



SCHOOL OF MEDICINE

INDIANA UNIVERSITY

Office of the Dean

FLEXIBILITY IN THE TENURE CLOCK:

Why the Time is Right to Adopt a 10-Year Tenure Probationary Period at the Indiana University School of Medicine

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Statement of the Problem

The seven year tenure clock has been an institution in academia for nearly 70 years. Both higher education and academic medicine have changed rapidly over the last seven decades, yet the tenure system has remained largely unchanged. Overtime, the requirements for scholarship and tenure, in terms of both publication and research funding, have changed dramatically and become much more rigorous, especially in areas related to science. The challenge in institutions of higher education with academic medical centers is further complicated by the demands of clinical practice on clinician-scientists and changes to reimbursement practices which have placed additional burdens on clinician-scientists that often are at odds with the establishment of a productive research laboratory. The demographics of the academy have also evolved and faculty life is quite different than when the tenure system was first adopted. For example, more women, minorities, and dual career couples work in academe than ever before, diversifying the faculty and changing the balance between family and career for both men and women. Such diversity has generated an increased need for flexibility in faculty policies.

Indeed, many higher education leaders across the country are calling for major change. The National Panel of Presidents and Chancellors, composed of 10 heads of major research universities or state university systems, supports a national move to create flexible tenure-track faculty career paths at American colleges and university [1]. They argue against retaining the current rigid structure of the traditional tenure track and recommend that universities “*develop policies and programs that encourage flexible career paths to help faculty members balance work-life issues, avoid stagnation and burnout, and remain productive in various facets of scholarship.*” Dr. William Plater, former IUPUI Dean of the Faculties, has argued that “*tenure, like the academic workforce, must be flexible and adaptable without losing its shape or purpose*” [2].

Tenure policies, however, have not kept pace with the needs of higher education let alone the rapid rate of change in academic medicine. Consequently, we are now faced with a system that often requires a decision about lifetime tenure to be made with inadequate information, before a young scientist has had the opportunity to fully develop. Partly for this reason, and partly because of the increasing demands of clinical practice, more and more clinician-scientists are dropping off tenure-eligible tracks [3]. This is both a national and a local issue.

Between 2006-2008, the Indiana University School of Medicine’s Basic Science Council (BSC) discussed this developing problem, and considered various options to address it. The BSC is composed of the chairs of the seven basic science departments and the directors of the major research centers within the School of Medicine. After considerable discussion, the BSC concluded that greater flexibility was warranted in the tenure system at IUSM to allow those who have potential, but have not yet achieved the level required for tenure, more time to develop.

Therefore, we propose that the IUSM extend the tenure clock from 7 to 10 years. Under such a

system, tenure should still be granted to faculty members who warrant it at the 7 year mark, yet all tenure-eligible faculty members would have a maximum 10 year probationary period.

There are several compelling reasons to adopt this policy, which will be explained more fully below. We will first summarize briefly the history of the tenure system nationally and at IU, and explain the current context of the tenure debate in academic medicine in the U.S.

A Brief History of the Tenure System

In 1940, the American Association of University Professors (AAUP) published the paper, "Statement of Principles on Academic Freedom and Tenure" and thus was born the current tenure system to which most academic institutions still adhere. In this document, the AAUP recommended: (a) that the academic tenure probationary period be seven years; and (b) that academic freedom be protected through narrowly outlining the ways in which a tenured faculty member could be dismissed (not without adequate cause, except "under extraordinary circumstances, because of financial emergencies" and only after receiving written reasons and being heard in self-defense). Another purpose of the recommended academic tenure system was to raise the performance standards of the faculty by pressing new professors to perform to the standard of the school's established faculty. This system was rapidly adopted at most U.S. institutions of higher education after 1945, when institutions were flooded with enrollment from the influx of returning GI's, resulting in the rapid expansion of universities and severe faculty shortages. The majority of institutions thus started offering formal tenure as a benefit in order to recruit faculty to fill these personnel needs [4].

The 1940s was also a decade of expansion extramural grants programs of the National Institutes of Health [5]. The authorization to conduct clinical research occurred in 1944. In 1946, the NIH created a Research Grants Office and began the use of study sections to review applications for extramural funding, a practice which continues today. Many new categorical institutes were also established during the 40s. By 1948, there were enough institutes that the name was changed to plural, the National Institutes of Health, to reflect multiple institutes under one umbrella. This rapid growth continued for a number of years, and in academic medicine and science, independent NIH funding became – and still remains – a "gold standard" for the granting of tenure.

History of Tenure at Indiana University and the School of Medicine

Indiana University adopted its policy on tenure on September 11, 1943, after several revisions and approval by the American Association of University Professors [6; also see the Appendix]. Based on available documents, the process of promotion (if not tenure) began in academic year 1946-1947; this was the first year that all School of Medicine faculty were identified as either professor, associate professor, assistant professor, or lecturer in the *IUSM Bulletin*. Additionally, the September 1946 issue of the *Journal of the Indiana Medical Association* announced promotions made by President Herman B Wells (i.e., Dr. C. P. Clark was promoted from associate to professor of ophthalmology, Dr. G. J. Garceau from associate to professor of orthopedic surgery, plus others), indicating the results of a promotion and tenure procedure. The

first reference to tenure in the IUSM internal faculty records is in a 1948 faculty file [7]. Prior to this time, ranks such as the term “professor,” were likely honorific titles.

As part of our institutional research, we obtained documents from the IU Archives which are included in the Appendix. The original tenure policy memo written by President Wells is included, as are excerpts from select IU faculty policies and faculty handbooks regarding tenure (1953, 1962, 1973, 2005 – the current handbook). *Of note is how little the policies have changed over time – the policies in effect today contain much of the original language from 1943.* We view this as problematic, given how vastly different higher education and academic medicine are today.

Framing the Context: The Tenure Debate in Academic Medicine

The tenure system is not without controversy. Across higher education, some argue that it can lead to the retention of unproductive faculty (“dead wood”), tie up resources, generate competition among junior faculty, and can codify gender and racial biases. Medical schools and academic health centers are not immune to these issues; yet there are additional contextual factors that have led to long-standing debate regarding the meaning of tenure for both clinician scientists and PhD biomedical researchers. Over 30 years ago in 1977, Spellman and Meiklejohn [8] surveyed a number of medical school deans and concluded that *“tenure in American medical schools is under progressively intensive scrutiny.”* Since this time, many studies, conferences, and articles have been devoted to the meaning of tenure in academic medical centers. Consider the following few examples: a 1988 survey of faculty affairs deans revealing that a majority of schools were undergoing major revisions of their tenure criteria and establishing nontenure tracks [9]; a 1995 survey of the National Caucus of Basic Biomedical Science Department Chairs showing that modifications of tenure policies were under consideration at most institutions, with over 75% of the chairs reporting that tenure was becoming more difficult to achieve [10]; a 1996 conference hosted by the Association of American Medical Colleges (AAMC) devoted solely to the topic of tenure and career pathways [11]; and as recently as this year, when a central finding of a study of academic surgery departments was the unanimous opinion that the promotion and tenure system should be discontinued in its current form [12]. Indeed, the scrutiny predicted in 1977 has only intensified over the years.

There are several reasons for this heightened scrutiny, chief among them is the diversity and complexity of the missions of medical schools. Academic medical centers must merge both the business aspects of the health care industry with the university system and culture – not always a seamless blend – in addition to maintaining intense missions in research, education, and arguably the highest service obligation of any unit within a university [9]. This creates a highly complex, dynamic institution staffed by faculty members who experience a vastly different day-to-day work life and organizational culture than their faculty counterparts in non-health profession units within the university.

Moreover, these complex and diverse missions have had to be sustained amid escalating costs and shrinking resources, exacerbating tensions both within medical schools and between medical schools and their parent university systems. Over the past several decades, research funding has remained a roughly stable proportion of the funding base of academic health centers

at approximately one-third of the budget, on average. However, clinical patient care revenue has increased at an accelerated rate over the past 45 years to support operational costs. In the 1960s, clinical revenue sources accounted for only 6% of operating revenues on average nationally; by the 1990s, clinical revenue accounted for approximately 50% of the overall budget on average of all medical schools (public and private) [13].

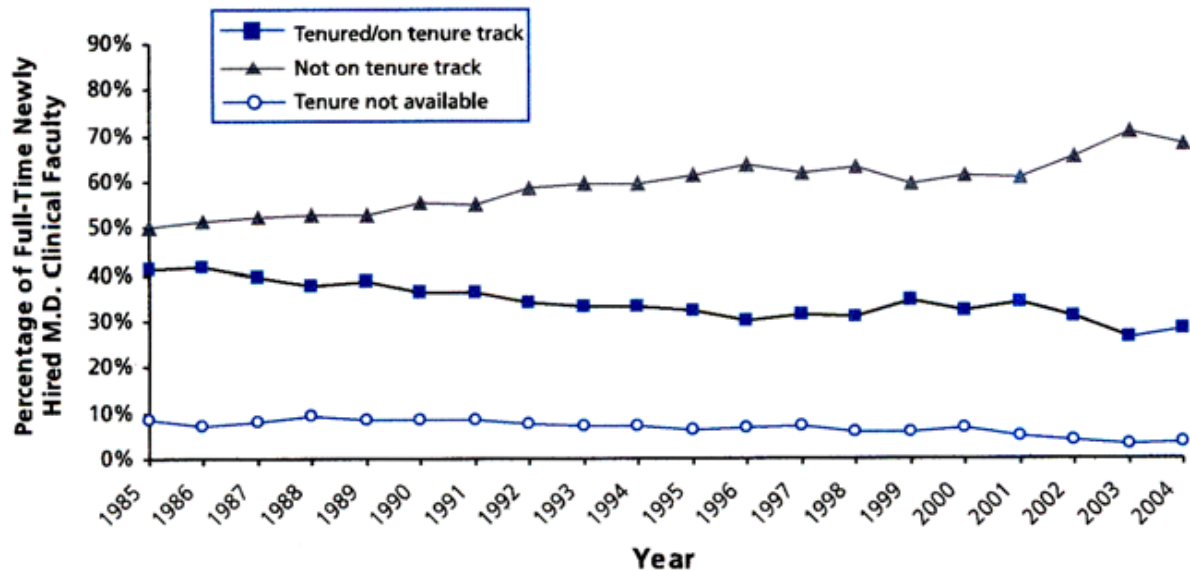
The IUSM, specifically, also relies heavily on clinical revenues to support its operating budget. For example, in fiscal year 2006, 45% of the IUSM annual operating revenues were from faculty practice plan income compared to the average of 33% at public medical schools. There are two reasons why IUSM varies from their peer public medical schools in this regard: 1) IUSM received 14% of its annual operating revenues from federal grants and contracts, while on average, public medical schools received 20% of their annual operating revenues from that source. More significant is the fact that ***public schools on average receive 12% of their annual operating revenues from state appropriations, net any parent university assessments, while IUSM receives only 5% of its annual revenue from that source.*** In fiscal year 2006, IUSM's annual allocation of state appropriations from the parent university was \$88.4 million, of which IUSM paid \$52.0 million in mandatory assessments to cover its proportionate share of central campus and university costs, and many but not all physical plan costs. This left IUSM with only \$36.4 million of net state appropriations to fund the medical school's central operating costs, as well as many program costs. Thus, while most public schools receive an allocation from their parent universities that is already net of central costs, the IUSM receives roughly half of the "net" state appropriations than the average public medical school receives, and is significantly below average, causing it to rely much more heavily on other sources of revenue [14].

Thus IUSM has less state funding to support operational expenses and faculty salaries, and instead, almost half of the necessary funding to accomplish the various missions of the medical school must be generated by the "in the trenches" work of clinical patient care. To generate this needed revenue, the IUSM and medical schools across the country have had to hire increasingly large numbers of faculty whose primary obligation is clinical work and teaching students within such clinical practices. As the number of clinical faculty has risen, the number of tenure track MD faculty has declined. Consider the following: [below statistics from ref 15]

- Between 1985 to 1995, tenured and tenure-track clinical MDs increased at an average rate of 4% per year, while non-tenure track MDs grew at a rate of 8% per year.
- In the next 6 years, (from 1996 – 2002), the growth in tenure eligible clinical MD faculty slowed to an average rate of 1% per year.
- In 1985, 57% of full time MD faculty in clinical departments were either tenured or on the tenure track; in 2004, this percentage dropped to 42%.
- In 1985, 41% of all newly hired full time clinical MD faculty were on tenure eligible tracks, but in 2004, that percentage declined to 28%, as can be seen below in Figure 1.

