

## **INTRODUCTION: TENURE AND THE DIVERSE PROFESSORIATE**

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*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. – Academic Handbook*

At Indiana University Bloomington, tenure-eligible faculty appointments<sup>1</sup> guarantee the opportunity to achieve tenure after a probationary period that is set at the time of hire. As the above statement indicates, tenure ensures job security and academic freedom;<sup>2</sup> additionally, the conferral of tenure constitutes promotion to associate professor, excepting individuals who have already achieved this rank. Tenure is granted based on unit-specific criteria that conform to broad campus requirements. The purpose of this guide is to make these criteria “user friendly” for minority and women faculty, as well as to assist these faculty members in anticipating and overcoming potential obstacles to tenure during the probationary period. As numerous studies have demonstrated,<sup>3</sup> minority and women faculty members face steeper barriers to tenure than their white male counterparts (see the Unwritten Expectations section of this guide for more detailed explanations of these barriers).

Nationally, the increasing numbers of women and minority professors concentrated in non-tenure-track positions does not paint a bright picture for universities in quest of a diverse professorate. Lacking the permanent employment that tenure guarantees, non-tenure-track minority and women faculty lack the opportunity to make a permanent difference. Notwithstanding these disquieting national trends, the good news is that Indiana University Bloomington stands as an institution formally committed to supporting ethnic diversity (see the 1998 report, *20/20: A Vision for Achieving Equity and Excellence at IU-Bloomington*) as well as gender equity (see Document B-II of the *Academic Guide*).<sup>4</sup> IUB Also remains an institution structured around the viability of the tenure system (see the statement on “The Principle of Tenure” in the Academic Handbook). Recent tenure statistics broken down by race and gender demonstrate that the institution’s commitment in these areas has yielded some positive results.

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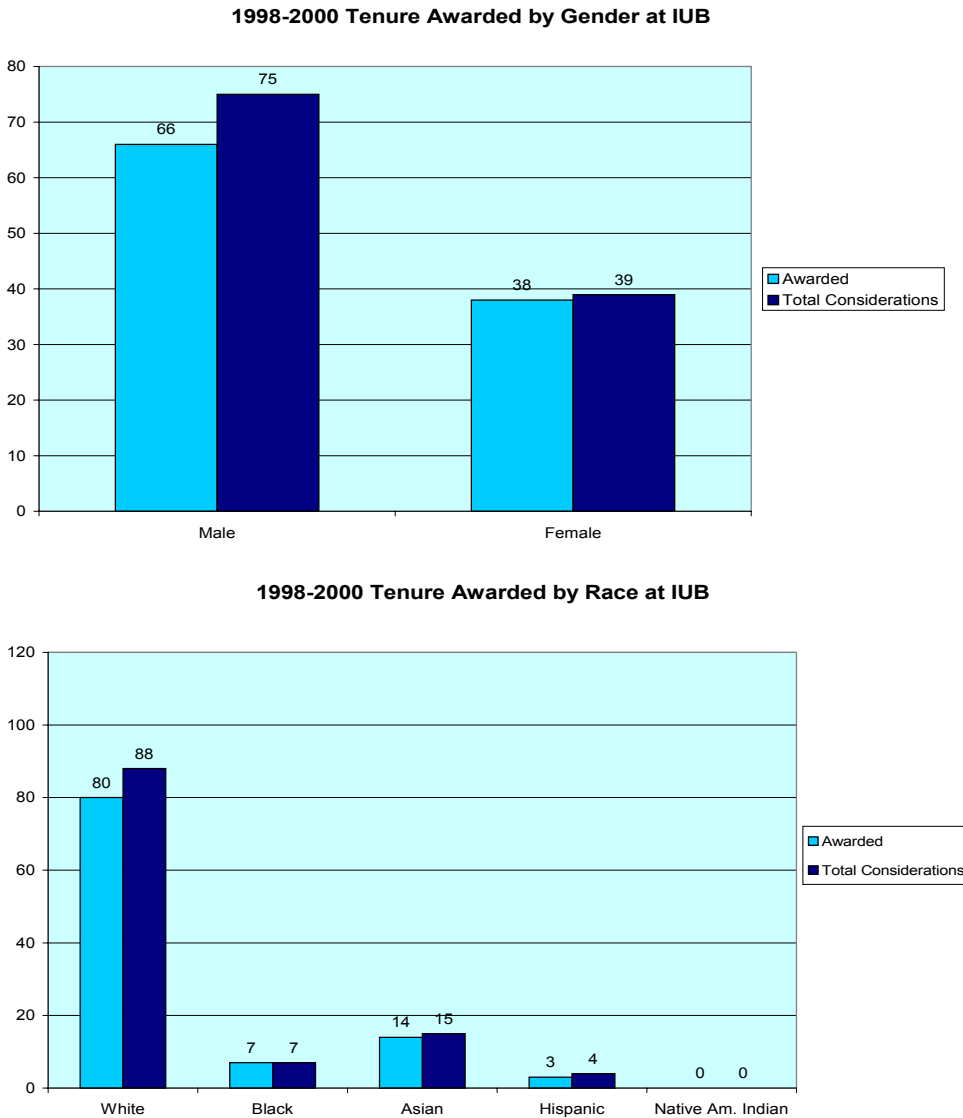
<sup>1</sup> In October of 1999, 70.5% of the faculty appointments at IUB were “tenure-eligible.” This is the term the Office of the Dean of the Faculties uses to designate tenure-track positions. Of those faculty members who were tenure-eligible, 76.9% were already tenured, and 23.1% were on tenure track.

<sup>2</sup> Academic freedom is defined in the *Bloomington Academic Guide* as “attach[ing] to all aspects of a teacher’s and librarian’s professional conduct. The teacher and librarian shall have full freedom of investigation, subject to adequate fulfillment of other academic duties. No limitation shall be placed upon the teacher’s and librarian’s freedom of exposition of the subject in the classroom, in the library, or on the expression of it outside” (Document E-III).

<sup>3</sup> See, for example, the Midwestern Higher Education Commission’s *Minority Faculty Development Project Final Report*, the University of California’s Higher Education Research Institute’s *Overview of the 1988-99 Faculty Norms*, and the Office of Strategic Hiring & Support’s own report, *Facing the Challenge of Achieving Minority Equity in Faculty Representation*.

<sup>4</sup> At the time of this writing, the Office of Women’s Affairs was conducting a study on “the status and conditions of women” on the IU-Bloomington campus. In the Winter 1999 issue of the *Majority Report*, Dean of Women’s Affairs Jean Robinson writes: “If we can compile both the quantitative and qualitative data about the lives of women students, staff, and faculty, we can learn what else we need to do to make IU a place of full opportunity and equity for women” (Robinson 3).

**Figure 1**



As the above tables for the three-year period 1998 to 2000 indicate, women were slightly more likely to be tenured than men (women were tenured at a rate of 97%, versus an 88% tenure rate for men), and some minority<sup>5</sup> faculty groups were more likely to be tenured than were non-minority faculty members (African American faculty members were tenured at a rate of 100%, Hispanic faculty were tenured at a rate of 75%, but only four were considered for tenure during

<sup>5</sup>For purposes of statistical analysis, the Office of the Dean of the Faculties categorizes faculty members by ethnic origin. Thus, for instance, the term “Asian” signifies persons of Asian or Pacific Islander descent, not Asian nationals exclusively.

