

IFC Faculty Affairs Committee**Proposal for the Revision of the “Earlier-than-Normal Tenure Recommendations” in *A Guide for Faculty: IUPUI Supplement to the IU Academic Handbook*, p. 73****FINAL DRAFT****EARLY PROMOTION AND TENURE POLICY****I. PRELIMINARIES****A. The Text of the 1988 “Recommendations”, IUPUI Supplement, p. 73:****Exceptions to the Probationary Period
Earlier-than-Normal Tenure Recommendations**

The University’s policy on early tenure is cited in the *Academic Handbook*. The following provides additional information about procedures for early tenure at IUPUI. In supporting a campus recommendation to the Board of Trustees regarding the granting of earlier-than-normal tenure, the Office of the Vice President and the Dean of the Faculties must be convinced that the following conditions exist or will be met:

- (a) An extraordinary case, justifying a shortening of the probationary period, does exist.
- (b) The case must be made on the merits of the candidate’s accomplishments.
- (c) The exceptional case will have been subjected to the same rigorous evaluation by faculty committees and administrators at all levels that currently pertains to a normal recommendation regarding tenure.
- (d) No promise, either expressed or implied, regarding early tenure should be made, including promises at the time of initial appointment.

A candidate for earlier-than-normal tenure should discuss the review with the department chair or dean to ensure that the candidate understands the process and realizes that the review may result in notice of non-reappointment.

Reviews for earlier-than-normal tenure will be conducted as a part of normal procedures, at the same time, with the same requirements for documentation, and with the same regard for the criteria normally applied. Early tenure cases will ordinarily be referred to the campus level faculty review committee for evaluation. Purdue mission faculty should be recommended for promotion (or already hold the rank of associate professor or professor) to be considered for earlier-than-normal tenure, in accord with Purdue University policies.

(Memorandum from Chancellor Gerald L. Bepko, September 15, 1988.)

B. Background:

FAC examined the 1988 document “Earlier-than-Normal Tenure Recommendations” reproduced above, and related memos emanating from former Chancellor Gerald Bepko and former Dean of the Faculties William Plater. We determined that it was time, twenty-two years later, to give a fresh look at that document. FAC was asked to aim at recommendations for revisions that are consistent with the IU Handbook, unless we recommended changes at that level, too. FAC believes that the language of the recommendations is worth revisiting on several counts.

(1) It does not state whether it applies to candidates with one or more years of credit toward tenure at the time of appointment. The distinction and sometimes possible intersection between an early-tenure case and a tenure period with one or more years of credit needs clarification.

(2) It does not state what it takes for a case to be “extraordinary” or “exceptional,” and who would make that determination is problematic. The question arose whether any faculty member could automatically ask for early promotion and tenure as soon as the tenure criteria are met.

(3) There seems to be an inconsistency between the IU Academic Handbook (which allows early-tenure candidates to withdraw their request at any time prior to a final decision by the University President) and the rule that a tenure dossier can only be submitted once for review.

(4) Administrative recommendations affecting the promotion and tenure process should be endorsed by the faculty and it is thus preferable to turn them into an IFC-approved policy.

(5) The formulation of such a policy should not conflict with the “Three-Year Formative Review Policy” adopted in January 2007.

C. Relevant policies:

1. *The Indiana University policy on early tenure is briefly stated under the section on “Tenure-Probationary Period,” last approved by the Trustees on 20 June 1991, pp. 71–72 in the August 2008 Academic Handbook. It includes the following statements (p. 72).*

- The probationary period may not exceed seven years.¹
- Tenure may be conferred at the time of initial appointment or after a shorter period than specified above. When a probationary period expires during an academic year, the probationary period will be extended to the end of that year.
- A faculty member who has not received a notice of recommendation for non-reappointment may request consideration of the tenure decision at any time after the initial appointment. However, if the tenure decision is negative, the faculty member’s appointment shall terminate at the end of the academic year following the year in which the negative tenure decision was made. A faculty member who applies for early tenure should be forewarned that a candidate for tenure should expect only one full review. A faculty member who requests early tenure shall be notified of any negative recommendation concerning his or her request at any time prior to a final decision by the President. A faculty member may withdraw his/her request for early tenure at any time prior to a final decision by the President.

2. *The “IUPUI Dean of the Faculties’ Guidelines For Preparing and Reviewing Promotion and Tenure Dossiers 2010-2011” include the following pertinent statements (pp. 25–26).*

- In considering candidates for tenure, where there are questions about time in rank, reviewers are reminded that tenure assumes an extended period of productivity and improvement. The purpose of the probationary period is to give candidates for tenure an opportunity to demonstrate their capacity for sustained excellence and an ability to adapt to changing conditions of their disciplines and the institution. In some cases, consideration of work completed elsewhere or prior to appointment to a tenure-track position may be appropriate. Regardless, the dossiers must present clear evidence of the candidate’s ability to contribute at the ex-

¹ The UFC passed a resolution allowing for schools to request an extension of their tenure-probationary periods from the Board of Trustees provided that the school has followed applicable campus policy and demonstrated a compelling justification for the extension. Before such requests can be made to the Board, they must be approved by the dean, the faculty of the school, the Provost or Chancellor, and the President. In addition, core schools require adoption and approvals by both campuses in which the core school resides. —*Approved May 28, 2010; Approved by the IU Board of Trustees June 11, 2010* (Quoted from Circular U3-2011).

pected levels throughout his or her professional career.