FIGURE 1

Tenure status for full-time newly hired* M.D. faculty in clinical departments at U.S. medical schools, in percent, 1985-2004

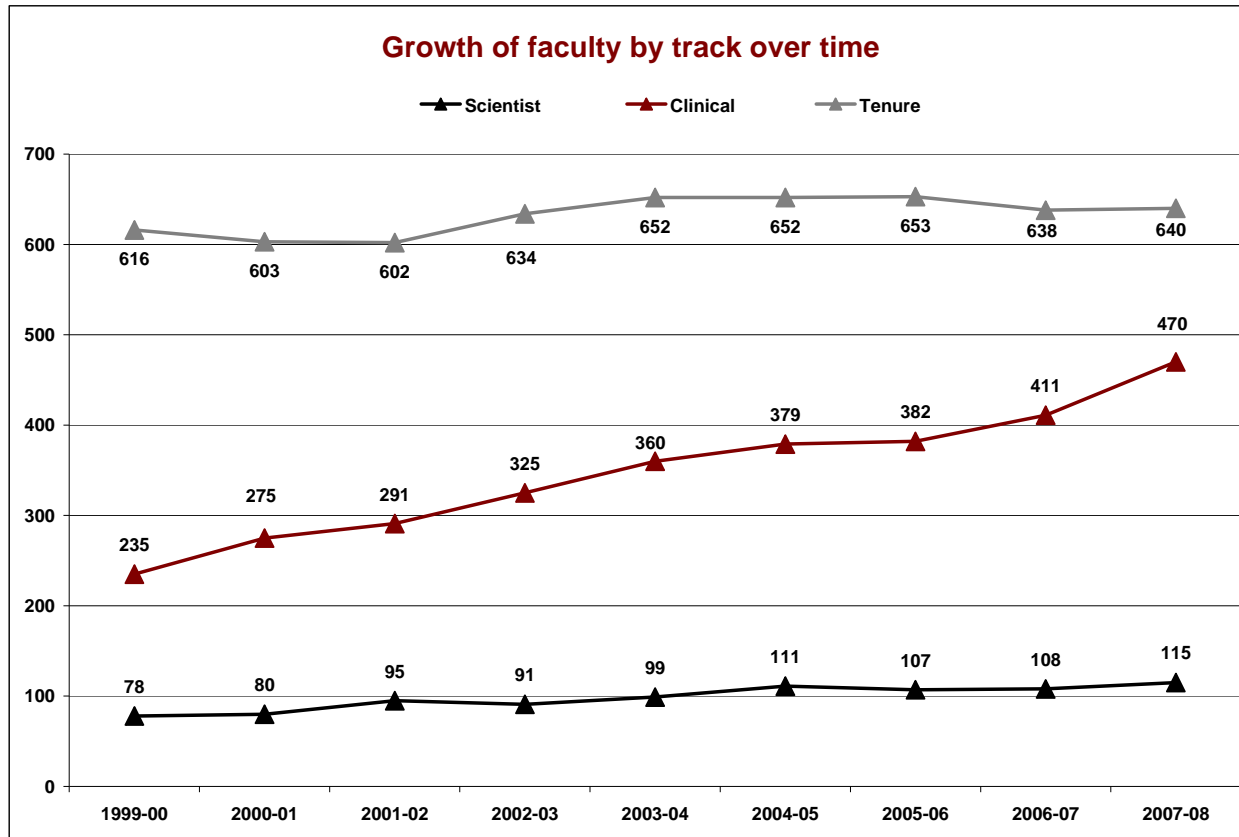


*Newly hired faculty are those at rank of assistant professor and above hired in the previous year.

Source: AAMC Faculty Roster database

The IUSM is not vastly different from this national picture. Below, Figure 2 displays the rapid growth in the ranks of clinical non-tenure track faculty since 1999-2000, compared to the numbers of tenure eligible and tenured faculty members, which has been roughly the same over time. The total number of full time faculty (non-affiliate) at IUSM grew from 921 in 1999-2000 to 1225 in 2007-2008, with virtually all of this expansion occurring through hiring more non-tenure clinical track faculty. Faculty on this track accounted for approximately 25.5% of the total faculty in 1999-2000; by 2007-2008, this proportion has risen to 38% of the total faculty.

With this rise in clinical faculty, increasingly across the nation and here at IUSM, departments and schools have developed faculty productivity expectations based on such issues as the amount of “revenue generating activity.” Such expectations are not directly reflected in promotion and tenure criteria; yet, this work is both typical of a clinical faculty member’s daily work life, and is essential to the operation of the medical school. Thus, for many faculty members, hiring expectations and their major contributions are not aligned with traditional expectations for academic advancement. Questions of how to value and reward such contributions for the purposes of promotion and tenure emerged, and remain today, on both the national and local debates regarding the meaning of tenure in academic medicine.

FIGURE 2: IUSM FACULTY OVER TIME

Note: Data from the IUSM Academic Administration Office

In addition to prompting the increased hiring of clinical faculty members, shrinking financial resources has also changed the nature of the financial guarantee that has traditionally been linked with the awarding of tenure. Clearly, as indicated in the above information regarding the operating revenues of the IUSM, far less state appropriations are available to support faculty salaries than the national average, and than may be available in other schools in the IU system. What was once a basic assumption -- that tenure affords faculty with financial stability -- is called into question in the fiscal environment of today's academic medical center both at the IUSM and nationally. For example [below statistics from ref 15]:

- In 2005, of the 113 medical schools that offered tenure to clinical faculty, 56 (50%) had a financial guarantee associated with tenure, while 43 (38%) had none. Of those 56 with a guarantee, only 3 guaranteed total institutional salary, and all 3 of these schools were considering revising this policy. The majority of institutions with a guarantee for clinical faculty only guarantee the base salary and not the clinical portion, which is often a substantially larger amount.
- Of the 119 schools that offer tenure to basic science faculty, 62 (52%) have a financial guarantee, and 42 (35%) had no financial guarantee associated with tenure. Of those with a

guarantee for basic science faculty, only 8 schools (13%) guarantee the total institutional salary.

These policies continue to evolve. Within the three years prior to this particular AAMC survey (between 2002 – 2005), 12 schools (10%) had revised or clarified their tenure financial guarantee policies, and another 17 (14%) were in the midst of such a revision in 2005. The authors of this study conclude that *“the changes in the financial guarantee associated with tenure during the last several decades have transformed the fundamental concept of tenure at many medical schools. At more than 40 institutions where tenure does not guarantee any level of salary support, the meaning of tenure is no longer clear. Does tenure protect job security or academic freedom if a tenured faculty member’s salary could effectively be reduced to zero?”* [13, p. 283 – 284]. Indeed, for these reasons, many believe that tenure is moot or irrelevant for clinical faculty [16]. Within the IUSM, institutional policies do not specify a financial guarantee with the awarding of tenure.

Clearly, clinical faculty members have been impacted greatly by this changing context. Additionally, faculty life among the basic science ranks has also been impacted. While less dramatic in numbers, there has also been a national decline in tenure eligible basic science faculty in the past several years.

- In 1985, 83% of PhD basic science faculty were either tenured or on the tenure track; by 2004, this number was 76% [15].
- Among newly hired PhD basic science faculty, 51% were on the tenure track in 2004, compared with 68% who were on the tenure track in 1985 [14].
- When comparing cohorts of graduates from a single year, Garrison and colleagues [17] found that in 1981, 34% of the biomedical PhDs with 5–6 years experience held tenured or tenure-track positions. In 2001, only 14% of the PhDs were in such positions 5–6 years after obtaining their degrees.

New biomedical PhD graduates may be increasingly choosing jobs in industry where they are not faced with the same pressure to achieve independent funding in a highly competitive grants environment under a ticking tenure clock – particularly if no financial guarantee comes with reaching the tenure milestone.

Against this backdrop of the complexity of medical school missions, shrinking financial resources, fewer tenure financial guarantees, expansion among non tenure track clinicians, and declining tenure track faculty, we offer below specific justifications for lengthening the probationary period.

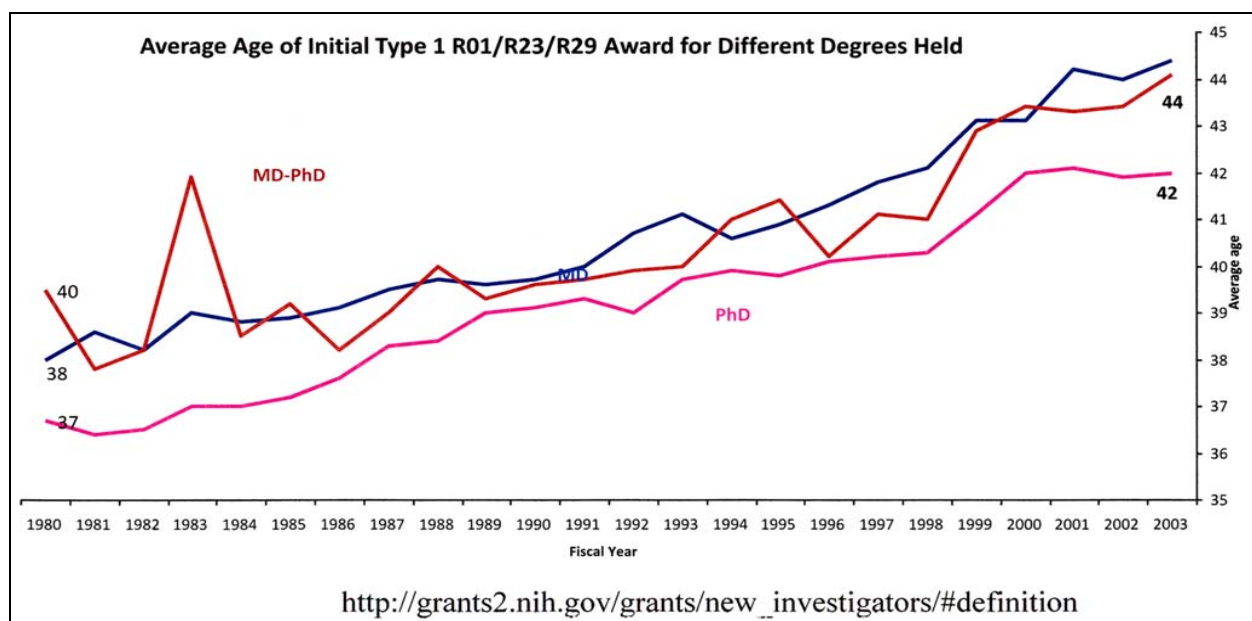
Justifications for Increasing the Tenure Probationary Period

Insufficient Time to Determine the Long-Term Productiveness. Funding from the National Institutes of Health (NIH) has grown increasingly more competitive in the past several years, with the probability of a proposal being funded dropping from 32% in 1999, to as low as 10-12% for

some institutes today (http://report.nih.gov/award_mapping.aspx). It is problematic to maintain the same standards and clock when faculty are approximately one-third less likely to be successfully funded. Most faculty members require 3-5 years to receive their first grant and 2-3 years (+several submissions) for renewal. Thus, a decision about tenure based on a dossier prepared at the end of five years may not allow adequate time (assuming a four year funding period) to determine whether that faculty member will be able to perform on that grant, successfully renew it, or expand into additional areas of investigation. Under a 7-year tenure clock, a faculty member only has time to demonstrate that he/she is capable of obtaining an extramural grant, but does not have sufficient time to demonstrate an ability to sustain a productive research program or funding. The ability to sustain funding is necessary information upon which to base a decision about the longer-term productivity and capability of a junior faculty member engaged in laboratory research. A 10-year tenure clock would allow sufficient time to demonstrate an ability to sustain funding. For example, if the faculty member received a 4 year NIH grant in his/her 3rd year after appointment, this grant would be due for renewal during his/her 7th year (after a tenure decision is required under the current system). Under a 10 year tenure clock, however, the tenure dossier would be submitted at the end of the 8th or 9th year, faculty members would have had the opportunity to apply for grant renewal at least once, and the decision of the funding agency would be known by the review committees when the decision on tenure needs to be made.

Independent Research Support Occurs at a Later Age. Consistent with the increased competitiveness, recent data from the NIH show that the average age of a new NIH grant recipient is 42 years old. The age at which clinically trained scientists (MD's and MD/PhD's) receive their first NIH grants is even later. The average age of a recipient at the time of the first NIH grant has been increasing steadily over the past 25 years, from an average age of 37-38 years in the early 1980's. Even more troubling, perhaps, is that the difference between PhD's and MD's in average age at the time of first NIH award has been increasing steadily (Figure 3).

FIGURE 3. Independent Research Support Occurs at a Later Age



There is a Large Initial Investment in New Faculty. Startup expenses for new faculty in the sciences are very expensive. It is not unusual to have to provide \$400,000-\$700,000 in startup funds to recruit the best and brightest junior faculty. Some of this funding is specific to an individual faculty member's research program, or may be spent by the faculty for technical support in the lab. The loss of a faculty member results in the loss of much or all of this large initial investment. Given the investment in a new faculty member, it is judicious to allow that faculty member as much time to be successful as possible. While application for an extension to the tenure probationary clock is an option, it is not a guarantee and many faculty members don't exercise this option. The act of requesting such an extension contains, for some, an implied message that such faculty are less competent, productive, or promising than their peers, despite information to the contrary. This is especially problematic for women and under-represented minority faculty who, as indicated by reliable evidence outlined below, face significant barriers to advancement in academic medicine today. Under a 10 year tenure clock, however, the need to request extensions would likely be reduced. This would better serve the individual needs of the faculty and the long-term interests of the university in a multitude of ways. In fact, one study using financial modeling of academic medicine faculty over time, found that tenure track faculty, especially those with laboratory research programs, generated the highest positive "central cash flows" for the university, with one important caveat: They must be retained "*well in excess of 10 years to recoup the initial central investment required for their recruitment*" [18]. Thus, the 10 year mark is a critical point in time for a number of reasons.