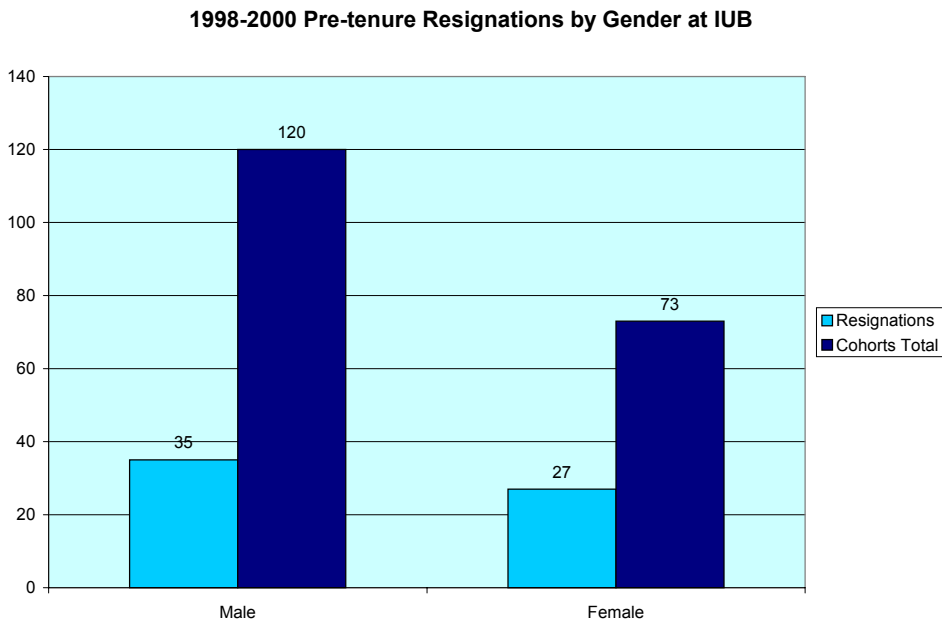
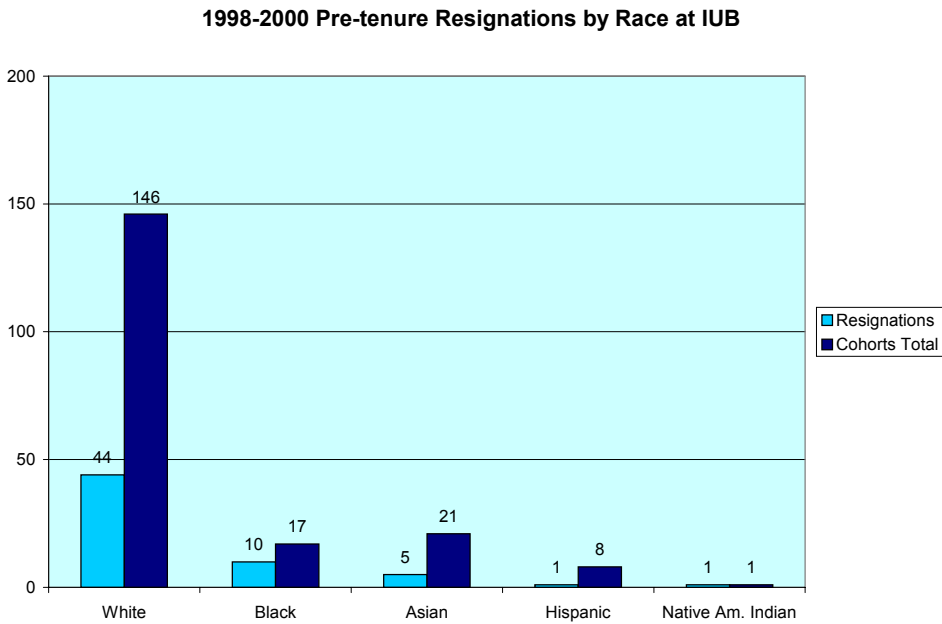
this period, while Asian American faculty members were tenured at a rate of 93%. Caution must be taken in interpretation of these percentages due to the small numbers of minority faculty involved.) These percentages can be juxtaposed with national data drawn from the National Center for Education Statistics' (NCES) *Fall Staff in Postsecondary Institutions, 1995* relating to tenure prospects (see *NEA Update Vol. 4, No. 4, September 1998*). The NCES figures show that a larger percentage of minority faculty members were *on the tenure track* in 1995 than were white faculty members (25 to 28 percent for minorities versus 19 percent for white faculty members) and that a larger percentage of female faculty members were on track than were male faculty members (25 percent for women versus 18 percent for men) (Clery 4). Taken together, the data from IUB and NCES suggest that gains are being made by groups historically underrepresented in the tenured ranks of academia.

At the same time, figures that combine the number of tenured faculty members with those recently hired indicate that equity is still a distant objective: nationally, 91.7% of today's faculty are white, and 63.8% are male (Higher Education Research Institute 6; 11). Spring 2000 data for IUB shows that 88.6% of the faculty members here are white, and that 72.3% are male. Moreover, statistics regarding the numbers of minority and women faculty members who received tenure do not illuminate the particular challenges these faculty members faced along the way – during the probationary period. A 1998 study conducted here at IUB by the Office of the Dean of the Faculties discovered a “striking” difference in the length of time it takes women faculty to achieve tenure compared with men: women are on the track longer<sup>6</sup> (Olsen). Although no research of this nature has been conducted for minority faculty at IUB, nationally, data shows that women and minority faculty “tend to be promoted and tenured more slowly than white male faculty and are more likely to leave an institution before gaining tenure” (Johnsrud and Des Jarlais 336). As the below tables illustrate, IUB tenure statistics for the years 1998 to 2000 do in fact show that minority and women faculty members were somewhat more likely to resign prior to the tenure decision year than were non-minority male faculty members.

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<sup>6</sup> Olsen's findings include this data: “only 9% of male faculty from the 1989 cohort were still on track in 1997, while 20% of the female faculty were” (Olsen).

**Figure 2**



Combining the data for the appointments and resignations in those years yields these resignation rates by race: 30% for white faculty members, 59% for African American faculty members, 24% for Asian American faculty members, 82% for Latino faculty members, and the one Native American faculty member in the cohort resigned. As for gender, 37% of the women in the combined cohorts resigned before the tenure decision year, versus 29% of the men. Again, the minority percentages may be somewhat misleading because they are based on small cohorts.

These data are somewhat limited in that they do not include the reasons faculty members gave for leaving; they do not specify whether they remained in the field at another institution; and they do not identify at what point in the probationary period the faculty members resigned. Only qualitative analysis can bring faculty motivations to light, and these motivations can vary widely: faculty members may have received a negative probationary tenure review or have accepted more attractive offers from other institutions. At the same time, these numbers suggest that women and minority faculty members at Indiana University Bloomington face particular challenges en route to tenure. Indeed, one might infer that in a number of tenure cases, the challenges these faculty members faced appeared so overwhelming as to be cause for departure.

The existence of the particular challenges minority and women faculty encounter are broadly confirmed by UCLA's Higher Education Research Institute's (HERI) recent findings<sup>7</sup> which reveal that women "remain in the lower ranks of power, pay, and research productivity ... [and] continue to face significant personal and professional obstacles in their academic careers" (HERI 10). Closer to home, the Midwestern Higher Education Commission (MHEC) concludes in its 1995 *Minority Faculty Development Project: Final Report*<sup>8</sup> that minority faculty members experience a chilly climate on many MHEC campuses (4). Factors affecting this climate include: "racial, gender and ethnic bias; isolation and unsupportive work environment; *lack of information about tenure and promotion*; language/accent barriers; lack of mentors and lack of support from superiors" (4, emphasis added). Minority and women faculty at IUB have also expressed the need for more explicit information about the process of achieving tenure; a number of them are quoted in the 1999 *Commission on the Recruitment and Retention of Non-White and Women Faculty: Final Report* (CRRNWWF) as saying that they felt alienated by the tenure process. When asked about how to improve the quality of life at IUB, these faculty members urged: "Do more to mentor young faculty through the P & T process ..." and "Be more open, honest, explicit ... on the whole tenure process" (Appendix 3, 4-7).

## **OVERVIEW OF THIS GUIDE**

In response to the needs described in the previous paragraph and in the context of the above-discussed relationship between tenure and faculty equity, the Office of Strategic Hiring and Support offers this guide. It is our hope that in doing so, we can demystify those aspects of the tenure process that have daunted women and minority faculty members in the past, and thus ensure a smoother passage. Below are several scenarios that this guide seeks to "troubleshoot":

- Women and minority faculty members may be left out of informal networks in departments or schools. This exclusion may result in their having less information about the tenure process and in feeling more isolated.

