in at least two ways.

a) The first is highly effective performance in the classroom. This presumes maintaining a high degree of preparedness, both in knowledge of the discipline and in method of conveying this knowledge, as well as the ability to stimulate interest in the subject and to assist the student in attaining a degree of proficiency that will enable her/him to proceed independently within the subject.

b) A second way of defining excellence in teaching is the combining of effective classroom teaching with a major contribution of a pedagogical nature. This might include pedagogical publications, pedagogical workshops organized and/or conducted, innovative use of instructional

technology, and so on.

The candidate for tenure or promotion to associate professor must present several measures of teaching effectiveness. Customary means of substantiating competence or excellence in teaching include:

1. Student evaluations: (a) end-of-semester student evaluations administered according to departmental policy, compiled by the secretaries, and approved by the faculty member for inclusion in her/his file; (b) student evaluations expressed orally to the department chair and recorded in the faculty member's file; © evaluation in retrospect by senior majors and by major or non-major graduates who have completed courses taught by the faculty member; (d) evaluations in retrospect by students who have studied abroad.

**The direct solicitation of letters from students and former students must be approved by the candidate and carried out by the department chair or her/his designee.**

2. Colleague evaluations: (a) direct in-class observations; (b) personal comments and evaluations (solicited or unsolicited) by the department chair and by other faculty members within the ILCS Department; © evaluation of teaching materials and/or in-class observation of teaching by colleagues from other institutions.

3. Teaching awards presented to the candidate.

4. Other evidence, including but not limited to: the candidate's self-evaluation; contributions to course and curriculum development; teaching innovations and pedagogical experimentation; software or other use of instructional technology; course outlines, syllabi, and other pertinent documents; contributions as the coordinator of multiple sections.

B. Research/Creative Endeavor:

For tenure and promotion from assistant to associate professor, the candidate must present evidence of ongoing involvement in research/creative endeavor. The body of work presented need not focus on a single topic, but should demonstrate a candidate's long-term concerns as a scholar and teacher. Quantity and quality are both factors in the evaluation of research, but quality is the more important. Evidence of quality includes the standing of the journals or presses that publish the candidate's work or the judgment of evaluators distinguished in the candidate's field of creative or scholarly activity.

**Primary evidence** of accomplishment in this area is provided by books, articles,

#### IV. Criteria for Promotion Assistant to Associate ... A. Teaching 1. Student...9

essays, book chapters, software, or creative writings published or accepted for publication by refereed journals or reputable presses. Textbooks and other pedagogical publications that have undergone a rigorous process of peer review are also evidence of productivity in research/creative endeavor. **Supporting evidence** may include, but is not limited to: manuscripts, software, or other work submitted but not yet accepted for publication, grant proposals funded or submitted, papers presented at conferences, edited publications etc. Evidence of recognition within the profession may include, but is not limited to, professional service activities such as book reviews, manuscript reviewing, and so on.

**Competence** in research/creative endeavor may be defined as at least three articles published or accepted for publication in refereed journals, or comparable achievement, plus additional evidence of ongoing involvement in research/creative endeavor.

To demonstrate **excellence** in research/creative activity, the candidate must present evidence of a definite plan of future research covering a number of years as well as evidence of work underway that extends well beyond the limits of the doctoral dissertation. The candidate's publication record should include at least four articles published or accepted for publication in refereed journals or a book published or accepted for publication by a reputable press, or comparable achievement, plus additional evidence of ongoing involvement in research/creative endeavor. There should be evidence of regional and national recognition of the candidate's work.

#### C. Service:

For faculty members seeking tenure and promotion to associate professor, **competence** in service may be defined as discharging with merit one's service responsibilities within the department: advising of student majors, serving on departmental committees, and participating in other activities related to the department's teaching mission.

#### V. Criteria for Promotion to Professor

"Promotion to Professor is awarded to individuals recognized by professional peers as authorities in their fields. It is expected that candidates will have made important and recognized contributions in at least one of the areas: teaching, research, and service. Candidates will be recognized and respected in state, regional, or national educational and professional circles." ( from SD 88-25, Criteria for Tenure).

It is understood that, in demonstrating "important and recognized contributions" in one area, the faculty member will also demonstrate competence in the other two.

A. Teaching:

**Excellence in teaching for promotion to Professor:**

"If teaching is the primary basis for promotion to Professor, the candidate should not only have established a record of excellent teaching but also have contributed to the general improvement of instruction at IPFW or in the discipline." (SD 94-3, Promotion and Tenure Guidelines).

"If teaching is the primary criterion, the candidate must have demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work. Wherever feasible he or she should have demonstrated the ability to direct the research of advanced students." (*IU Academic Handbook*, p. 28)

**Competence** in teaching for promotion to Professor is demonstrated by evidence that the candidate has maintained a consistent record of effective teaching as defined under "competence" in section IV.A above.

B. Research/creative endeavor:

**Excellence in research/creative endeavor for promotion to Professor:**

"If research or other creative work is the primary criterion, the candidate should have shown a continued growth in scholarship which has brought a national reputation as a first-class productive scholar." (*IU Academic Handbook*, p. 28)

"If research/creative endeavor is the primary basis for promotion to Professor, the candidate should have gained national or international recognition for his or her work." (from SD 94-3, Promotion and Tenure Guidelines).

Evidence of **excellence** in this area will include significant publications beyond those presented in the case for promotion to associate professor, such as a book published by a reputable press or comparable achievement in terms of other refereed publications as defined elsewhere in this document, plus additional evidence of ongoing scholarly activity. Evidence of national or international recognition may be documented by a combination of: published or unpublished reviews of one's work; invitations to contribute to important scholarly, pedagogical, or creative projects; citations of one's work by others; requests to reprint one's work in anthologies or new editions; and certain professional activities, such as serving on editorial boards or review panels, invitations to serve as editor of a journal or to edit a special journal issue or book in the candidate's area of specialization. Favorable acknowledgment of one's earlier

work may also be used as evidence of a national or international reputation.

**Competence** in research/creative endeavor for promotion to Professor is demonstrated by several refereed publications beyond those presented in the case for promotion to associate professor, plus additional evidence of ongoing involvement in research/creative activity.

C. Service:

While it is unlikely that a case for promotion to Professor based primarily on service would be successful, Indiana University and IPFW documents acknowledge that the possibility exists:

"If administrative, professional, or academic service is the primary criterion [for promotion to Professor], distinguished contributions must be evident." (*IU Academic Handbook*, p. 28).

"If service is the primary basis for promotion, it should represent a unique achievement of special value to the campus, community, or profession. (SD 94-3)

**Competence** in service for promotion to professor is demonstrated by evidence of meritorious university service at the departmental level and beyond.