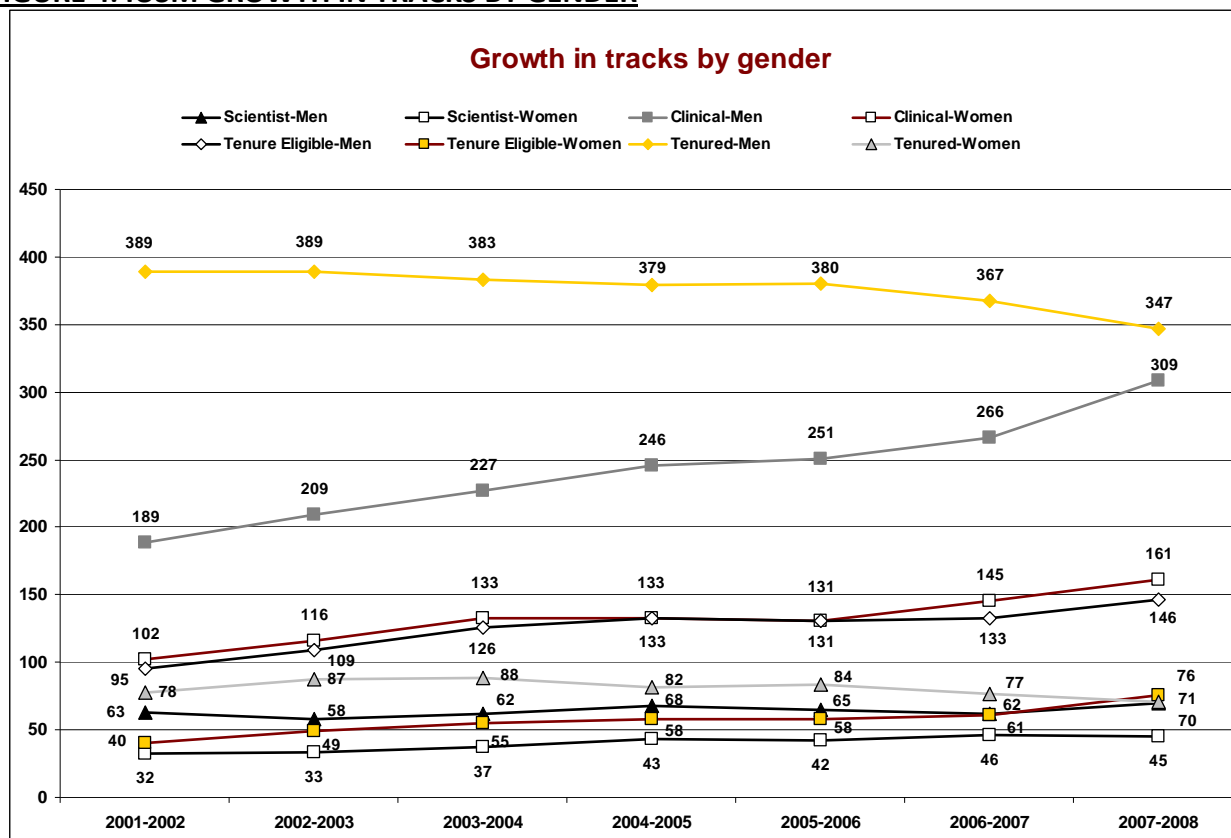
Recruitment and Retention of Excellent Faculty. Science has become highly competitive, and any policy that provides a slight edge in recruiting the best faculty is desirable. Faculty members of today are looking for a supportive and family-friendly environment more than ever before, one which is not too rigid and can allow them to balance their work and professional lives. Inflexible tenure policies make it particularly difficult for women, who are often saddled with most of the child- or elder-care responsibilities in a family. This may be one reason that women are less likely to pursue tenure-track faculty positions at major research universities. Women earn 51% of the doctoral degrees awarded to US citizens and now comprise approximately 50% of entering medical students, yet represent only 33% of all full-time faculty in medical schools (29% of basic science faculty and 34% of all clinical faculty); just 19% of tenured faculty are women [19]. Women and men enter the academic workforce at equal rates, but the rate of attrition for women is 2-3 times the rate for men [20], and women with pre-school children are half as likely to enter tenure-track positions as married men with similar-aged children. Further, there are more dual career couples than ever working in academe, and women faculty are more likely than men to have a partner in academics [21]. The previous concept of the "ideal faculty member," someone who can achieve excellence in research, teaching, and service through devoting countless hours to his/her career because a stay-at-home spouse handles all children and household duties, is not at all the typical experience of faculty life today.

At the IUSM, only 30% of the full time faculty are women and only 17% of the tenured faculty are women. As can be seen in Figures 4 and 5, the majority of women faculty are in non-tenure tracks and the rate of tenure among women over the last several years is flat. The IUSM is below the national averages for the proportion of full time and tenured faculty who are women

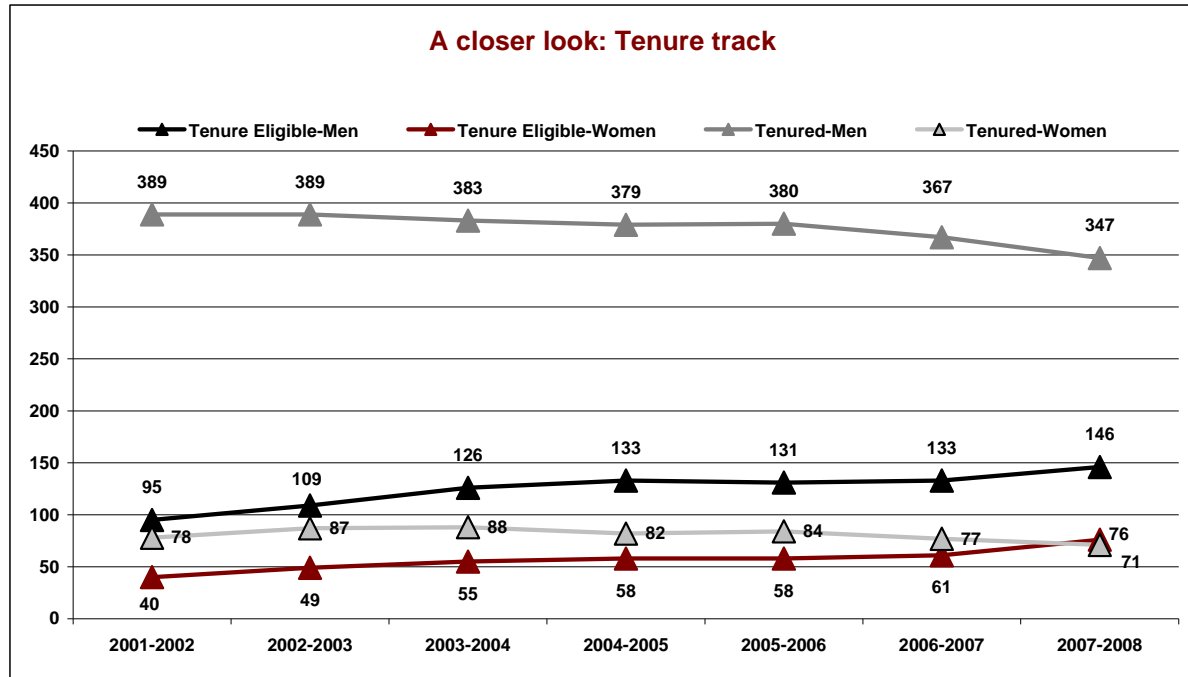
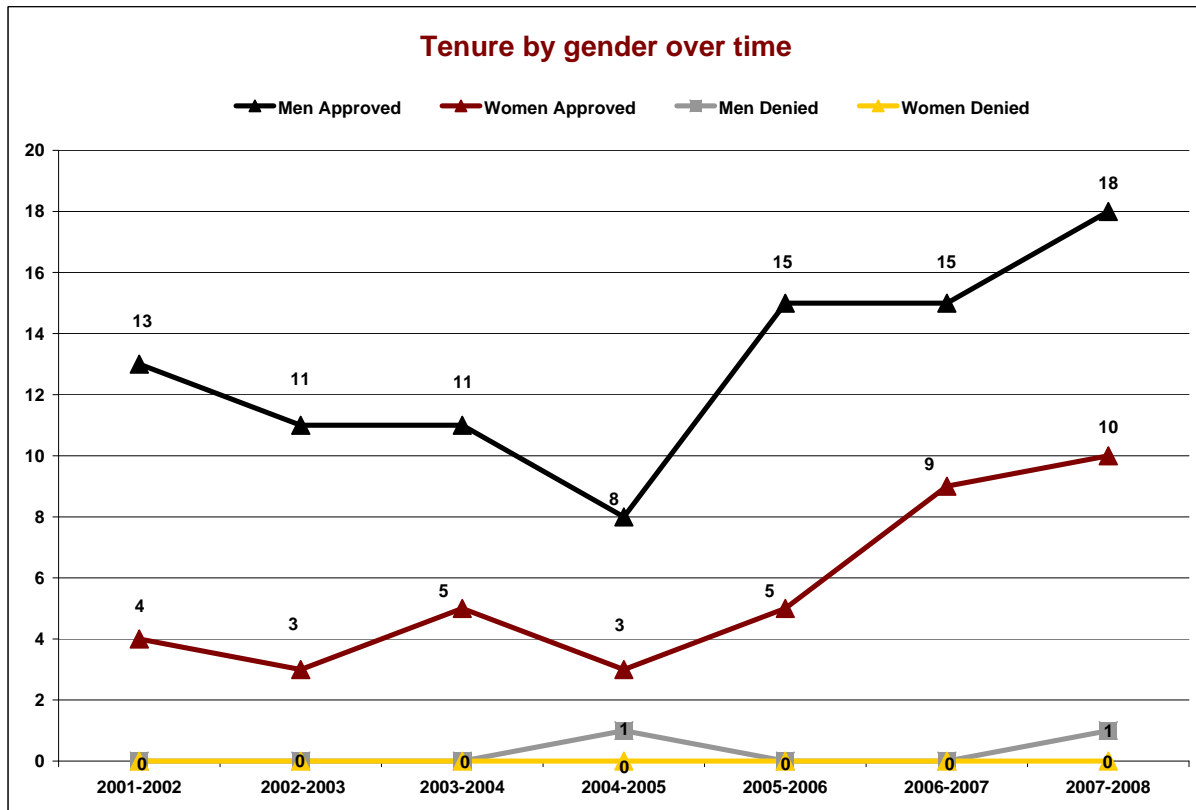
by just a few percentage points. While the difference of a few percentage points may or may not be statistically significant, the growth of women among medical school faculties has been remarkably slow (the proportion of women full professors has only increased by 1% in the past 15 years) and far behind what would be expected given the number of women earning doctoral and medical degrees and entering the academic workforce [22]. Thus, the difference of a few percentage points between the IUSM and the national average could, in fact, have practical significance.

Studies have repeatedly found that promotion rates for women faculty lag behind the rates of their male counterparts. While many theorize that such differences can be accounted for by lower productivity, specialty choice, differences in rank, and lower desire for advancement among women, several studies have shown that gender differences exist in promotion and advancement even after controlling for these variables [23-25]. In fact, studies show that, if nothing changes, there will not be equal numbers of women and men among the full professor rank until the year 2058 [20]. Figure 6 shows that over time, the number of male faculty at IUSM achieving tenure far out-paces the number of women. Cumulatively, since 2001-2002, 91 men have achieved tenure, compared to 39 women faculty.

FIGURE 4: IUSM GROWTH IN TRACKS BY GENDER



Note: Data from the IUSM Academic Administration Office

FIGURE 5: IUSM TENURE TRACK FACULTY BY GENDER**FIGURE 6: IUSM TENURE DECISIONS OVER TIME BY GENDER**

Note: Data from the IUSM Academic Administration Office

There are parallel issues for under-represented minority (URM) faculty as well (the URM definition includes Black/African American, Hispanic/Latino ethnic groups, Native Americans, Pacific Islander). Nationally, the medical school faculty community is predominantly white, with only 7.2% URM persons among the faculty [13]. The pipeline is slow; only about 6.9% of the graduating class of 2006 was comprised of minority students [26]. Similar to women faculty, URM faculty have lower rates of promotion and tenure compared to both white/Caucasian and Asian faculty members, are more likely to be on non-tenure tracks, and to take longer time to tenure and promotion, even after controlling for multiple factors such as productivity, specialty choice, and rank [27, 28]. Figures 7-9 show *how few URM faculty members are currently part of the IUSM faculty community – comprising only 4% of the full time faculty*. We currently have just 10 tenured URM faculty members. This data shows that we are well behind the national average and must be more effective at recruiting URM faculty.