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<sup>7</sup> These findings are based on the Cooperative of Institutional Research Program (CIRP) survey data from 1998-99, which consisted of a national sample of 33,785 faculty members at 378 colleges, universities, and community colleges. A summary at the end of the CIRP report notes, "data have been weighted to approximate the results that would have been obtained if all college faculty in all accredited institutions across the country had responded" (HERI).

<sup>8</sup> At the time of this report, Indiana was not yet a member of MHEC. Member states then included: Illinois, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio and Wisconsin.

- Women and minority faculty members often feel that they are scrutinized more carefully. Their peers may view them as “affirmative action candidates” and may perceive them as being less qualified than white male candidates. Because of these misperceptions, women and minority candidates sometimes must use different strategies to validate their abilities.
- Women and minority faculty members often feel that in addition to or instead of overt, official tenure criteria that have been clearly stated by the university, they are judged by constantly changing, covert, unwritten criteria that are more difficult to meet.

Foreknowledge of a potentially unfriendly or unreceptive environment can help faculty members to understand that their “subjective” experiences in that environment may in fact be a product of the system. This guide offers strategies for responding to these and similar circumstances. However, this document is not focused on changing the current system. Roughly organized in an order intended to parallel the tenure process itself, the guide begins with “Pre-tenure Tips.” The remaining sections include: “The Tenure Process,” “Childbirth, Leaves, and the Tenure Clock,” “Unwritten Expectations,” and “Campus Resources.”

Note that the scope of this guide is limited in that it:

- ***Does Not Include Promotion Information*** - In an effort to keep this a brief, easy-to-use document, this guide is limited to coverage of the tenure process. It does not cover promotion issues. For information on promotion, faculty should refer to the *Bloomington Academic Guide*.
- ***Refers to Tenure-Track Faculty Only*** – The scope of the guide is limited to tenure-track faculty. It does not include tenure information for Librarians.
- ***Does Not Include the School of Nursing*** - This guide only covers the tenure process for the following schools: Business, COAS, Education, HPER, Journalism, Law, Library/Information Science, Music, Optometry, and SPEA.
- ***Covers the Bloomington Campus Only*** - The scope of this guide is limited to academic appointees at Indiana University’s Bloomington campus. It does not include tenure information for academic appointees at other Indiana University campuses.

Although the tenure process can be very arduous, it is by no means insurmountable. While reviewing the recommendations noted in this guide, candidates should keep in mind Indiana University Bloomington’s strong tradition of faculty governance as well as the desirable aspects of an academic lifestyle. In addition, candidates should be aware of the feasibility of achieving tenure. As Figure 1 demonstrates, many minority and women faculty members have achieved tenure at IUB, and candidates are urged to look to these faculty members as role models and mentors. Finally, since this is an informal guide, faculty members should refer to the *Bloomington Academic Guide* for more detailed information and for the “official word.”

## **PRE-TENURE TIPS**

This section is partly based on the *UC Berkeley Tenure Guide*. The Berkeley guide was selected as a model because it is a comprehensive document and because it is one of the few university-sponsored tenure guides that addresses minority and women faculty issues. For

more detailed and extensive information on tenure tips, candidates should refer to that document.

## Developing a Research Program

***Prioritizing Research*** - The first step in developing a strong research program is making research a priority. It can be easy for faculty members to let teaching and service become the central foci if they find these responsibilities to be more immediately rewarding and more enjoyable. However, as William G. Tierney and Estela Mara Bensimon establish in the most comprehensive analysis of the tenure process to date,<sup>9</sup>

... minority faculty who were productive according to traditional measures of scholarship had internalized the norms of the research university culture: They arranged their schedules in order to write; they spent time conducting research; they were selective about their involvement in campus activities; they did not allow their teaching responsibilities to overwhelm them; they applied for grants; they solicited comments on their written work. (115)

In light of this proven strategy for success, the following is a list of suggested ways to make research a priority:

- Develop research goals for the three-year review and for the tenure review. Plan work life around times that are particularly good for writing and collecting data or around conference and research grant deadlines.
- Set aside a specific period of time, such as summer, for research.
- Arrange a teaching schedule that leaves two- to three-hour blocks of time or whole days for research.
- Schedule and carefully guard weekly research time blocks. This can be done by shutting the office door, by working at home, or by working in the library.
- Take advantage of any opportunities for release from teaching duties or for leaves from the university. This allows faculty members to maximize time to prepare their research for the tenure review process. Research Leave Supplements can help fund up to 30 percent of the applicants' academic year salary if candidates are on leave of absence without pay because they have accepted external fellowship awards. See the Office of Research and the University Graduate School for applications and guidelines. Candidates, however, should also be careful that they don't take too many leaves because this may not reflect well on their tenure application. Care should also be taken as to how leaves affect the teaching schedules of the departments.

***Developing a Respected Research Program*** – Formulating a research program is a difficult task for most candidates, regardless of gender or ethnicity. Tierney and Bensimon describe “an African American woman in her second year, struggling to develop a plan of work, [who] said, ‘I’ve spent a lot of time trying to figure out how to perceive my scholarship. You

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<sup>9</sup> Their 1996 book, *Promotion and Tenure: Community and Socialization in Academe*, was based on a two-year study conducted at twelve colleges and universities throughout the country; for this study, Tierney and Bensimon interviewed a total of “202 assistant professors, 54 department chairs and deans, and 14 provosts or their associates” (149).

know, where I should go now. I've done this dissertation; what's my next step as a scholar and as a teacher?"(114). Perhaps the best way to learn about excellence in the area of research is to discuss the criteria with tenured colleagues. Accessing this information informally can often provide more nuanced knowledge than the official guidelines stated in the department or school's tenure handbook. In general, the Berkeley *Tenure Guide* offers the following advice for developing a strong and coherent research program:

If your work is too broad or reflects too many unrelated interests, it may be seen as 'dabbling' and as lacking a central thrust or set of themes. If the majority of your work is done in collaboration with someone else (in particular, someone senior to yourself), it will be difficult to evaluate and will raise questions about the nature of your independent contribution. Therefore, it is important that some of your publications be authored solely by you. If your work is in newly defined, unconventional, or interdisciplinary fields, it will also be more difficult to evaluate. In order to maintain your scholarly credentials while working at these new frontiers, you should publish at least one 'mainstream' contribution. (10)

***Deciding What and Where to Publish*** - Colleagues (in addition to the school dean or department chair) can also be great sources of assistance in making decisions about what and where to publish. It may not occur to women and minority faculty members to be proactive in seeking out information, as Tierney and Bensimon point out:

Five minority women mentioned having learned about tenure and promotion serendipitously. A Chicana serving on a Women's Studies search committee said, "The woman we were interviewing asked the chair, 'What do you expect for tenure?' and the chair told her. . . . I just sat back and thought, 'At least she knows.' Nobody ever told me that." (112)

Generally, the Berkeley guide offers this advice concerning selecting the types of publications that will have the greatest benefit for a candidate's career:

Prepare your work for the most respected publications in your field [and sub-field]. Do not settle for journals or publishers of lesser quality, since their prestige influences the assessment of your reputation. In some fields, invited chapters may not count as much as articles in refereed journals, because chapters do not undergo the rigorous peer review that journals require. Publication of popular books and textbooks may generate independent income, but they may not count heavily in your tenure review. The writing of textbooks is viewed as a teaching activity, rather than research, unless there are colleagues who can attest to your textbook's scholarly contributions. (11)

In any case, you should refer to your own school's and department's guidelines on publications. In fields where interdisciplinary work is common, candidates should publish the type of work that is most respected by their home departments.