- While the probationary period for untenured faculty ordinarily is seven years (with the tenure review occurring in the sixth year), special conditions may warrant earlier than normal consideration.
- Candidates who seek earlier than normal consideration must present evidence of achievements comparable to those who have served the full probationary period. Earlier-than-normal cases sometimes require special care to ensure equity of treatment
- In most instances, the work being assessed as the basis for promotion or tenure will have been completed since either the initial appointment or last promotion. In many cases, it is understood that national reputation depends, in part, on foundational work that may have occurred earlier in the candidate's career. For faculty, publications and presentations in rank at another institution prior to appointment at IUPUI will be considered part of the candidate's record.
- If a candidate is reapplying for promotion within three years of a previous dossier submission (whether as a result of denial of promotion or withdrawal of the case prior to final decision), all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission (p. 22).

3. *Policy on Three-Year Formative Review of Tenure-Probationary Faculty and Librarians (A Guide for IUPUI Faculty: IUPUI Supplement to the IU Academic Handbook, pp. 69–70).*

- Policy: To ensure that all tenure-probationary faculty members benefit from helpful and meaningful assessments of their progress toward promotion and tenure near the mid-point of their probationary period, a Three-Year Formative Review [hereinafter referred to as the "Review"] shall be conducted on all such faculty members during the spring semester of the third year of their appointments in accordance with the following guidelines.
- Applicability: This policy applies to all tenure-probationary faculty members at IUPUI, with the exceptions noted immediately below. The term "third year" refers to the *third full academic year* of the tenure-probationary faculty member's appointment. However, faculty members who enter with one year of credit toward tenure are in their "third year" during their second full academic year of appointment, and those who enter with two years of credit are in their "third year" during their first full academic year of appointment. Those who enter either with tenure or with more than two years of credit toward tenure are exempt from the Review.

II. PROPOSED POLICY

A. Definition and Applicability:

In the IUPUI Faculty Council policy, the phrase "early promotion and tenure" shall refer to a request for promotion and tenure based on a probationary period of less than seven years, with a tenure review occurring earlier than the sixth year of probationary service. This policy applies to all tenure-track faculty, including those who have received one or more years of credit toward tenure based on countable service prior to their tenure-track appointment, as long as the number of years of their probationary period added to that of their prior countable service is less than seven. This definition applies equally to tenure-track faculty who serve in schools that have extended the probationary period beyond seven years. For example, a seven-year probationary period in a school that has extended its length to nine years remains standard and will not be conducive to an "early" request.

B. Policy:

(1) No promise, either expressed or implied, regarding early promotion and tenure should be made to candidates, including promises at the time of initial appointment.

(2) Faculty members who determine they have met or exceeded all applicable promotion and tenure requirements at all levels of review fully one or two years before the start of the customary sixth year of probationary service may request early promotion and tenure.

(3) All tenure-probationary faculty members must undergo a three-year formative review in their third full year of academic service, except those who enter that service with more than two years of credit toward tenure. For that reason, no candidate can make a request for early tenure before the fourth year of their probationary period, or the second year of their service at IUPUI if they entered with more than two years of credit toward tenure.

(4) Requirements, procedures, and standards for reviewing early promotion and tenure cases shall be identical to those for reviewing ordinary cases and shall occur at the same time. The case must be made on the merits of the candidate's accomplishments, which must be comparable to the merits of candidates who have served the full probationary period.

(5) Rules regarding dossier reconsideration and negative tenure decision² apply equally to all candidates for tenure, irrespective of the length of their probationary period.

(6) Purdue faculty should be recommended for early promotion (or already hold the rank of associate professor or professor) to be considered for early tenure, in accord with Purdue University Executive Memorandum No. B-48. For Purdue faculty, recommendations regarding promotion are made to the President and Trustees of Purdue University while recommendations regarding tenure are made to the President and Trustees of Indiana University.

(7) No candidate may apply for early tenure more than once.

(8) If a candidate is reapplying for promotion and tenure as a result of withdrawal of the case prior to final decision, all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission. In addition, each level of review may request access to the initial dossier's reviews or reports that were made at an equal or lower level.

C. Recommendations:

(1) Candidates for early tenure should discuss the request for early review with their mentors, the department chair, or the appropriate dean to ensure that they understand the process and realize that the review may result in a notice of non-reappointment.

(2) Candidates for early tenure should be forewarned that they may only expect one "full" review. In accord with the *Academic Handbook*, this implies that candidates for early tenure may withdraw their request for early tenure at any time prior to a final decision by the President of Indiana University. This right does not preclude the risk of a notice of non-reappointment.

² *IU Academic Handbook* (August 2008), pp. 72–75, and *IUPUI Dean of the Faculties' Guidelines For Preparing and Reviewing Promotion and Tenure Dossiers* (for 2010–2011), pp. 28–29.