FIGURE 7: IUSM UNDER-REPRESENTED MINORITY FACULTY MEMBERS OVER TIME

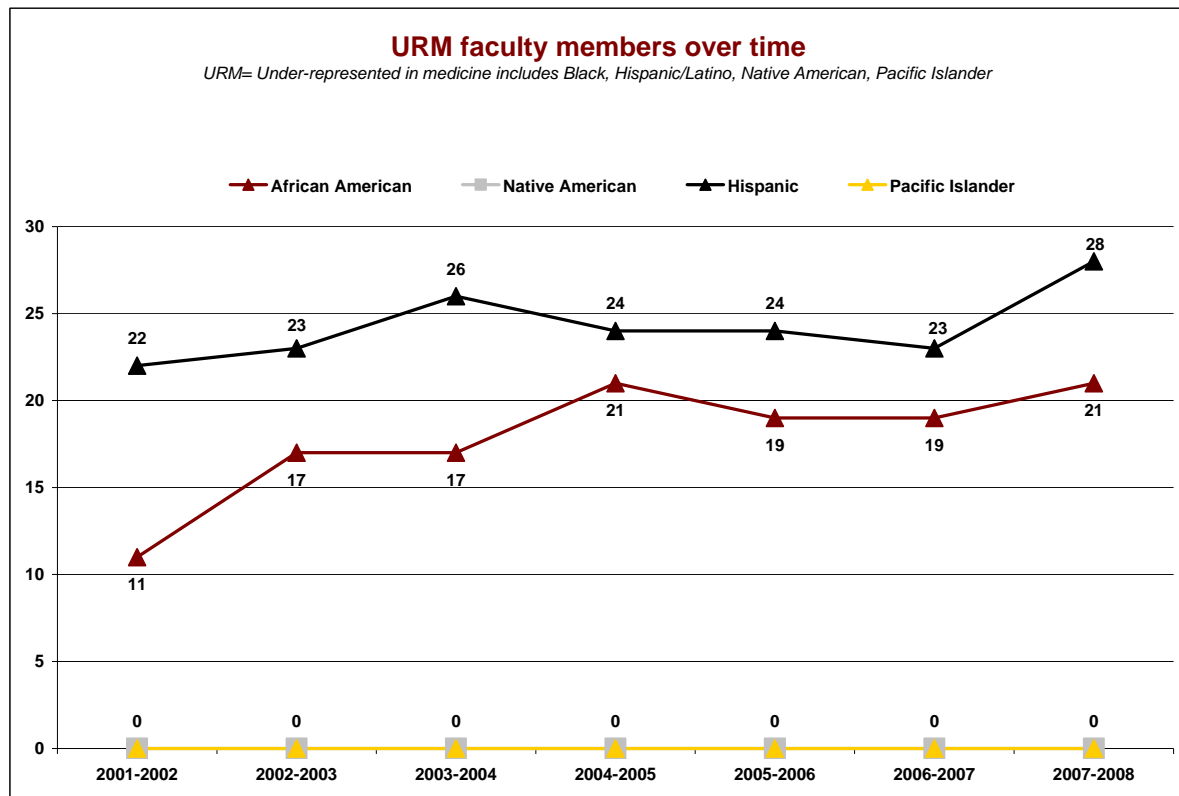
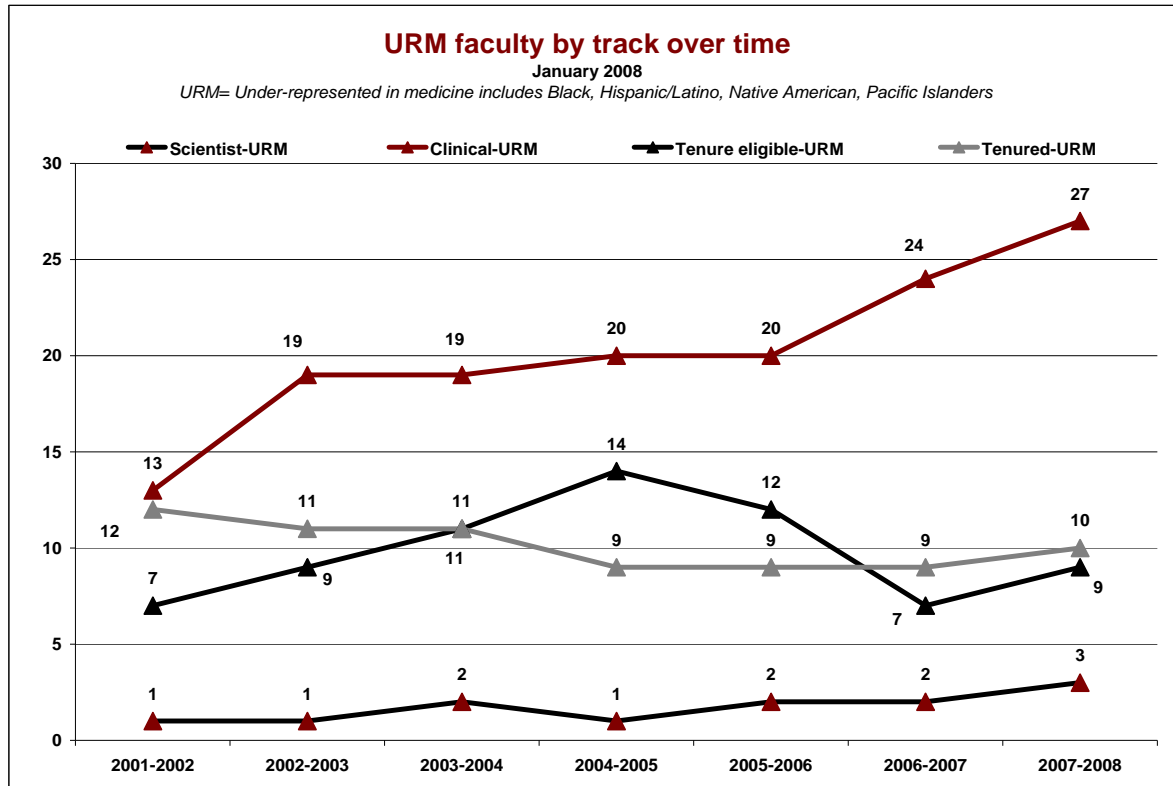
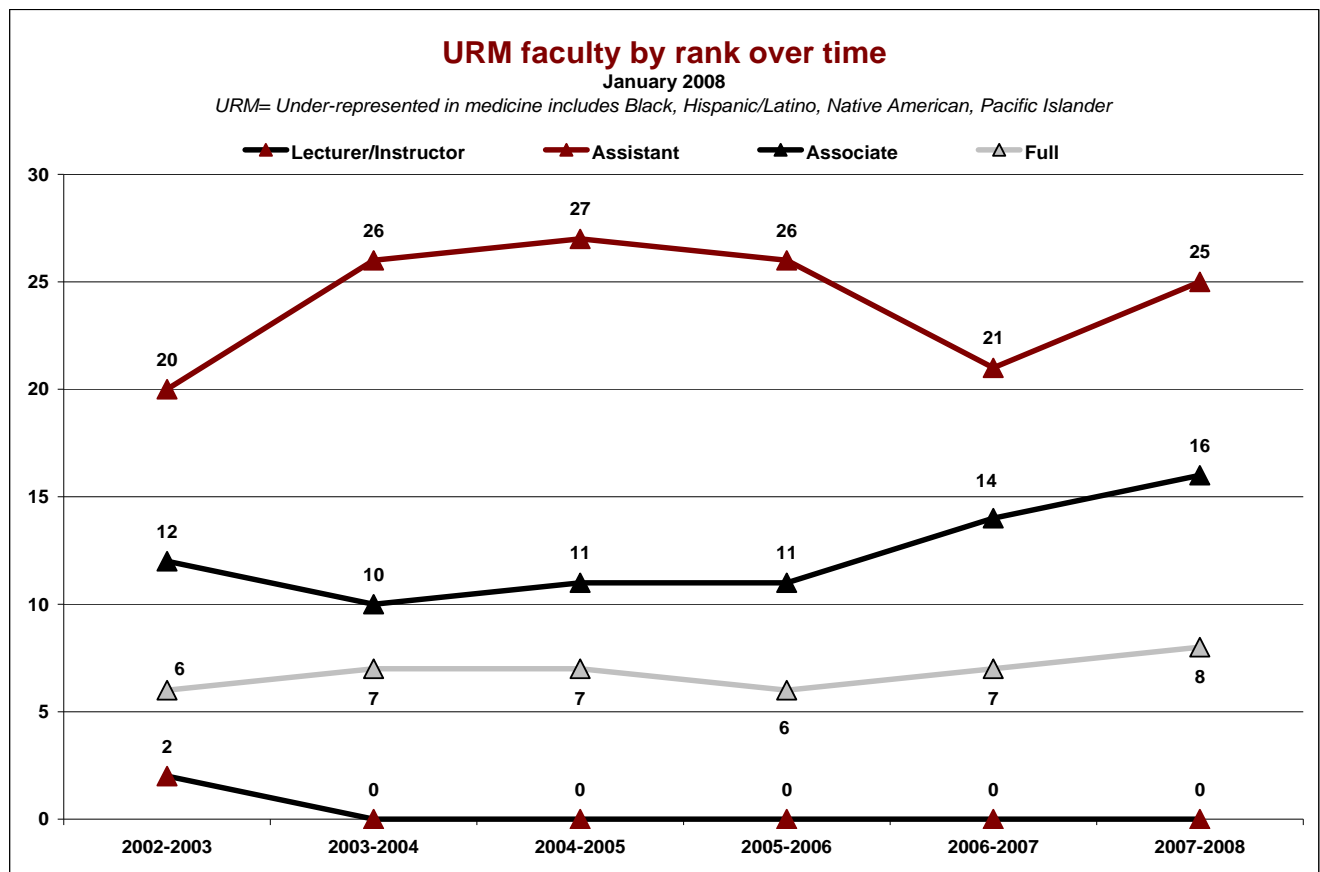


FIGURE 8: IUSM UNDER-REPRESENTED MINORITY FACULTY BY TRACK

Note: Data from the IUSM Academic Administration Office

FIGURE 9: IUSM UNDER-REPRESENTED MINORITY FACULTY BY RANK

Note: Data from the IUSM Academic Administration Office; *Includes Librarians

Lack of diversity and gender equity can become a vicious circle. Without adequate numbers of URM and women faculty, it is harder to recruit talented women and URM students, residents, postdoctoral fellows, and junior faculty. Those who do join the school as students or faculty may feel isolated, experience a chilly climate, and may lack mentors with similar life experiences. For these reasons, equity is often seen as “*a window into institutional effectiveness*” [29]. Many leading experts recommend increasing flexibility in faculty policies as a positive recruitment tool for women, URM faculty, and dual career faculty couples [30].

It’s possible that a longer tenure probationary period is in fact, helping in the recruitment of women faculty at other medical schools. Later in this paper, you’ll see that Table 3 contains the top 25 schools by research ranking according to the 2008 *U.S. News and World Report*. Of these 25 schools, 13 of them (52%) have a higher than average percentage of women on their full time faculty. Of these 13 schools, 11 have tenure probationary periods that are indefinite or a longer clock than 7 years (85%).

These 11 schools include: (% of full time faculty who are women is in parentheses)

- Harvard: (38%) - 11 year clock (basic science); indefinite clock (clinical)
- University of California San Francisco: (38%) -- 8 year clock
- Duke: (35%) -- 8 year clock (basic science); 11 year clock (clinical)
- Yale: (36%) -- 10 year clock
- Columbia: (39%) -- 8 year clock
- University of Michigan: (37%) -- 8 year clock (requested extension to 10 years)
- Baylor: (42%) -- 9 year clock
- Cornell: (36%) -- 9 year clock
- Northwestern Feinberg: (38%) -- 9 year clock (basic science); 10 years (clinical)
- Mount Sinai: (38%) -- 17 year clock
- Johns Hopkins (35%) – indefinite clock

Of the schools with a 7 year clock, only two have greater than the average percentage of women on their full time faculty: University of Washington St. Louis (36% women; 7 year clock) and University of North Carolina, Chapel Hill (40% women; 7 year clock). The relationship between the length of the tenure clock and the percent of women faculty has not been empirically studied, and we are, of course, not claiming causality. However, this trend seems consistent with current national recommendations.

Current National Recommendations and Changing Trends in Tenure Policies

Lengthening the Tenure Probationary Period. Given the ongoing debate and changes in the context for both basic science and clinical faculty, it is not surprising that many U.S. medical schools and universities have begun to adopt more flexible and longer tenure probationary periods (Tables 1 and 2). 2008 data from the AAMC shows that ***half (49.5%) of all U.S. medical schools now have tenure probationary periods of 8 years or more for their clinical faculty, and 44.5% have clocks longer than 8 years for their basic science faculty.*** Twenty-five years ago in 1983, only 26% of medical schools had tenure probationary periods of longer than seven years.

TABLE 1. Percentage of U.S. Medical Schools with Various Tenure Probationary Periods for Clinical Faculty Over Time, 1983-2008

Year/Probationary Period	1983	1994	1997	1999	2002	2005	2008
7 years or fewer (%)	74	69	59	58	53	57	50.5
8 years or more (%)	26	31	41	42	47	43	49.5

From: Association of American Medical Colleges, 2007 [3]; personal communication with AAMC staff, Dec 2008

TABLE 2: Frequency Report for Responses to the 2008 AAMC Faculty Personnel Policies Survey

Maximum number of years covered by the probationary period for basic science faculty on a tenure-eligible track, including the terminal year:

<i>Response</i>	<i>Count (n=119)</i>	<i>Percent</i>
Seven years or less	66	55.5%
Eight years	14	11.8%
Nine years	15	12.6%
Ten years	11	9.2%
Eleven or more years	3	2.5%
Indefinite (no fixed maximum)	10	8.4%

Maximum number of years covered by the probationary period for clinical faculty on a tenure-eligible track, including the terminal year:

<i>Response</i>	<i>Count (n=111)</i>	<i>Percent</i>
Seven years or less	56	50.5%
Eight years	11	9.9%
Nine years	13	11.7%
Ten years	16	14.4%
Eleven or more years	4	3.6%
Indefinite (no fixed maximum)	11	9.9%

From: personal communication via email with AAMC staff, Dec 2008

Our own survey of the top 25 medical schools in the U.S. (ranked by research funding according to the *U.S. News and World Report*) shows that 21 have tenure probationary periods longer than 7 years for either their clinical faculty, basic science faculty, or both (Table 3). [Mayo does not have a tenure system.] **Thus, of the 24 top schools with a tenure system, only 3 of them have the traditional 7 year clock for both their clinical and basic science faculty; 21 of 24 have clocks longer than the AAUP guideline of 7 years.** Additionally, several schools are currently considering lengthening their clocks, including among others, the University of Michigan [31], Ohio State University, Columbia, and the University of Pittsburgh Medical Center (UPMC).