## Identifying Mentors

Faculty members are strongly encouraged to establish a close relationship with an influential senior colleague who is active in departmental concerns and whom they feel they can trust. Mentors are a valuable resource for “insider” information, professional evaluation, and personal support during the probationary period. For women and minority faculty members, working with a mentor is particularly recommended for purposes of sponsorship and advocacy. Since women and minority faculty members encounter more personal and professional challenges during the probationary period than non-minority male faculty members, having senior colleagues who can “coach” faculty through the process makes a significant difference.<sup>10</sup> A female minority faculty member here at IUB comments:

The most satisfying aspect of my work at Indiana University has been friends and colleagues I have been acquainted with. Many of these friends and colleagues were women who reached out to me and in many ways served as a role model to me in my profession. This networking experience began early for me at IU long before the concept “mentoring” became popular and was subsequently implemented in systematic ways in each unit.” (CRRNWWF, Appendix 3, 3)

Mentors can brief faculty members about reviews and give other kinds of feedback germane to a particular unit’s tenure criteria. If necessary, mentors can also be called upon to champion a junior faculty member’s research. Mentors within the department are the best source for tenure-specific information, but mentors from other disciplines may be better situated to provide other kinds of support because they are removed from the politics of the home department. The Office for Women’s Affairs runs a program that pairs first year female faculty members with tenured women; the Office of Strategic Hiring and Support, in cooperation with the Dean of the Faculties Office, is in the process of instituting a mentoring program for minority faculty.

## Building Relationships With Colleagues

Building good relationships with colleagues can help make the path to tenure easier to navigate. An African American male professor affirms the practical value of collegiality: “There is the official [tenure] handbook and then there is the little talk in the coffee area, hanging out with colleagues, which is another sort of educating process” (Tierney and Bensimon 109-110). Faculty members are advised to develop relationships with colleagues at three different levels: 1) in their home departments or schools; 2) within the university, but outside their home departments or schools; and 3) outside of the university.

***Within the Home Department or School*** - These colleagues can help faculty members understand the department’s tenure criteria and process. In addition, they can provide faculty members with feedback on their research ideas and advice on where to publish their research. Finally, senior colleagues may be on the committee that decides whether a candidate’s tenure request should be granted. It will facilitate the process if these colleagues are already aware of the candidate’s work and collegial reputation. Pleasant collegial relations are important

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<sup>10</sup> Many studies underscore the powerful impact mentoring can have on minority and women faculty members’ careers. See, for instance, MHEC’s *Minority Faculty Development Project – Final Report* (B-19) and Turner and Meyer (24-25).

because it creates the impression that tenure candidates would be good long-term faculty members of the school. Faculty members can get to know these colleagues by:

- Talking with colleagues about the colleagues' recent work.
- Giving colloquia presentations.
- Co-teaching classes with colleagues.
- Asking mentors or close colleagues to read drafts of the candidate's latest articles (Note: faculty members should make sure that the documents they share with colleagues are well written and focused drafts. This ensures that ill-focused first drafts are not used against them as evidence of incompetence in the third-year reappointment or tenure review process).
- Attending as many departmental meetings and social events as possible.

In addition to developing rapport with peers and senior faculty, junior faculty need to establish good relationships with their department chairs and/or school deans. Since chairs and/or deans play such an important role in the tenure process, faculty members should keep them informed of all research and conference activities.

***Outside the Home Department or School*** - These colleagues can be another valuable source of feedback, including perceptions of the candidates' department at the university level. In addition, they could be among the people that will make tenure decisions at the school or university-wide level. Ways to get to know these colleagues include giving colloquia presentations outside the department and serving on university-wide committees. Also, the Dean of the Faculties recently launched a new initiative called Faculty 2000 to welcome new faculty to IUB's academic community. The events in this program provide a more informal and social environment for new faculty to interact.

***Outside of the University*** - Developing relationships outside of the university can be an important factor in building a national reputation. These relationships are also important because candidates will need to submit a list of external referees. Having an established reputation with these referees can help them to represent the candidate's work more accurately and in a more positive manner. Publishing in well-respected journals, sending papers to scholars that are cited in candidates' papers, and giving paper presentations at conferences are all excellent ways to develop relationships and a strong reputation outside of the university.

### **Assessing Progress**

The Annual Review provides an opportunity for faculty members to meet with the dean or chair to get a sense of progress towards tenure in the areas of research/creative activity, teaching, and service. The *Academic Guide* states, "Even though the review conducted during a faculty member's first year in residence is probably based on less information than subsequent reviews and may therefore not seem as useful, it is imperative that such a first-year review occur."

Faculty members should regard the annual review process as interactive; they should ask questions, solicit information, and seek feedback. A comment by a female faculty member at IUB reflects the uncertainty that can be addressed by seeking direct feedback: "I feel the

sense that I cannot ever be done with the small stuff; that nothing is ever good enough; that whatever I do falls short of vague, virtual expectations ...” (CRRNWWF, Appendix 3, 9). Since women and minority faculty members are sometimes “left out of the loop” when it comes to school and departmental information networks, the review process is a key opportunity to clarify standards and expectations. Faculty members may want to prepare for the annual review by meeting with their mentors or other supportive senior faculty members who can assist in assessing materials.

Faculty members should try to avoid defensiveness even if negative feedback is proffered; an early understanding of departmental *perceptions* of their performance can be as helpful as the more substantive evaluations that should occur during subsequent reviews. In addition, faculty members should bear in mind that positive feedback at the departmental level does not guarantee approval at other stages of the tenure review process; departmental standards for performance may differ from those at the campus level and above. Mentors from outside the department may be particularly helpful in assessing higher-level standards for performance.

Another useful method of assessing progress towards tenure is the Faculty Summary Report (FSR), which is prepared by faculty members each year for review by department personnel committees, chairpersons, college deans, and the Dean of the Faculties. These reports are used in salary-setting; they inform reappointment, tenure, and promotion decisions. The FSR provides faculty members of all ranks with an opportunity to assess their own strengths and progress in light of various departmental criteria. Junior faculty members are encouraged to discuss the FSR with respective department chairs or deans since it provides an early opportunity to document and gather much of the material that will be used in the tenure dossier.

### **Record-Keeping**

Tenure candidates are advised to keep careful track of achievements in the probationary period. Most faculty members periodically update their vitae, but activities such as presentations, research and mentoring may be overlooked in this process. Keeping a log of all academic and professional activities as well as a folder for awards, press credits, commendations, and acknowledgments (note that nonprofessional awards and presentations should not be included) can ensure that all accomplishments are fully represented in the tenure dossier.

## **THE TENURE PROCESS**

### **Timeline**

Typically, the initial tenure-track faculty appointment is for three years. Each year, candidates are given reviews by the department chair and/or associate academic dean. The review at the end of the third year is a particularly important one that determines whether candidates are reappointed for the fifth year (candidates are reappointed for the fifth year instead of the fourth year because the university is required to give a one-year notice to faculty members that are not reappointed; see Candidate’s Rights: Appendix G). Reappointment is an indication that candidates are making favorable progress toward tenure.

Candidates who are not reappointed may choose to appeal the decision (see Probationary Period and Tenure Review Problems section of this guide). Candidates also undergo reviews in the spring of the fourth and fifth pre-tenure years, usually in March. In April or May of their fifth year, they officially begin the tenure review process by supplying a list of external referees and a sampling of work to the department chair or associate dean (see Appendix A and Appendix B for a more detailed summary of the tenure review timeline).

Candidates spend the spring and/or summer in their fifth year writing the candidate statement and preparing documentation for the final dossier. In September or October of the sixth year, they submit the dossier for review. If a candidate's school is comprised of departments, the tenure review begins at the departmental level and then proceeds to the school and campus levels. If a candidate's school does not have departments, the tenure review begins at the school level and continues at the campus level. In the spring of the sixth pre-tenure year, candidates learn of the tenure decision, and those receiving tenure are promoted to the associate professor level. Candidates who do not receive tenure retain their current appointments through the seventh year, when their contract expires. This year provides time for candidates to search for other jobs. It is important to remember that there is the risk of non-reappointment throughout the pre-tenure process, not just in the 6<sup>th</sup> year.

While the above paragraph outlines the standard seven-year timeline, there are exceptions to this typical progression. Years of countable service from another institution can shorten the pre-tenure period. In most cases, it is strongly recommended that candidates take full advantage of the entire six-year probationary period, but candidates may arrange with their department/school to have prior credit count toward tenure or to come up for tenure early. Candidates with *prior credit* arrange to have their service from another institution count toward part of their pre-tenure period. Once that prior credit is negotiated, the pre-tenure period is reduced accordingly, and it cannot be changed. If these "prior credit" candidates do not pass the tenure review, they will not be reappointed.