This institution, UPMC, is most relevant to the thinking within the IUSM. The IUSM is embarking on a unified clinical practice plan that will merge all the clinical departments and entities of the school and in collaboration with Clarian Health Partners into one – what is currently being called “The Indiana Clinic.” This model is based on the successful clinical merger that UPMC adopted several years ago. Leaders from IUSM and Clarian have visited UPMC and are consulting with UPMC leaders about this major transition; more than any other institution, UPMC has informed the latest thinking about this major transition facing the IUSM. UPMC has risen steadily in the NIH rank list, and they credit this rise in research success to several factors, including the cost savings from this merged practice plan, but also due to lengthening their tenure clock to 10 years in 2000 for faculty with clinical responsibilities. More recently in October 2007, UPMC proposed lengthening the clock to 10 years for their basic science faculty as well.

They based their argument on (a) a funding environment that is “constrained, uncertain, and unpredictable” yet requires greater complexity, multidisciplinary, and greater time to be independently funded and with a national reputation; (b) increases in teaching obligations among their basic science faculty; (c) the fact that, of the 23 peer medical schools against which they benchmark their performance, 18 have probationary periods longer than 7 years; and (d) competition to recruit and retain excellent faculty [32]. Our proposal to lengthen the probationary period at IUSM to 10 years would thus put us more in line with many of these top schools, including UPMC, many of whom compete with us for recruiting and retaining faculty.

TABLE 3. Tenure Clocks at the Top 25 Medical Schools in the U.S. (by research funding)

Top 25 Schools	Length of Tenure Probationary Period (Basic Science Faculty)*	Length of Tenure Probationary Period (Clinical Faculty)*
1. Harvard	11	Indefinite
2. Johns Hopkins	Indefinite	Indefinite
3. Washington U. in St. Louis	10	10
4. U. Pennsylvania	7	10
5. U. California-San Francisco	8	8
6. Duke	8	11
7. U. Washington	7	7
8. Stanford	7	8
9. U. California-Los Angeles	8	9
10. Yale	10	10
11. Columbia ⁺	8	8
12. U. Michigan ⁺	8	8
13. Baylor	9	9
14. U. California-San Diego	8	8
15. U. Pittsburgh ⁺	7	10
16. U. Chicago (Pritzker)	7	7
17. Vanderbilt	9	9
18. Cornell	9	9
19. U. North Carolina-Chapel Hill	7	7
20. Emory	9	9
21. Northwestern	9	10
22. U. Texas Southwestern Medical Center-Dallas	8	8
23. Case Western Reserve	10	10
24. Mayo Medical School	NA (no tenure system)	NA (no tenure system)
25. Mount Sinai School of Medicine	17	17

Notes: Ranking from 2008 US News and World Report, Top Schools by Research Funding.

*From the 2008 Faculty AAMC Personnel Policies Survey, sent via email to the authors

⁺ University of Michigan has proposed a 10 year probationary period; University of Pittsburgh proposed a 10 year probationary period for basic science faculty in Oct 2007; Columbia proposed a 10 year clock for clinicians in 2008

Table 4 contains the most up-to-date list of all U.S. medical schools with 10 year or longer tenure clocks for either basic science faculty, clinical faculty, or both (from the 2008 Faculty Personnel Policy Database of the Association of American Medical Colleges, sent to the authors via email).

TABLE 4: U.S. Medical Schools with Tenure Clocks of 10 or More Years, including Indefinite Clocks⁺

Institution	Length of Tenure Probationary Period (Basic Science Faculty)	Length of Tenure Probationary Period (Clinical Faculty)
Alabama	10	10
Virginia	10	10
Yale	10	10
Washington University. St. Louis	10	10
New Jersey	10	10
UMDNJ RW Johnson	10	10
New York University	10	10
Medical College of Wisconsin	10	10
Case Western	10	10
Maryland	10	10
Loma Linda	10	NA
Minnesota	7	10
Cincinnati	7	10
U Pennsylvania	7	10
Pittsburgh*	7	10
Jefferson	8	10
Northwestern	9	10
Duke	8	11
Ohio State*	7	12
Harvard	11	Indefinite
Rochester	12	12
Mt. Sinai	17	17
Wake Forest	Indefinite	Indefinite
Dartmouth	Indefinite	Indefinite
Einstein	Indefinite	Indefinite
Johns Hopkins	Indefinite	Indefinite
Nebraska	Indefinite	Indefinite
NY Medical College	Indefinite	Indefinite
Medical University of South Carolina	Indefinite	Indefinite
Toledo	Indefinite	Indefinite
Rush	Indefinite	Indefinite
Eastern Virginia	Indefinite	Indefinite

⁺*Schools that have recently proposed lengthening the clock for either basic science or clinical faculty, or are studying the question, include: University of Pittsburgh, the University of Michigan, Columbia, Ohio State University, University of Massachusetts, East Carolina, University of Arkansas*

Further, our proposal mirrors the recommendations of the American Council on Education and the Alfred E. Sloan Foundation, which have called for greater flexibility in tenure policies in their whitepaper, “An Agenda for Excellence: Creating Flexibility in Tenure Track Faculty Careers” [1]. This report argues for universities to recognize the “diverse demographics” that make a one-size-fits-all academic career undesirable. The report is clear that the university’s ability to attract and retain the best faculty will be dependent upon creating an attractive and flexible environment. Among many suggestions, they recommend that universities should “*create flexibility in the probationary period for tenure review without altering the standards or criteria. Longer probationary periods should not be required for all faculty, but flexible time frames of up to 10 years with reviews at set intervals should be offered.*” IUPUI has examined such recommendations in the past when the Task Force on “Enhancing Faculty Careers at IUPUI” proposed an “Accelerator Plan” to “create and expand career flexibility policies and programs and widen the acceptance of career flexibility within the university.” Vice-Chancellor and Dean of Faculties William Plater initiated this discussion before he left office.

Varying Tenure Probationary Periods Between Schools within the University. The table above not only shows that the 7 year clock is no longer the most common system at most top medical schools, it also shows that many schools have experimented with varying clocks based on whether a faculty member has clinical obligations or not. Another newer trend is that many institutions are now allowing units within their university system to determine their tenure clocks, which don’t have to be uniform across the entire university system. This recommendation can also be found in the American Council on Education and Sloan Foundation report [1] in the following recommendation that “*. . . colleges, schools and departments within a university [be allowed] to establish their own agreed upon guidelines for interpreting criteria for promotion and tenure taking into account the special nature of the work of those distinct units. Not all units within a university have the same mission and goals, and the special missions of the individual schools within a university should be considered in developing policies specific to them.*”

To determine whether this variation by school/unit was indeed occurring at other institutions, a query was sent to the Association of American Medical Colleges Group on Faculty Affairs listserv in June 2008. While not an official or representative sample by any means, this group is comprised of the faculty affairs deans at U.S. medical schools and was an expedient method for gathering such data. Below is a summary of the responses received:

- Washington University School of Medicine: 10 year clock. Each school of the university may set their clock as they wish from 6-10 years.
- Emory: Gained approval for a 9 year tenure clock; all other components of Emory retain the 7 year clock.
- University of Alabama: Tenure clock is 10 years for the School of Medicine; the majority of the other units on campus have 7 years. “The other health professions schools have the 10 year clock (nursing, dentistry, health professions) but each school is empowered to make that choice.”

- Vanderbilt: Clock increased to 9 years in the medical school, while the remainder of the university stayed at 7 years.
- Iowa: Clocks are different not only between the medical school and other schools, but also within the same school – for those with and without clinical responsibilities.
- Feinberg School of Medicine at Northwestern: In 1999, the tenure clock was extended to 9 years for those who entered in assistant professor rank; those with associate professor rank, have 6 years, which is similar to what the rest of the university grants to tenure eligible faculty.
- University of Pittsburgh: For faculty with clinical responsibilities, the clock was extended to 10 years in 2000; for the rest of the schools and for basic science faculty, the clock remained at 7 years; however, they are now investigating the same extension for basic science faculty.
- Ohio State: Faculty with clinical responsibilities have mandatory review no later than the 11th year; faculty without clinical duties are reviewed no later than the 6th year, with a possible extension of up to 3 years. However, OSU is examining extending the clock for all faculty. The rest of the university has the traditional probationary period of 7 years.
- University of Miami Miller School of Medicine: Recently extended clock to 9 years for both basic science and clinical faculty. This applies only to the medical school; the remainder of the university faculty remain on a 7 year tenure clock.
- University of Connecticut: Recently extended the tenure clock for the medical school only.
- Duke University: Clock is 8 years (basic science) and 11 years (clinical); clock changed for medical school only

We recognize that a 10 year clock may not best meet the needs of other faculty members or units within IUPUI or IU. The IUSM, however, should be authorized to make this change to the tenure probationary period because of the unique and changing context of academic medicine and the need for IUSM to evolve to remain competitive with other top medical schools. The proposal for a 10 year probationary period was unanimously endorsed in December 2007 by the IUSM Executive Committee (comprised of IUSM department chairs and deans). The IUSM institutional leadership clearly wants this change to happen and is confident it will advance the school, which will have a direct positive impact on IUPUI and the entire IU system.

Summary

Academic life is changing. There are many reasons to consider greater flexibility to the tenure probationary period. Dr. William Plater once wrote that, *“tenure can no more be monolithic in its practice than can be the work of faculty in its putative role derived from nineteenth-century norms...one model of tenure cannot possibly serve all of our diverse*

institutions” [2]. Increased flexibility is beneficial to new junior faculty, recognizes the changing balance between personal and professional demands, and can allow the university’s large initial investment to be realized. National agencies charged with evaluating our educational institutions recommend greater flexibility in all areas of faculty life, including flexibility in the tenure clock. Many medical schools have already made the move to greater flexibility or a longer tenure probationary period, independent of the clocks of other units within the university. To be competitive and protect its investment in the faculty, we strongly recommend that the Indiana University School of Medicine have greater flexibility in tenure decisions by lengthening the tenure probationary period to 10 years, while retaining the option for any faculty member to seek tenure in year 7.

Darrell Kirch, MD, the President and CEO of the Association of American Medical Colleges, states that faculty vitality is of utmost importance to sustaining the national resource that is the American medical school [33]. We agree with him, and maintain that a 10 year probationary period will be one important factor for enhancing faculty success in the IUSM. This, in turn, will better enable the IUSM to achieve its vision – thus strengthening not only the IUSM itself, but also the IUPUI campus, entire IU system, and the state of Indiana – through an increased ability to recruit, retain, and advance the very best faculty possible.

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APPENDIX

SELECT EXCERPTS OF IU FACULTY POLICIES

AND

PAGES FROM THE FACULTY HANDBOOK

RELEVANT TO TENURE

Courtesy of the IU Archives

IU Archives

October 26, 1943

To members of the faculty:

On July 22, 1942 you were sent a report of a sub-committee of the Board of Trustees which considered the recommendations of the Self-Survey Committee appointed January 15, 1938, together with the results of the faculty vote upon these recommendations. The report of the sub-committee indicated that there remained pending with the Board of Trustees only two important faculty-approved recommendations growing out of the Self-Survey. These recommendations dealt with academic freedom and tenure and the reduction of the age of retirement. In its report the sub-committee of the Board recommended that the full Board give immediate consideration to these proposals. Pressure of business incident to the many changes in the University growing out of the war effort made it impossible for the Board to find time to consider two such important items until its meeting on September 11, 1943. At that time, affirmative action was taken by the entire Board regarding these recommendations as set forth below:

I.
Academic Freedom and Tenure

Academic Freedom

The following statement regarding academic freedom and tenure was adopted:

"No restraint shall be placed upon the teacher's freedom in investigation, unless restriction upon the amount of time devoted to it becomes necessary in order to prevent undue interference with other duties. No limitation shall be placed upon the teacher's freedom in the exposition of his own subject in the classroom or in addresses and publications outside the classroom so long as the statements are not definitely anti-social. No teacher shall claim as his right the privilege of discussing in his classroom controversial topics obviously and clearly outside of his own field of study. The teacher is morally bound not to take advantage of his position by introduction into the classroom of provocative discussions of completely irrelevant subjects admittedly not within the field of his study. The University recognizes that the teacher, in speaking and writing outside of the institution upon subjects beyond the scope of his own field of study, is entitled to precisely the same freedom, but is subject to the same responsibility, as attaches to all other citizens.

Faculty Tenure

"Beginning with appointment to the rank of full-time instructor or a higher rank, no member of the faculty shall be considered as having permanent or continuous tenure until after the expiration of a probationary period of seven years, which period shall include full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to a position in this University it may be agreed in writing, at the time of the appointment that his appointment to the teaching staff of this University is for a

probationary period of not more than three years, even though thereby the teacher's total probationary period in the academic profession is extended beyond the maximum of seven years; and further subject to the proviso that persons on yearly appointment, or temporary tenure as of August 30, 1943, may be continued beyond seven years on a yearly appointment basis, during the emergency situation created by the present war.