Candidates can, in certain cases, have shorter or longer pre-tenure periods. Some are recommended by their chairs to come up for tenure early; in many cases this is a highly risky proposition. Others have longer pre-tenure periods, if they take a leave of absence without pay or a leave of absence from departmental or school duties. These leaves can sometimes stop a candidate's tenure clock unless the faculty member is serving at another university while on leave. If the tenure clock is stopped, then the time spent on leave does not count toward candidate's years toward tenure (see the Leave Policies Table in Appendix E, Childbirth, Leaves, & the Tenure Clock section, and the *Bloomington Academic Guide's* Leaves of Absence section). Candidates should be cautioned that *some* departments may view leaves as "vacations/free time," and as a result, may hold them against candidates during the tenure review. Candidates should always clarify and confirm the effects of any leaves on their tenure clock. They should also maintain contact with the department while they are on leave to minimize the impact their absence may have on teaching schedules for upcoming terms.

## Criteria

The three main criteria for tenure at IUB are research/creative activity, teaching, and service. To obtain tenure, a candidate must demonstrate excellence in one of these key areas and must demonstrate a satisfactory performance in the other two areas. It should be noted however, that Indiana University is a Research I university and expects high performance in research from all faculty. According to the Indiana University *Tenure and Promotion Handbook*:

If **research** or other **creative work** is the primary criterion, the faculty member should be well on the way toward achieving a national reputation for excellence in research or creative work in his or her field. In addition, a comprehensive plan for future research of high quality should be evident. It is essential that the candidate's statement describe a proposed research program or thematic nature of creative activity....

If **teaching** is the primary criterion for tenure, it should be comparable to that of the most effective teachers at this institution. The faculty member should have demonstrated a superior ability and interest in stimulating in students a genuine desire for study and creative work. An outstanding teacher will usually have a reputation for teaching beyond the home campus, which may be documented by such evidence as textbooks or teaching-related workshops....

If **service** to the university, profession, state, or community is the primary criterion, distinguished contributions must be evident. In such cases effective service should be given the same consideration in determining tenure as proficiency in teaching or research. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the university, and its effect on the development of the unit and the individual. Again, the service contribution would need to be known beyond the campus environs, such as distinguished service provided to a professional organization.

In addition to consideration of teaching, research, and service activities, tenure recommendations should be based on a prognosis of the candidate's future achievements, as determined by his or her dependability, growth, originality, potential, and versatility. When the candidate is making the case on excellence across all three areas, documentation must be strong and not redundant in each separate category. (7-8)

In exceptional circumstances, a candidate may be able to achieve tenure through a **balanced case**, which would entail presenting "evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university" (5). Since the balanced case provision has only recently been adopted by the Bloomington Faculty Council, faculty members are advised to seek clarification from their chairs or deans concerning the feasibility of such a path to tenure.

It should be noted that the *Academic Guide* specifies that every academic unit should publish and regularly update a document that clearly communicates the mission of the unit and the

unit's estimation of the comparative importance of teaching, research/creative activity, and service in receiving a positive recommendation for promotion and tenure. This document must also identify the types of material approved by the unit as documentation of research/creative activity, teaching, and service, as well as a statement concerning the unit's views of the worth of each type of documentation. Some unit tenure documents are more comprehensive than others. The School of Public and Environmental Affairs Promotion and Tenure Standards Document, for example, spells out a rubric so that faculty can understand which activities will earn them ratings of excellent, satisfactory, or unsatisfactory in the three areas considered for tenure decisions. This type of information can be extremely valuable, and if it is not provided in the tenure document, faculty members may want to consult with their chairs or deans in order to obtain it.

Although the relative weight placed on each criterion can vary widely from school to school and also from department to department, research/creative activity is the most often sought—and most frequently rewarded—route to tenure, as compared with the teaching and service paths, though some departments are placing increasing emphasis on teaching (see Appendix C for recent data on the basis for tenure awards). With an eye towards validating the teaching path to tenure, Chancellor Kenneth R.R. Gros Louis wrote an article in 1985 entitled “Preparing a Teaching Dossier for Tenure and Promotion,” which outlines strategies for documenting teaching excellence. Faculty members interested in this useful guide can find it in the School of Education's Tenure Guidelines. It should be noted, however, that in spite of Gros Louis's article and a 1992 endorsement of equivalent status for teaching by the Bloomington Faculty Council's Commission on Teaching, success in this criterion remains more difficult to document. As noted previously, it is generally considered insufficient to demonstrate excellence at IU; candidates must achieve national recognition for their teaching. It remains exceedingly rare for a tenure appointment to be based on service excellence.

For tips on how to build a research program and for advice on how to document research, teaching, and service strengths in a dossier, see the Pre-tenure Tips section. For resources that will help candidates improve their teaching abilities, see the Teaching Resources section. Additional information on building a service case is available through the IUPUI Center for Public Service and Leadership, but caution is urged based on data on the members of successful tenure cases based on service (see Appendix C).

### **Compiling the Dossier**

The dossier is a candidate's primary means of making the case for tenure, whether it is based on excellence in one area or a balanced case. A checklist of what should be included in a dossier can be found in Appendix F; the challenge is to select and organize these materials in a way that makes sense to readers removed from the candidate's field. The candidate's mentor, department chair, and associate dean can all help with these decisions, although the department chair is primarily responsible for the dossier. There are many other resources available on campus as well. Sample dossiers are available for inspection in the Bloomington Faculty Records Office (Bryan Hall 016). Also, see the Tenure Handbooks and Tenure Workshops sections of this document for additional dossier resources.

As mentioned above, a key component of the dossier preparation process is the maintenance of accurate records of accomplishments. It is never too early to begin preparations for the tenure dossier, especially documentation and supportive data. What follows is a list (adapted from the on-line Academic Guide) of some methods of documenting evidence of professional reputation, research publications, teaching, and service (nonprofessional awards and presentations are not considered pertinent to tenure cases):

### ***Professional Reputation***

- List of grants and fellowships a candidate has been awarded
- Letters of support from colleagues
- Requests to contribute to a book, special journal, articles, or panels
- Requests to reprint a candidate's articles in a book
- Requests to speak at conferences, symposia, and other universities
- Copies of reviews of a candidate's work
- Important citations of a candidate's work
- Number of times a candidate's work is cited in a Citation Index

### ***Research***

- List of the candidate's research/creative publications (exact publication status of work should be noted; e.g., "in press")
- Copies of published research, samples, and/or reviews of creative work, and copies of research-type development projects
- Departmental or school evaluations of the stature of the journals in which the publications appeared, the museums showing creative work, etc.
- Assessment by the department or school of the candidate's contribution to works with more than one author

### ***Teaching***

- Evidence of the quality and innovativeness of teaching, including:
  - External recognition for teaching excellence
  - Teaching evaluations from undergraduate and graduate students (these should be in summary form)
  - Teaching evaluations from colleagues and from the Teaching Resources Center
  - Letters from former students
  - Videotapes of a set of classes
  - Course outlines
  - Reading lists
- List and evaluation of teaching activities outside the School or University, if any
  - Evidence of papers presented effectively in seminars and professional meetings
  - Documentation of leadership roles taken in the teaching activities of professional organizations
- The numbers of Ph.D., M.A., or similar committees chaired or served on and the titles of any dissertations directed, listed by academic year
- List of publications that are relevant to teaching
- List of specific courses taught and the enrollments listed by semester and academic year

- Evidence of nature and quality of curriculum development, textbooks, and other pedagogical publications
  - Analyses of course materials or final exams
  - Evidence of work in development of new classes
  - Computer classroom applications
  - Copies of textbooks and other publications that are pedagogical in nature
  - Samples of curriculum development projects

### *Service*

- List of candidate’s service activities, such as committee, consultant, or public service work
- List of candidate’s service-related publications
- Evaluation of the quality of the candidate’s service activities by the chairperson and by professional colleagues at IU, or by associates in the service activity
- Copies of service-related documents and publications

## **CHILDBIRTH, ADOPTION, LEAVES & THE TENURE CLOCK**

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Although the Office of Strategic Hiring and Support does not wish to imply that only women faculty members can benefit from a discussion of the impact of childrearing on the tenure process, the language of this section is directed toward them since they are eligible for a greater variety of leaves and since perceptions of the impact that childrearing will have on them are different than for male faculty members (please see the Unwritten Expectations section for further information about perceptions of pregnancy and parenting).

Faculty members may struggle with decisions concerning pregnancy and adoption during the probationary period, not only because faculty members with children often experience difficulty balancing work and family roles, but also because decisions that may have an impact on professional lives may come under considerable scrutiny. Questions faculty members might ask themselves and others as they plan their families include:

- When is a good time to have or adopt a child—before or after tenure?
- How will a department/school environment respond to a woman faculty member’s having children and taking pregnancy or family leaves?
- What kinds of childbirth and childrearing leaves are available?
- What impact will the leaves have on the tenure clock and on the tenure decision?

These are difficult questions that women faculty should discuss with their mentors and with the Office for Women’s Affairs. Some women do still feel that taking leaves during the tenure review process can be perceived negatively by their schools/departments, and they advocate waiting until summers during the probationary period to give birth or even until the tenure decision process is completed altogether. A faculty member attests: “I know *many* women who have dropped out of academia altogether in order to have more time with their families; my female colleagues in academia, meanwhile, often postpone having children till after tenure or don’t have them at all” (CRRNWWF, Appendix 3, 12). Indeed, according to a recent ASHE-ERIC Higher Education Report, almost one-half of the women who commit to an academic career remain single or childless (Hensel). On the other hand, some women with

new children have used the leaves available to their benefit. The leaves have given them the extra time needed to ensure that they meet the criteria for tenure while still allowing for parenting.

Although no generalizations can be made about how specific departments or schools will react to women faculty members having and caring for children, the university has worked to establish leave policies that enable women to attend to childbirth and childrearing needs while still allowing for appropriate tenure preparation. Faculty members in smaller departments can minimize the impact of pregnancy leaves by making informal arrangements regarding teaching responsibilities with chairs and colleagues ahead of time. Such an action is not seen as “asking permission”; rather, it demonstrates the tenure candidates’ membership within departmental communities. The types of leaves available are listed in the next section.

***Childbearing and Childrearing Leaves*** – There are three main types of childbearing and childrearing leaves – Family and Medical Leave, Pregnancy Leave, and Partially-Paid Family Leave:

- *Family and Medical Leave (FMLA)* - Faculty members who have been employed at Indiana University for at least a year and have worked 1250 hours over the previous 12 months are eligible for up to 12 weeks of unpaid Family and Medical Leave (FMLA) to care for a child after birth or adoption. Traditionally, this type of leave has not been used frequently since faculty members have always been able to request other types of leaves for the birth or adoption of a child.
- *Pregnancy Leave (under the traditional Sick Leave plan)* - Faculty members appointed for a year or longer are eligible for 6 weeks of paid Pregnancy and Sick Leave. This leave allows for a full leave of duties for pregnancy, including pre-delivery, delivery, and post-partum medical needs, and complications of pregnancy and/or childbirth and termination of pregnancy. If medically necessary, this leave can be extended up to 9 additional weeks at half-pay.
- *Partially-Paid Family Leave* - Full-time faculty members who have completed at least 3 years of service, are eligible for up to 15 weeks of partial leave of absence for the care of a child after birth or adoption (includes both maternal and paternal leave). During this leave, the faculty member is released from all teaching responsibilities and receives half pay. The frequency of this leave is not to exceed once every 3 years. Also, in the case of the birth of a child, the appointee may wish to draw from the traditional Pregnancy/Sick Leave plan, whereby the faculty member would receive full pay for the first 6 weeks prior to enacting the Partially-Paid Family Leave. In other words, candidates can take *both* a traditional Pregnancy/Sick Leave and a Partially-Paid Family Leave.

The official leave policies of the university are summarized in table form in Appendix E. The *Bloomington Academic Guide’s* Leaves of Absence section contains detailed descriptions of each leave and of the forms that need to be completed to apply for each type of leave.

The determination of the impact of leaves on the tenure clock may be complicated. On Indiana University’s Bloomington campus, one year of service is equal to 10 months. A leave of less than 10 months typically results in the tenure clock stopping for one year; however,

this is not always the case. Whether a leave results in the stopping of the tenure clock depends on the hire date and on the other leaves that faculty members have previously taken. For instance, if a faculty member, such as a convertible lecturer, is originally hired on January 1 and desires in a subsequent year to take a leave that is less than 5 months long, that leave will not stop the clock. In addition, if a faculty member has already taken a leave, a second leave would not stop the tenure clock again unless the combined length of the two leaves exceeds 10 months (e.g., a 5-month leave and a 7-month leave).

There are many variations on these leave policies and possible options that faculty members can negotiate with their department chairs or school deans. Faculty members who are considering a leave should first talk with the Dean of the Faculties. It may also be helpful to consult with mentors, the Office for Women's Affairs, and department chairs or school deans. For information regarding childcare, please see the Campus Resources section of this guide.

## **UNWRITTEN EXPECTATIONS**

This section seeks to make explicit some of the unwritten standards and expectations that may affect women and minority faculty members as they seek tenure. It also offers strategies for responding to differential treatment based on such standards and expectations.

### **Excessive Service Obligations**

Minority and women faculty members typically have heavier committee and community responsibilities because the university desires their input and because minority and female students seek their mentorship. For example, a non-minority female faculty member noted that conditions in her department pose “a particular problem for women and minorities because we are asked to work with so many students, be involved in service in [the] dept., university and national organizations” (CRRNWWF, Appendix 3, 10). Another non-minority female faculty member expressed the conditions in her department in more dire terms: “... the service demands on women at ---- are suffocating. It is nearly impossible to find time to do quality research” (Appendix 3, 10). As a result of heavier service obligations, minority and women faculty members may be perceived as being less productive or less ambitious in their research pursuits. This “cultural tax” of “heavy committee and advising work as well as substantial community involvement” can have a significant impact on promotion and tenure decisions, and yet as Marjorie Fine Knowles and Bernard W. Harleston have noted, many university officials remain unaware of it (“Achieving Diversity in the Professoriate: Challenges and Opportunities” 8).

Some faculty have responded to this situation by deciding not to engage in any service activities until after they receive tenure, but faculty should not wait until tenure to be “good citizens.” At the same time, it is not wise to let student advising and committee service take away so much time from one's research that it negatively affects tenure preparedness. Women and minority faculty members should talk with mentors for help in prioritizing additional service or atypical teaching assignments before accepting them. It may be difficult or disadvantageous, for example, to turn down requests from administrators who will be involved in the tenure decision. Generally speaking, chairs can be viewed as the candidates'

best advisors regarding service matters since they determined that the candidates should be hired in the first place.

Although the *Bloomington Academic Guide* does not address service assignments per se, Document E-XV on Reorganization Resolutions states, “Faculty assignments should be based on program needs with faculty members in positions of their greatest strength and professional interest. New faculty members should be employed with as clear an understanding as possible regarding possible assignments and teaching responsibilities on a single campus or on more than one campus” (*Bloomington Academic Guide* E-XV). When women and minority faculty members do refuse requests, they need to be sure to say “no” carefully, since refusal can also have a cost. Refusing too many service requests can result in poor collegiality evaluations, which can have an impact on tenure decisions. Although recent tenure statistics for the Bloomington campus reveal that candidates are rarely denied tenure on the basis of unsatisfactory service (see Appendix C for recent statistics on tenure awards), each faculty member needs to find the right balance within the context of his or her department or school.

One way to resolve the service issue is by being pro-active early in the process. Faculty members should be aware, however, that while high-profile service assignments provide the opportunity to interact with powerful senior faculty, they are also the most time consuming. Talking with colleagues is a good way to find out which committees—and which committee members—are most influential in the candidates’ school or department.