"After the expiration of the probationary period, teachers shall have permanent or continuous tenure, and their services shall be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances resulting from financial exigencies.

"During this probationary period an instructor shall be appointed for terms of one year only with the understanding that reappointment beyond the probationary period places him upon permanent or continuous tenure with or without promotion to the next highest rank; but subject to the proviso above stated; namely, that persons on yearly or temporary appointment as of August 30, 1943, may be continued beyond seven years on a yearly appointment basis, during the emergency period of the present war. Appointments to ranks higher than that of instructor shall be made for terms of not to exceed three years during the probationary period as defined in the paragraph above, and subject to the same proviso as applies for instructors.

"Termination of a temporary or short-term appointment of one to three years, as the case may be, shall always be possible at the expiration of the term by the mere act of giving timely notice of the desire to terminate. In the case of a teacher who is on a one year appointment notice shall be given not less than three months before the date upon which the appointment is to terminate. For other short-term appointments, notice shall be given at least one year prior to the expiration of the term of the appointment. Termination for cause of a permanent or continuous appointment, or dismissal for cause of a teacher previous to the expiration of a term appointment, shall, if possible, be considered by both the Trustees of the University and, if the accused teacher so requests, by a faculty committee. In all cases where the facts are in dispute, the accused teacher shall be informed in writing of the charges against him, shall have the opportunity to present his defense before all bodies that pass judgment upon him, shall be permitted to have with him an adviser of his own choosing who may act as counsel, and, if he so requests, a faculty committee shall be appointed to hear his case and to pass judgment upon the charges against him before final action by the Trustees is taken."

This statement on academic freedom is in exactly the same form as recommended by the Self-Survey Committee and approved sentence by sentence by faculty vote. It likewise was approved by the national office of the American Association of University Professors.

The statement on faculty tenure is in the form recommended by the committee and approved by the faculty, except for two or three minor changes recommended by the national office of the American Association of University Professors.

II.

Retirement of Deans and Heads of Departments
from Administrative Duties

The Self-Survey Committee recommended a reduction of the present retirement age from 70-65 by one year each year until the retirement age of 65 is reached for all members of the staff, and this recommendation was approved by the faculty. In the Board's discussion of this recommendation, it was brought out that such a sweeping retirement change would require considerable additional funds for payment of supplementary retirement benefits, such funds not now being available. Moreover, it was recognized that such change might work financial hardship upon individuals during a period in which there are great financial uncertainties for everyone. In its discussion the Board likewise was aware of the fact that one of the arguments advanced by proponents of the reduction of the retirement age was the desire to reduce the average age of academic administrative officers. After considerable discussion, the Board took action as follows:

"That the President, Deans, and Heads of Academic Departments be retired from their administrative duties at the age of 65 except that this retirement be at age 69 on July 1, 1944; at age 68 on July 1, 1945; at age 67 on July 1, 1946; and at age 66 on July 1, 1947; that it is expected that persons thus retired will continue in their professorial duties until full retirement becomes effective at age 70; and that this provision shall cause no retirements from administrative duties as long as this nation is engaged in the present war. (The Board reserves the right to make the provision operative in case there is partial cessation of hostilities.)"

We all regret that it was impossible to carry out the full recommendation of the faculty; however, one objective of the recommendation can be achieved by this action without creating any financial hardship upon either the individuals concerned or the University.

I am happy to report that these actions complete consideration of all faculty recommendations pending before the Board of Trustees at the present time.

H. B. Wells,
President

1953

September, 1953

TENURE, FACULTY

Beginning with appointment to the rank of full-time instructor or a higher rank, no member of the faculty shall be considered as having permanent or continuous tenure until after the expiration of a probationary period of seven years, which period shall include full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to a position in this University, it may be agreed in writing, at the time of the appointment, that his appointment to the teaching staff of this University is for a probationary period of not more than three years, even though thereby the teacher's total probationary period in the academic profession is extended beyond the maximum of seven years. It is understood that permanent or continuous tenure shall not be granted to a faculty member until the end of the academic year (or the end of the fiscal year if his appointment is on a twelve-month basis) in which he attains his seven years' service on a full-time basis.

During the probationary period appointment and reappointment to the rank of instructor shall be for terms of one year only. Appointments and reappointments to positions above that of instructor (assistant professor, associate professor and professor) may be made for one, two, or three years during the probationary period, although ordinarily reappointments to these ranks shall be made for one year at a time. No appointment or reappointment during the period preceding the attainment of indefinite tenure shall be construed as a commitment to indefinite tenure.

After the expiration of the probationary period, teachers shall have indefinite tenure, and their services shall be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances resulting from financial exigencies.

Termination of a temporary or short-term appointment of one to three years, as the case may be, shall always be possible at the expiration of the term by the mere act of giving timely notice of the desire to terminate. In the case of a teacher who is on a one year appointment, notice shall be given not less than three months before the date upon which the appointment is to terminate. For appointments of more than one year (during the probationary period) notice of intention not to reappoint shall be given at least one year prior to the date of the expiration of the term of the appointment. In the interpretation and application of this policy, all appointments for the academic year of two semesters shall be considered as terminating on Commencement Day, at the end of the semester.

Termination for cause of an indefinite tenure appointment, or dismissal for cause of a teacher prior to the expiration of a term appointment, shall, if possible, be considered by both the Trustees of the University and, if the accused teacher so requests, by the Faculty Board

TENURE, FACULTY
(Continued)

of Review. In all cases where the facts are in dispute, the accused teacher shall be informed in writing of the charges against him, shall have the opportunity to present his defense before all bodies that pass judgment upon him, shall be permitted to have with him an adviser of his own choosing who may act as counsel, and if he so requests, the Faculty Board of Review shall hear his case and pass judgment upon the charges against him before final action by the Trustees is taken.

The President and Trustees of the University will recognize as binding no arrangements or commitments (not covered by this tenure policy) which may be made or discussed by an employee and a dean or a chairman of a department unless such are made a written part of the recommendation for appointment or reappointment and are approved by the Board.

If a faculty member is granted a leave of absence of any kind before he has attained indefinite tenure, such leave shall be approved only with the understanding that a leave can be granted only for the period or during the period for which the faculty member has been appointed. The approval of a request for leave shall carry no commitment concerning reappointment. Persons on leaves that extend to the end of the time for which they have been appointed shall be considered for reappointment at the same time as persons on the campus are considered and if they are not to be reappointed, notices to this effect shall be sent them in the same manner, and with the same deadlines, as are such notices that are sent to persons who are resident at the University.

loss of a sabbatical leave opportunity, and, in so far as possible, the record of accomplishment on previous sabbatical leaves. The applicant shall be given the opportunity to make representation to the Committee, if he considers it advisable, to support his application.

2. Dean of the Faculties. The Dean of the Faculties, in passing on an application, may himself, or through an appropriate committee, review with the department concerned the problem of scheduling, if the cost of the leave applied for, or its prospective disruption of schedule, appears excessive.

DEAN OF STUDENTS

The Office of the Dean of Students is the focal point in the administration of affairs concerning the life and activities of students in all but the academic field. It stresses the importance of the student as an individual. Every effort is made to draw all students to the Office who need assistance or advice in solving problems, in making the best possible adjustment to University life, and in gaining the greatest possible benefits from being members of the University community.

The Office serves faculty members in their relations with students by maintaining comprehensive student records, which are available to faculty at all times, and by serving students who have been referred to it by faculty members, particularly those students needing counseling, information, or assistance which most instructors might not be able or have the time to give.

In general, the responsibilities and functions of this Office are:

1. Advising the President with respect to student personnel problems.
2. Integrating and correlating the work of all officers and offices concerned with student personnel problems so that all knowledge about any single student may be drawn together for use with the student.
3. Counseling and advising students, except in the academic field. This counseling is generally limited to that concerned with vocational choices, adjustment problems, personal problems, and all other problems not of a strictly academic nature. In the academic field, upon the request of the various divisions, this Office aids the academic divisions of the University in the counseling of students.
4. Serving as a central referral agency to the Bureau of Measurement for the administration of psychological, interest, aptitude, and other types of tests.
5. Co-ordinating all clinical facilities designed for remedial work with University students. The facilities include those dealing with speech, hearing, reading, psychology, and study methods and habits. These clinics also operate within the academic departments or schools in offering courses of instruction and training to students in these fields.
6. Administering a program of scholarships, loans, and part-time employment for students in need of financial aid.

7. Maintaining a housing bureau, which provides information on University-owned dormitories and private property.
8. Supervising and co-ordinating campus extracurricular and social programs to encourage in every way possible all student organizations, including sororities and fraternities and student government, to realize their maximum educational and social values.
9. Co-operating with the Student Health Center, which provides a complete health program for students under competent medical supervision.
10. Working with the directors of the men's and women's Residence Halls to establish a co-ordinated counseling and activities program for all residents of the Halls.
11. Directing the Office of Veterans Affairs, which office aids the veteran by furnishing information regarding the benefits under existing laws and by advising the necessary steps to obtain those benefits; aids in setting up procedures for handling government benefits of fees, books, and supplies; serves as a liaison between enrolled veterans and governmental agencies, and expedites the necessary negotiations.
12. Directing the Office of Military Information, an office that was established during World War II and has operated since then to aid students with information on Selective Service and related matters.

FACULTY TENURE

The Principle of Faculty Tenure. The principle of faculty tenure implies reciprocal responsibilities on the University as a body politic and on the faculty member. The University has the responsibility of maintaining the principles of academic freedom. To discharge this responsibility, the University provides tenure in order that the faculty member may be secure to do his scholarly work. The faculty member, on his part, is obligated to maintain high standards of professional conduct, research, and teaching in the advancement of knowledge and its communication to others.

Probationary Period. Subject to the provisions which follow, an individual appointed to the faculty shall have tenure after a probationary period of seven years unless he receives notice to the contrary. This period shall include full-time service with faculty rank at other institutions, provided similar service at Indiana University counts toward tenure in the administrative unit concerned. If service elsewhere is not similar, then the amount of prior service, if any, to be counted toward tenure shall be agreed upon. The time to be counted toward tenure shall be specified in writing in all initial appointments. A probationary period of not more than three years may be required regardless of the length of prior service in other institutions.

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. To avoid extreme personal hardship to the faculty member involved, a terminal one-year appointment beyond the seventh year may be made by a written agreement with the faculty member.

Probationary Appointment Periods. Appointments and reappointments during a probationary period shall be limited to one year for instructors. Faculty members with ranks above instructor may be appointed or reappointed for one or three years during the probationary period.

Termination of Probationary Service. Written notice that a probationary appointment is not to be renewed shall be given according to the following rules. Members of the faculty who have completed less than two years of service at Indiana University shall be given notice not later than March 1 of the year the appointment expires. Notice of termination after the second year of service at Indiana University shall be given not later than June 1 of the year preceding the year in which the appointment expires. These rules apply to persons whose appointments expire on June 30 or on Commencement Day at the end of the second semester of an academic year. Persons whose appointments expire at irregular times shall be given periods of notice corresponding to those provided in these rules.

Dismissal from the Faculty. Prior to the retirement age, the service of a faculty member with tenure or during a term appointment shall be terminated only for adequate cause, or under extraordinary circumstances resulting from financial exigencies.

Except as hereinafter provided, a faculty member to be dismissed shall be notified of dismissal in writing by the Dean of the Faculty at least one year before the date the dismissal is to become effective.

A faculty member deemed guilty of moral turpitude may be dismissed upon shorter notice.

A faculty member shall, at his request, be given a written statement of the reasons for the proposed dismissal. If he requests a hearing, the matter will be heard by the Faculty Board of Review on the basis of the written statement and the evidence received. The request for a hearing must be made within three months of the date of the dismissal notice. Notice of the time of the hearing shall be given to the faculty member sufficiently in advance to permit him to prepare his case.

The Board of Review shall proceed in the manner provided in Article VI of the Organization of the Faculty. The decision of the Board of Review may be reviewed by the Board of Trustees. The Board of Trustees will then decide the case on the basis of the record of the hearing before the Board of Review and will not hear further evidence unless it deems necessary.

Termination of Appointment by a Faculty Member. A faculty member has an obligation to the University in case he wishes to terminate an existing appointment or decline a renewal. He shall give notice

not less than three months before the termination of his duties at the end of a semester. He may properly request a waiver of this requirement in case of hardship or in a situation where he would otherwise be denied substantial professional advancement.

Leaves of Absence for Probationary Appointees. A leave of absence without pay will not be counted as a part of the probationary period unless it is spent in service with faculty status at another institution. The approval of a request for leave shall carry no commitment concerning reappointment; however, probationary faculty on leave will be considered for reappointment in the same way as other probationary faculty. If reappointment is not granted, the faculty member shall be notified according to these regulations. Conversely, the faculty member on leave shall give notification conforming with the regulations if he does not intend to return to the University at the conclusion of his leave.