### **Lack of Social Support**

Minority and women faculty members may feel isolated in their departments or schools, or even on the campus generally. A female minority faculty member explains: “There are only a handful of minority women at IU whom I interact with on a regular basis. Even fewer are minority women pursuing research interests similar to mine” (CRRNWWF, 14), while a male minority faculty member comments: “It’s hard to develop a sense of belonging or *identity* in both the intellectual and the local communities here” (Appendix 3, 16). Contributing to this sense of not “belonging” is the fact that minority and women faculty members are often excluded from the informal social networks of non-minority male faculty members. This isolation can lead to loneliness and may also result in faculty members not receiving all the informal advice they need to succeed in their quest for tenure. “On critical issues such as promotion, merit reviews, inside-track news, etc., I often felt that I missed subtleties behind issues although the big picture was written in black and white,” attests a female minority faculty member (Appendix 3, 5).

Identifying good minority and women mentors is an excellent way to ascertain the information that faculty members need to succeed. Such mentors can also provide necessary personal support. As previously noted, the ideal mentor is a senior colleague from the faculty member’s department or school with whom the faculty member feels comfortable. In units where senior minority and female representation is scarce, faculty members may want to seek out an influential faculty member from another field who is of the same gender and/or ethnicity. Arguably, having two types of mentors—a non-minority male mentor, plus a minority and/or female mentor—can ensure that the faculty member “covers all the bases.”

Bridging the gap with non-minority male faculty members can also help to reduce isolation and loneliness. Methods for getting involved include attending departmental functions, asking for assignment to important committees, and trying to facilitate lunch or coffee/tea meetings with the faculty members in the candidate's field of interest. Such meetings are easiest to arrange early during the appointment, when the faculty member is new and should have an ostensible interest in getting to know colleagues. A support network outside of the candidate's home department but still within the university can also function as a key advocacy resource in the case of a split vote or a negative decision at the department level. In addition to building a scholarly network, it is also a good idea to develop a network for emotional support and even to maintain a regular schedule for exercise and relaxation; the tenure process can be extremely stressful, especially during the year of review.

## **Tokenism**

The Midwestern Higher Education Commission *Minority Faculty Development Project Final Report* cites multiple instances of minority faculty members being made to feel like tokens—"affirmative action hires" who would not have achieved their positions based on color-blind standards of "merit." An Asian American male professor in this report relates: "... one person [in the department] got really mad at me ... He was resentful that I was hired ... he thought it was solely on my race" (MHEC B-4). Resentment and skepticism about one's credentials can wear down minority faculty members' self-esteem. A female minority faculty member at IUB relates, "Sometimes I feel like a 'second-class' citizen in the school—both academically and musically" (CRRNWWF, Appendix 3, 5). While pressure to be collegial may make minority faculty members feel that silence is the most astute response when a discriminatory comment is made, passivity can erode one's sense of integrity. The American Psychological Association's (APA) *Survival Guide to Academia for Women and Ethnic Minorities* offers this advice for dealing with tokenism and other subtle forms of discrimination:

Collaboration in research can be a successful way to achieve informal as well as formal recognition and acceptance. . . . Another approach is to cultivate relationships with powerful university figures outside your department. In the event of a negative decision on your tenure and promotion, these individuals may be an important source of support and may be instrumental in helping overturn a negative departmental vote. (APA 11-12)

Ideally, minority faculty members should be able to turn to their chairs or deans for support in cases where the faculty member is discomfited by a colleague's comments or behavior. Yet, as a minority male faculty member at IUB testifies, "... stark ignorance/insensitivity or insidious subtle discrimination" may be found at the administrative level as well (CRRNWWF, Appendix 3, 16). Minority faculty members should turn to mentors for guidance in dealing with colleagues. The *Minority Faculty Development Project: Final Report* more comprehensively advocates developing a network of faculty members of the same ethnicity for support in discriminatory situations. For minority women faculty, who simultaneously experience ethnic and gender bias, developing such a support network can be a crucial success strategy.

## **Research in Nontraditional Areas**

Faculty comments about support for research at Indiana University Bloomington tend to be quite positive. A minority female faculty member testifies, “I have been able to do whatever I wanted to do professionally at IU. Early in my career I was allowed to develop my research, teaching and service components to the fullest under the direction of excellent senior faculty ...” (CRRNWWF, Appendix 3, 3). At the same time, the American Psychological Association’s 1992 publication *Survival Guide to Academia for Women and Ethnic Minorities* documents that “[n]ot all research areas are equal in status” (APA 8). This publication and others describe a “double whammy” effect that negatively impacts research on issues involving women and minorities, because research in a “nontraditional” field (i.e., involving women and minorities) is not considered as significant and because minority and/or female researchers are suspected of “bias” (8). Conversely, minority faculty members are sometimes pigeonholed as exclusively pursuing research related to race and ethnicity even if their interests generally lie elsewhere.

Generally speaking, as an African American male professor puts it: “The competence of minority faculty is more apt to be questioned and challenged ...” (MHEC B-3). To avert possible misperceptions, faculty members engaged in “nontraditional” fieldwork should take opportunities to educate chairpersons, deans, and senior colleagues about their research. Even before undergoing formal review, faculty members may want to solicit external evaluations from experts in the field in order to substantiate the quality and worth of the research in question. In this case, again, developing a base of professional support beyond the department is highly recommended. In addition, faculty members may find it helpful to document publishing trends to provide a context for their own publication record. If the journals in their discipline that are generally considered the most prestigious do not regularly publish articles related to their “nontraditional” areas of interest, faculty members should provide documentation to that effect in their dossier. To demonstrate an equivalent record in publishing, faculty members can verify that their work has appeared in journals that regularly publish articles by more established experts in their “nontraditional” field. This kind of contextualization can be particularly helpful once the tenure case moves beyond the departmental level.

## **Different Standards for Collegiality**

Minority and non-minority women alike may perceive implicit pressure to be more social within their departments and schools. Tierney and Bensimon introduce the concept of “smile work” to characterize how women respond to this pressure and cite a non-minority female faculty member’s experience in defining it: “I smile. I am nice. I try to always feel like I am in a good humor and that I am not challenging anyone, but especially I smile, and it drives me nuts sometimes. If I did not smile or [if I] had the personality of some of my [male] colleagues I would be out on my ear” (Tierney and Bensimon 82). Tierney and Bensimon explain this double standard by observing that “male-dominated cultures encourage feminine stereotypical behaviors that make women appear ‘unobjectionable,’ congenial and cheerful rather than strident and unpredictable” (83). For similar reasons, when women faculty members do not attend departmental social functions, they are often criticized for not being collegial, which can have a significant impact on tenure evaluations for women. In contrast, male faculty members can skip these social events without being penalized, and they can use

that time to work on their research. Women faculty members can try to neutralize the impact that different collegiality expectations can have on tenure evaluations by enlisting the support of a senior faculty member who can address these issues with the tenure committee.

### **Perceptions of Pregnancy and Parenting**

Although male and female faculty members are allotted the same amount of time to achieve tenure, recent data from a survey conducted by the Office of Women's Affairs shows that women here at Indiana University Bloomington take longer than men to obtain tenure. The author of the report offers childbearing and limited opportunities for mentoring and sponsorship as possible explanations for this difference. Minority and non-minority women who decide to have children may sense that as a result of pregnancy or parenting, they are judged to be less committed to their research or to departmental service. Tierney and Bensimon cite a non-minority woman professor who points out that "When a man in the department is a nurturing father, he is seen as caring, and when a woman runs around taking care of her kids, it's seen as that she's simply doing her role, or worse, as interfering with her work" (86). Making extra efforts to protect research time can be an important coping mechanism for woman faculty members during pregnancy and parenting. For the purposes of outside evaluation, keeping careful track of research, service and teaching accomplishments can function for faculty members as documentation of their productivity during pregnancy and parenting. Perceptions of pregnancy and parenting as they impact on tenure may also cause women faculty to experience anxiety about taking child-related leaves. Because this topic is a broad and complex one, it is dealt with in a separate section.

## **CAMPUS RESOURCES**

There are many types of resources available on campus to help faculty members to progress smoothly toward tenure. The primary sources are materials published by the Office of the Dean of the Faculties and the unit criteria for individual schools and departments.