CAMPUS TRAFFIC REGULATIONS

1. Parking is restricted to vehicles having parking permits on all drives and parking areas in that portion of the campus west of Jordan Avenue from 7:30 a.m. to 5 p.m. daily, except Saturdays, Sundays, and holidays—except that guests of the University, citizens transacting business, and visitors to the campus may park during the above closed hours at the Union Building lot by paying the fee, on Seventh street in front of the Business and Economics Building or the Lilly Library, and in designated places in the lot at Kirkwood and Indiana. Further exception is made to areas marked by signs indicating use only by Woodlawn Courts residents. The parking areas south of the Art Center and in the rear of Lindsey and Kirkwood are restricted to permit parking at all times.
2. Regular parking permits are provided to the following University employees:
 - a. All individuals holding faculty rank of instructor or above are entitled to the all-campus permit. Members of the staff who hold positions as heads of schools, departments, or divisions, or who have been classified as administrative staff are entitled to all-campus permits.
 - b. All other academic and full-time staff appointees should make application for any parking privilege either on a restricted or on an all-campus basis.
 - c. Members of the Board of Trustees.
 - d. Disabled students who have been declared disabled by the Director of the Student Health Service.
3. Special parking privilege may be secured by filing application with the Parking Committee, allowing necessity of use of the car in performance of the specific duties of the position held.
4. All regular parking permits are valid during the year, the date of expiration being October 1, yearly.

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2. In the event of marriage between University appointees creating a relationship not in accord with the provisions of paragraph 1.b., one of the persons affected must give up that position by the end of the fiscal year or within six months from the date the relationship was established, whichever is the greater period, but may be re-employed in another position compatible with the provisions of paragraph 1.b.
3. Stipends to students as scholarships, fellowships, or assistantships shall not constitute employment within the provisions of this regulation.
4. Whenever a person recommending, or considering the acceptance of, an appointment to a staff, faculty, or other position has reason to believe that a relationship by blood or marriage of the kind described exists or may exist, he should report the facts to the Office of University Counsel so that a determination may be made prior to the actual appointment.

(Board of Trustees action)

Appropriate Duties of Employees ("Ghost Employees")

Indiana law prohibits the hiring by any public institution of any person who is assigned duties not related to the operation of such institution when such person is paid by public funds. No person is knowingly to receive public funds in compensation for duties not related to the operation of the public employer. Penalties are provided by law which may fall both on the employee and upon the authority who appoints such an employee or permits such payment for duties not related to the public employer.

Any situation which seems to be proscribed by the law, as stated above, should be brought to the attention of the Office of University Counsel so that a determination may be made and appropriate action may be recommended.

(State law)

RESPONSIBILITIES AND PRIVILEGES OF ACADEMIC APPOINTMENT

Faculty Tenure

The Principle of Faculty Tenure

The principle of faculty tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member. In order to meet its responsibilities to its students and to society, the University must attract and retain a faculty of outstanding quality. To that end the University safeguards academic freedom and economic security by its policy of faculty tenure. The faculty members, on their part, are obligated to maintain high standards of teaching, research, service, and professional conduct.

(Board of Trustees action; Faculty Council action)

Probationary Period

Subject to the provisions which follow, an individual appointed to the faculty (as defined in Article 1, section 2 of the Faculty Constitution) for full-time service shall have tenure after a probationary period of not more than seven

Additional Academic Personnel

While the above categories cover most academic appointees they are not exhaustive. Certain University officers who do not hold faculty ranks and interns in various programs are academic appointees. The above listing seeks simply to identify the major categories of appointees who participate in and help to perform the academic mission of the University.

(Current administrative practice)

APPOINTMENT POLICIES

Equal Employment Opportunity

It has long been the policy of Indiana University to offer equal opportunity in all matters relating to employment, whether as faculty or otherwise, without regard to race, creed, color, national origin, age, or sex. Two resolutions of the Board of Trustees (July 1, 1967, and November 21, 1969) require administrative officers of the University to give effect to the policy of equal employment opportunity. Another resolution of the Board, adopted October 16, 1970, directs the establishment of an Affirmative Action Program to ensure compliance with recognized standards for equal employment opportunity. The Vice President and Dean for Academic Affairs is specifically charged with securing compliance in the area of academic employment. Questions or complaints about the possible absence of equal employment opportunity in academic areas are to be referred to the Vice President and Dean for Academic Affairs if satisfactory resolution of such issues is not achieved through the mechanisms available on the various campuses of the University. The Vice President for Finance and Treasurer is charged with securing compliance for non-academic employees.

(Board of Trustees action)

Employment—Nepotism

1. General Provisions

- a. No person shall be recommended for employment on an appointment basis who is related by blood or marriage to a member of the State Board of Education, or to a member of the Board of Trustees of Indiana University.
- b. No person, including full-time, part-time, or temporary employee, may be employed in or transferred to a position within the scope of immediate supervision or authority of a member of one's own family.
- c. The degrees of relationship included in the above restrictions are as follows:
 - By blood: Parent, child, grandparent, grandchild, brother, sister, uncle, aunt, nephew, niece, first cousin.
 - By marriage: Husband, wife, stepparent, stepchild, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, half-sister, half-brother, uncle, aunt, nephew, niece.

years. This period may include full-time service with faculty rank at other institutions, if similar service in Indiana University would have been countable toward tenure. In the case of persons with three or more years of countable service in other institutions, a probationary period of not more than four years may be required, if agreed upon in writing at the time of appointment. Under administrative policies and practices at Indiana University, where such a written agreement reduced a faculty member's probationary period to less than seven years, this agreement is binding on both parties. The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a faculty member or his academic unit. Since the acquisition of tenure represents a major change in a faculty member's status, the faculty member to whom tenure is being granted shall be so informed in writing.

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.

(Board of Trustees action; Faculty Council action)

Procedures

Recommendations for advancement to tenured status are prepared by chairmen or other appropriate administrative officers. Such recommendations are prepared early in the academic year which counts as the sixth year for purposes of reckoning years of service towards tenure. (The actual determination of the appropriate year includes credit for service at other institutions which may have been negotiated at the time of the first appointment.)

Recommendations shall be submitted through the academic administration of each campus. Administrative structure varies somewhat from campus to campus. For specific information on the routing of such recommendations, see campus-specific Handbooks. Academic deans and chancellors, with the advice of faculty committees, are responsible for submitting tenure recommendations to the Vice President and Dean for Academic Affairs and the President. It shall be the responsibility of the President to submit to the Board of Trustees the names of those recommended for advancement to tenured status.

(Administrative practice)

Policies Governing Reappointment and Non-Reappointment during Probationary Appointment Period

1. Notice of Terms of Initial Appointment

- a. Before a faculty member is appointed to faculty rank in the University, the initial salary, rank, years in faculty rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member.

- b. The faculty member shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the Handbook. Special procedures customarily employed in the department, school, program, or division of the University in which the faculty member is appointed shall be specified clearly.

- c. The faculty member shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure, are agreed to.

2. Annual Review

- a. During the period of probationary appointment, the faculty member shall receive an annual review of professional performance. At that time the faculty member shall be informed, customarily by the principal administrative officer of the department, school, program, or division of the University in which the individual holds his or her appointment, of all matters relevant to eligibility for reappointment and the award of tenure.

- b. The faculty member shall cooperate with the principal administrative officer to insure that the file on which such a review is based contains all relevant materials. A written statement summarizing the substance of each annual review shall be kept in the file, and a copy given to the faculty member.

3. Notice Requirements

- a. Before any decision is made within a department, school, program, or division about whether to recommend reappointment or the award of tenure, the faculty member shall be notified that he or she is under such consideration and that within a properly specified and reasonable period of time the faculty member may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.

- b. The faculty member shall be notified as soon as possible of any decision by a department, school, program, or division not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her.

- c. At the time that a faculty member is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Procedures for the Non-Reappointment of Non-Tenured Faculty," and the Academic Handbook statement on criteria for tenure, to insure that he or she be fully informed of his or her rights.

4. Review of Decision of Non-Reappointment

- a. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the faculty member shall

be to request an oral explanation from his or her principal administrative officer.

- b. Upon written request, submitted within thirty days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member within a reasonable period of time with a written statement of the reasons for non-reappointment.
- c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member in terms of the professional standards and needs of his or her department, school, program, or division, or of the University.
- d. The faculty member who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.
- e. If the faculty member is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable period following the receipt by the faculty member of the written statement of the reasons for non-reappointment.

f. Before undertaking a review, the Board of Review may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Board shall request reconsideration by the department, school, program, or division in which the faculty member holds an appointment or the offices of the Dean of the Faculties, campus chancellor, and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Board of Review shall provide copies of its report and recommendations to the faculty member, the principal administrative officer of the department, school, program, or division in which the faculty member holds an appointment, the Dean of the Faculties, the campus Chancellor, and other appropriate administrative officers.

g. Whenever during his or her appointment a faculty member discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, or division of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member may petition the Faculty Board of Review for a review of the procedures followed in his or her case.

h. Upon finding by the Board of Review, accepted by the Chancellor of the campus in question, that the faculty member did not enjoy full

benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary to avoid prejudicing the rights of the faculty member, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the faculty member.

- i. Recourse by a faculty member to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in the Handbook. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.
- j. In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member to observe promptly and fully the above procedures.

(Board of Trustees action; Faculty Council action)

Duration of Probationary Appointments

Appointments and reappointments during a probationary period shall be limited to one year for instructors. A faculty member with rank above instructor may be appointed for not more than three years within the probationary period.

(Board of Trustees action; Faculty Council action)

Official Notice of Non-Reappointment

For Faculty serving full-time, notice of non-reappointment shall be given in writing in accordance with the following standards:

1. Not later than February 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than November 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years in the institution.

The entitlement to official notice of non-reappointment and the dates stated in 1-3 above apply also to full-time lecturers.

(Board of Trustees action; Faculty Council action)

Dismissal from the Faculty

Dismissal shall mean the involuntary termination of a tenured faculty member's appointment prior to retirement or resignation, or the termination of the appointment of a non-tenured faculty member prior to the expiration

of his term of appointment. *Dismissal* is thus to be distinguished from the *non-reappointment* of a probationary faculty member. Dismissal shall occur only for reason of (a) incompetence, (b) serious personal or professional misconduct, or (c) extraordinary financial exigencies of the University. No faculty member shall be dismissed unless reasonable efforts have been made in private conferences between the faculty member and the appropriate administrative officers to resolve questions of fitness or of the specified financial exigency. If no resolution is attained, the faculty member to be dismissed shall be notified of dismissal in writing by the Chancellor or President one year before the date the dismissal is to become effective, except that a faculty member deemed guilty of serious personal misconduct may be dismissed upon shorter notice, but not on less than ten days' notice. Upon receipt of the dismissal notification, a faculty member must be accorded the opportunity for a hearing. A statement with reasonable particularity of the grounds proposed for his dismissal shall be available in accordance with the provisions of the Faculty Constitution. A faculty member shall be suspended during the pendency of dismissal proceedings only if immediate harm to himself, herself, or others is threatened by continuance. Any such suspension shall be with pay.

Geographic Limitation of Tenure

All of the foregoing principles, policies, and procedures relating to tenure are applicable in all University schools and departments on all campuses. If a faculty member's appointment is at a specific, geographically localized campus at the time he acquires tenure, his tenure shall be specific to that campus. Any subsequent changes affecting the geographic locus of his tenured appointment shall be agreed to in writing by the University and the tenured faculty member. The three major divisions of the University (Bloomington campus, Indiana University-Purdue University at Indianapolis, and the Regional Campus Administration) provide appropriate structures and administer the necessary procedures for the implementation of general University tenure policies. In any case in which the position of a faculty member with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the faculty member in a comparable position elsewhere in the University or in another institution.

(Board of Trustees action; Faculty Council action)

Criteria for Tenure

After the appropriate probationary period, tenure shall be granted to those faculty members whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for tenure and the criteria for promotion (see pp. 57-58) are similar, but not identical. (See 4c under "Policies Governing Reappointment and Non-Reappointment during Probationary Appointment Period.") Tenure will generally not be conferred unless

the faculty member achieves, or gives strong promise of achieving, promotion in rank within the University.

(Board of Trustees action; Faculty Council action)

Tenure for Professional Librarians

Librarians whose appointments are within the structure of the system of library ranks described on p. 20, qualify for and acquire *library* tenure in a fashion which is substantially identical to that for *faculty* tenure. The same principles on geographic limitation apply. Recommendations for tenure shall be processed as follows:

1. Recommendation prepared by supervisor of person under consideration and forwarded to the head of the appropriate library division for action;
2. Recommendations of the head of each library division are forwarded to the appropriate Chancellor for review and recommended action;
3. Chancellors' recommendations are forwarded to the Office of the Vice President and Dean for Academic Affairs for review by an all-University librarians tenure committee appointed by the President in consultation with the Dean of University Libraries;
4. Recommendations of the all-University librarians tenure committee are transmitted to the Office of the Vice President and Dean for Academic Affairs for review by the Dean of University Libraries and for presentation to the Board of Trustees.

(Board of Trustees action)

Late Recruitment and Resignation

Indiana University adheres to and abides by the Policy Guidelines of the Association of American Colleges with respect to recruitment of new faculty from other institutions. (These guidelines, approved by the AAUP, appear on pp. 5; 53 of *AAUP Policy Documents and Reports*, 1971 Edition.) The general tendency of these guidelines is to encourage recruitment by institutions early in the academic year, and to urge faculty members considering resignation to make their decisions as early as is feasible. Prompt notice of resignation should always be given. In no case should a notice of resignation be submitted later than one month before the end of an academic year. When negotiations which may lead to a resignation are in progress, a faculty member is expected, whenever feasible, to keep his or her chairman or dean informed of the progress of such negotiations.

(Administrative practice)

Policy on Academic Freedom

Academic freedom, accompanied by responsibility, attaches to all aspects of teacher's professional conduct.

The teacher shall have full freedom of investigation, subject to adequate fulfillment of other academic duties. No limitation shall be placed upon the teacher's freedom of exposition of the subject in the classroom or on the

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An Associate Instructor is responsible for assigning grades for at least a portion of a course and has direct contact with students. Typical activities include—but are not necessarily limited to—lecturing, tutoring, and laboratory instruction.

OTHER STUDENT ACADEMIC PERSONNEL

Students hold positions as Research Assistants, as Graduate Assistants, as Undergraduate Assistants, and as Faculty Assistants. All student appointments are part time and temporary.

(University Faculty Council, April 11, 1978)

Additional Academic Appointments

RESIDENT

The title "Resident" is used for individuals who have completed the academic requirements for the M.D. or D.D.S. degree and wish to further develop the knowledge and skills acquired as a medical or dental student. This period of graduate education extends between one and seven years, depending on the specialty chosen. This training is usually obtained in the University-owned or affiliated hospitals.

CLINICAL FELLOW

The title "Clinical Fellow" is to be used only by the Medical Center for those individuals with doctoral degrees pursuing additional training in a specialized area. No degree is sought or given. Compensation is made in recognition of services performed or the achievement of prescribed objectives during a specified period.

PHYSICIAN

The title "Physician" is used only for medical doctors employed in the Student Health Center.

(University Faculty Council, April 11, 1978)

While the above categories cover most academic appointees, they are not exhaustive. Certain University officers who do not hold faculty ranks and interns in various programs are academic appointees. The above listing seeks simply to identify the major categories of appointees who participate in and help to perform the academic mission of the University.

(Administrative Practice)

POLICIES GOVERNING ACADEMIC APPOINTMENTS

Tenure Policies

PRESIDENTIAL AUTHORITY

When personnel matters such as approval of faculty appointments, promotion, appointments with tenure, and other proposed actions require action by the Board of Trustees, only those campus and other administrative recommendations that are approved by the President of Indiana University will be received and acted upon by the Board.

(Board of Trustees, April 9, 1988)

FACULTY AND LIBRARIAN TENURE

The Principle of Tenure

The principle of tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member and librarian. In order to meet its responsibilities to its students and to society, the University must attract and retain faculty and librarians of outstanding quality. To that end the University provides academic freedom and economic security, which are implicit in the principle of faculty and librarian tenure. The faculty members, on their part, are obligated to maintain high standards of teaching, research, service, and professional conduct. Librarians, on their part, are obligated to maintain high standards of professional service, research and creativity, and performance in the development of library services, and the communication of information and knowledge to others. Librarians who are candidates for tenure should excel in performance and be satisfactory in the other areas mentioned above.

*(Faculty Council, December 3, 1968;
Board of Trustees, July 25-29, 1969;
June 30, 1972)*

Tenure Status for Non-Citizens

It is the policy of Indiana University that only individuals who are U.S. citizens or permanent residents be appointed to tenured positions. Appointments to positions with tenure that are offered to non-U.S. citizens or permanent residents will be temporarily converted to tenure-probationary appointments until permanent residence in the U.S. has been obtained. At that time, the appointment will be

converted back to the tenured position as originally offered.

(Administrative Practice)

Tenure-Probationary Period

Subject to the provisions which follow, an individual appointed to the faculty (as defined in Article I, Section 1 of the Faculty Constitution) or as a librarian for full-time service shall have tenure after a probationary period. At the time of initial appointment, a probationary period shall be stated. During the probationary period, appointments are usually for a period of one to three years. The total probationary period may not exceed seven years. This period may include full-time service with faculty or library rank at other institutions, if similar service in Indiana University would have been countable toward tenure. In the case of persons with three or more years of countable service in other institutions, a probationary period of not more than four years may be required, if agreed upon in writing at the time of appointment. Since the acquisition of tenure represents a major change in a faculty member's or librarian's status, the faculty member or librarian to whom tenure is being granted shall be so informed in writing.

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.

Under administrative policies and practices at Indiana University, where such a written agreement reduces a faculty member's or librarian's probationary period to less than seven years, this agreement is binding on both parties.

The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a faculty member or librarian or the academic unit.

Tenure at the University requires explicit action. The review leading to a recommendation of tenure or non-reappointment is to take place no later than the sixth year of probationary service. Failure to give notice of non-reappointment prior to the beginning of the seventh year of probationary service will not result automatically in an award of tenure. In such a case, the review leading to a tenure or termination decision should be conducted at the earliest possible time and, if necessary, the probationary period shall be extended until the review is complete.

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.

(Faculty Council, December 3, 1968; University Faculty Council, April 23, 1991; Board of Trustees, July 25-29, 1969; June 30, 1972; June 20, 1991)

Procedures for Faculty

Recommendations for advancement to tenured status are prepared by chairpersons or other appropriate administrative officers. Such recommendations are prepared early in the academic year which counts as the sixth year for purposes of reckoning years of service towards tenure. (The actual determination of the appropriate year includes credit for service at other institutions which may have been negotiated at the time of the first appointment.)

Recommendations shall be submitted through the academic administration of each campus with the advice of faculty committees and appropriate professional peers. Administrative structure varies somewhat from campus to campus. For specific information on the routing of such recommendations, see campus-specific documents. Campus vice presidents, chancellors, and academic deans, with the advice of faculty committees, are responsible for submitting tenure recommendations to the President. It shall be the responsibility of the President to submit to the Board of Trustees the names of those recommended for advancement to the tenured status.

The dossier constructed in consultation with the candidate provides the evidence upon which the tenure decision is to be made. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and the responses shall then become part of the dossier.

(University Faculty Council, April 23, 1991; Board of Trustees, June 20, 1991)

Procedures for Librarians

Recommendations for tenure shall be processed as follows:

1. Recommendations prepared by supervisor of person under consideration and forwarded to the head of the appropriate library division for action;
2. Recommendations of the head of each library division are forwarded to the appropriate Chancellor for review and recommended action;
3. Chancellor's recommendations are forwarded to the Vice President (Bloomington) for review by an All-University Librarians Tenure Committee appointed by the President in consultation with the Dean of University Libraries;
4. Recommendations of the All-University Librarians Tenure Committee are transmitted to the Vice President (Bloomington) for review by the Dean of University Libraries and for presentation to the Board of Trustees.

(Board of Trustees, June 30, 1972)

Policies Governing Reappointment and Non-Reappointment during Probationary Period

1. *Notice of Terms of Initial Appointment*
 - a. Before a faculty member or librarian is appointed to rank in the University, the initial salary, rank, years in rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member or librarian.
 - b. The faculty member or librarian shall also be advised in writing,

before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the handbook. Special procedures customarily employed in the department, school, program, division, or library unit of the University in which the faculty member or librarian is appointed shall be specified clearly.

- c. The faculty member or librarian shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure are agreed to.

2. *Annual Review*

- a. During the period of probationary appointment, the faculty member or librarian shall receive an annual review of professional performance under procedures adopted by the faculty within the department, school, program, division, or library unit in which the individual holds his or her appointment. At that time the faculty member or librarian shall be informed, customarily by the principal administrative officer of the unit of the University in which the individual holds his or her appointment, of all matters relevant to the eligibility for reappointment and the award of tenure.
- b. The faculty member or librarian shall cooperate with the principal administrative officer to insure that the file on which such a review is based contains all relevant materials. A written statement

summarizing the substance of each annual review shall be kept in the file, and a copy given to the faculty member or librarian.

3. *Notice Requirements*

- a. Before any decision is made within a department, school, program, division, or library unit about whether to recommend reappointment or the award of tenure, the faculty member or librarian shall be notified that he or she is under such consideration and that within a properly specified and reasonable period of time the faculty member or librarian may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.
- b. The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her.
- c. At the time that a faculty member or librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Policies Governing Reappointment and Non-Reappointment During Probationary Period," and the *Academic Handbook* statement on criteria for tenure, to insure that he or she be fully informed of his or her rights.

4. *Review of Decision of Non-Reappointment*

- a. Upon receiving notice of a nega-

tive recommendation or decision on reappointment or tenure, the first recourse of the faculty member or librarian shall be to request an oral explanation from his or her principal administrative officer.

- b. Upon written request, submitted within thirty days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member or librarian within a reasonable period of time with a written statement of the reasons for non-reappointment.
- c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member or librarian in terms of the professional standards and needs of his or her department, school, program, division, or library unit or of the University.
- d. The faculty member or librarian who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.
- e. If the faculty member or librarian is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review or All-University Librarians Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable

- period following the receipt by the faculty member or librarian of the written statement of the reasons for non-reappointment.
- f. Before undertaking a review, the Faculty Board of Review or the All-University Librarians Review Board may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Boards shall request reconsideration by the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment or the offices of the Dean of Faculties, campus Chancellor, and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's or librarian's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Faculty Board of Review or the All-University Librarians Review Board shall provide copies of its report and recommendations to the faculty member or librarian, the principal administrative officer of the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment, the Dean of the Faculties, the campus Chancellor, and other appropriate administrative officers.
 - g. Whenever during his or her appointment a faculty member or librarian discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, division, or library unit of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member or librarian may petition the Faculty Board of Review or the All-University Librarians Review Board for a review of the procedures followed in his or her case.
 - h. Upon finding by the Faculty Board of Review or the All-University Librarians Review Board, accepted by the principal administrator of the campus in question, that the faculty member or librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary, to avoid prejudicing the rights of the faculty member or librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the faculty member or librarian.
 - i. Recourse by a faculty member or librarian to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in this handbook. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.
 - j. In light of the legitimate educational interests of students,

faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member or librarian to observe promptly and fully the above procedures.

(University Faculty Council, October 17, 1972; October 12, 1976; April 23, 1991; Board of Trustees, October 27, 1972, June 20, 1991)

Duration of Tenure-Probationary Appointments

Appointments and reappointments during a probationary period shall be limited to one year for Affiliate Librarians. Other tenure-probationary faculty may be appointed for not more than three years within the probationary period.

(Faculty Council, December 3, 1968; Board of Trustees, July 27, 1969; June 30, 1972)

Geographic Limitation of Tenure

All of the foregoing principles, policies, and procedures relating to tenure are applicable in all University schools, departments, and library units on all campuses. The tenure of any faculty member, however, is specific to the campus unit in which he/she is serving at the time of acquisition of tenure. Consequently, it is the responsibility of each unit of the University to develop appropriate structures and administer the necessary procedures for the implementation of general University tenure policies.

In any case in which the position of a faculty member or librarian with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make

every reasonable effort to place the faculty member or librarian in a comparable position elsewhere in the University. If no such comparable position is available, the University will make every reasonable effort to assist the faculty member in securing a comparable position at another institution.

(Faculty Council, December 3, 1968; University Faculty Council, April 23, 1991; Board of Trustees, July 27, 1969; June 30, 1972; June 20, 1991)

Criteria for Tenure

After the appropriate probationary period, tenure shall be granted to those faculty members and librarians whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for tenure and the criteria for promotion are similar, but not identical. (See 4.c under "Policies Governing Reappointment and Non-Reappointment during the Probationary Appointment Period," p. 67.)

Each campus on which tenure is held (and other units as appropriate, e.g., school, college, department) shall have a document that states with reasonable specificity the standards that will be used to evaluate whether candidates meet the criteria for tenure. The document(s) must comply with the standards of the University and should make their application more specific. The chief academic officer on each campus is charged with the responsibilities of (a) reviewing such documents with respect to whether they are consistent with such documents at higher levels, and (b) maintaining a current file of such documents. Each campus (or other unit) shall provide each probationary faculty member with

a copy of the document at the beginning of the probationary service.

If the document changes during the faculty member's probationary period, the faculty member may choose to be evaluated for tenure under the written standards in effect at the time of appointment.

Tenure considerations must recognize the diversity of the missions and the contexts of the campuses of the University and must not ignore the mission of the particular unit as defined in its statement of criteria and procedures and the individual's contribution to that mission.

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.

(Faculty Council, December 3, 1968; University Faculty Council, February 10, 1976; November 30, 1976; April 23, 1991; Board of Trustees, July 27, 1969; June 20, 1991)

Monitoring of Existing Policies and Practices

The University, through actions of its administration and the University Faculty Council, shall keep under constant review all existing policies relating to reappointment, tenure, and administration of these policies to ensure that all persons are accorded equal opportunity.

(Board of Trustees, July 29, 1974)

Promotion Policies

FACULTY PROMOTIONS

Procedures for Recommendations

Before any decision is made within a department, school, program, or division about whether to recommend promotion, the appointee shall be notified that he or she is under such consideration and that within a properly specified and reasonable period of time, such as two to four weeks, he or she may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.

(University Faculty Council, April 29, 1976)

The departmental chairperson or director of an academic unit shall have the responsibility of submitting the names of those members of the department who are deemed worthy of promotion on the basis of the established criteria.

It shall be the privilege of any faculty member to submit a recommendation for the promotion of any faculty member, including himself or herself. These recommendations shall be properly documented.

Recommendations, whether submitted by individual faculty members or coming from chairpersons or directors, shall be submitted through the academic administration of each campus. For specific information on the promotion process, see campus-specific documents.

Academic administrators and Chancellors, advised by faculty committees, are responsible for submitting promotion recommendations to the President.