### **Tenure Handbooks**

The Office of the Dean of the Faculties publishes the *Tenure and Promotion Handbook*. This guide includes information about the tenure process, a dossier checklist, sample referral letter requests, sample vitae, and sample candidate statements. The Office of the Dean of the Faculties also publishes the *Academic Handbook*, which includes information about tenure procedures and criteria, and the *Bloomington Academic Guide*, which includes information about tenure policies and procedures, a dossier checklist, and a sample referral letter request. In addition, the *Academic Guide* provides information on how to appeal the tenure process and on what types of leaves are available. As mentioned above, candidates should also consult their specific school or department handbooks for guidelines on tenure.

### **Tenure Workshops**

The Office for Women's Affairs and the Office of the Dean of the Faculties regularly host tenure workshops that are open to everyone. Some of the schools also offer tenure workshops. For example, the College of Arts & Sciences' Teaching Resources Center typically has two workshops each year, one for faculty who are in their first three years of service and one for faculty in their 4<sup>th</sup> or 5<sup>th</sup> year of service. At the COAS workshop for

faculty in their first three years of service, candidates meet with the dean, members of the tenure committee, and a faculty member who has recently completed the tenure process. For the 4<sup>th</sup> or 5<sup>th</sup> year faculty members, the Teaching Resources Center holds a 3-day workshop that is spread over a two-week time period. During the workshop, faculty members write a draft of their teaching dossier and receive feedback from both peers and workshop leaders. Candidates should talk with their colleagues about workshops available in their respective schools and departments.

### **Teaching Resources**

The best way to find out about the various teaching resources available on campus is through the Teaching Support Services Guide. This guide includes resources for developing tests, creative writing assignments, distance learning courses, and instructional videos. This site also connects candidates to such campus resources as Instructional Consulting, Language and Computer Laboratories, Libraries, Disabled Student Services and Veterans Affairs, University Information Technology Services, and many more. Another helpful teaching resource is the *Evaluation of Teaching Handbook* published by the Office of the Dean of the Faculties.

### **Research Resources**

The Office of Research and University Graduate School web site includes information about other faculty members' research interests, funding opportunities, research compliance issues, and guidelines for submitting research proposals. The Office for Women's Affairs also lists information about grants available to women faculty members.

### **Childcare**

Faculty members who are primary care providers and are on the tenure track can benefit from a variety of childcare options. Information about the childcare options available on campus is listed on the IUB Human Resources site. Although there are many childcare options available, faculty members should also be aware that they are limited in a number of ways. First, most of the slots are full-time or half-time. As a result, the drop-off and pickup hours as well as the costs are relatively fixed regardless of whether the faculty member needs fewer than full-time or half-time care hours. Second, the care offered is almost exclusively during daytime hours. Third, there are very few infant slots. Because campus childcare resources are limited, many faculty members have found it advantageous to place their names on childcare facility waiting lists as quickly as possible after identifying dates for the arrival of new children.

### **Community Support**

As faculty members progress through the tenure process, they may want to seek peer-based, informal community support from other pre-tenure faculty who are of the same gender and/or ethnicity. The Office for Women's Affairs and the Office of Multicultural Affairs, as well as the Office of Strategic Hiring and Support, can assist faculty members in making these kinds of connections.

## **Coping with Stress**

There are many resources for candidates who are having difficulty coping with the pressures of the tenure process. An excellent resource for finding a counselor is the University Benefits Office's Employee Assistance Program. This service provides free and confidential counseling 24 hours a day either by phone or in-person. In addition, stress management classes are available through University Human Resources, and stress management information is available through the University Benefits Office and Indiana University Health Center. The Division of Recreational Sports offers courses in yoga and other activities that may help with stress reduction. Some faculty members may not feel comfortable using support facilities associated with the university. If this is the case, a faculty member could take advantage of support options available in the Bloomington community.

## **Probationary Period and Tenure Review Problems**

Faculty members may experience problems, at any point in the process, from the first year through the tenure review. These problems may include negative votes, non-reappointment, unfair reviews, and discrimination. Candidates should first try to resolve the issue within their home departments or schools. If the problem is not resolvable at the department or school level, there are a number of places that candidates can go for help, including the Office of the Dean of the Faculties, Office of Affirmative Action, Mediation Committee (formerly called the Grievance Committee), and Office for Women's Affairs.

**Office of the Dean of the Faculties** - After attempts have been unsuccessful at the department or school level, candidates should consult with the Office of the Dean of the Faculties. This office can address all tenure issues. It will either help resolve the issue or will refer candidates to the appropriate office within the university, such as the Office of Affirmative Action or the Mediation Committee.

**Office of Affirmative Action** - If there is discrimination involved in the tenure process, then the Office of the Dean of the Faculties will refer the issue to the Office of Affirmative Action (OAA). The OAA will begin by conducting an informal investigation and will try to resolve the complaint informally through advising and/or alternative dispute resolution. If either party wishes to bypass an informal resolution, or when informal resolution fails and the complaining party chooses to pursue the matter formally, then OAA will pursue formal procedures. For a more detailed outline of OAA's informal and formal procedures, see the OAA web site.

**Mediation Committee** – Grievances regarding issues such as academic freedom, reappointment, salary, and the nature and condition of work may be referred to the Bloomington Faculty Mediation Committee (formerly the Grievance Committee). The Mediation Committee attempts to resolve complaints through mediation and consultation. If grievances are not resolved at this level, faculty members may choose to take their complaints to the Board of Review. Faculty members who have been denied tenure and who feel that procedures have been violated may also take issues to the Mediation Committee or the Board of Review. For more detailed information about the Mediation Committee, Board of Review, and their procedures, contact the Faculty Council or see Section D-XVI and Section E-X (parts 4d & 4e) of the Bloomington Academic Guide.

[Office for Women's Affairs](#) - Faculty members can also approach the Office for Women's Affairs (OWA) for advocacy. OWA can help faculty members learn how to understand and respond to the tenure process at each step of the way. In addition, they can provide support during the process and can help a faculty member determine a course of action if the department's tenure vote is mixed or negative.

## **END NOTE**

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In a recent opinion piece for the *Chronicle of Higher Education*, Indiana University President Myles Brand defended tenure against an increasingly vocal chorus of critics. Arguing that tenure is “indispensable,” Brand attests that “the strongest argument for retaining tenure is its crucial role in protecting academic freedom. That was a central reason for the development of the tenure system in the first place, and academic freedom remains fundamental to higher education’s mission of teaching and research” (Brand A64). Moreover, the American Association of University Professors, in its historic “1940 Statement of Principles of Academic Freedom and Tenure,” links a commitment to truth to the institutionalization of academic freedom and tenure: “The common good depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth” (AAUP).

In publishing this guide, the Office of Strategic Hiring and Support affirms the linkage that President Brand makes between academic freedom and tenure. Academic freedom must be guaranteed to minority and women faculty members, for as tenure advocate Annette Kolodny and others argue<sup>11</sup> these faculty members are especially vulnerable to censure because they challenge institutional norms and paradigms. The Office of Strategic Hiring and Support upholds the AAUP’s assertion in the 1940 statement that “The common good depends upon the free search for truth and its free exposition.” In doing so, we stress the concept of the *common*, which is defined as “belonging equally to all” (American Heritage Dictionary). This guide was written to facilitate the comprehensive realization of the goals of academic freedom and tenure equally for *all* faculty members.

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<sup>11</sup> See Gubitosi, Turner and Myers, and Menges and Exum.

## **REFERENCE LIST**

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### **University Publications (Available from the Office of the Dean of the Faculties)**

*Evaluation of Teaching Handbook*

*Information For New Academic Appointees*

*Tenure and Promotion Handbook*

*Commission on the Recruitment and Retention of Non-White and Women Faculty – Final Report, 1999*

### **Web Sites**

American Association of University Professors - <http://www.aaup.org/>

Bloomington Academic Guide – <http://www.indiana.edu/~deanfac/acadguid/>

Office of the Dean of the Faculties – [www.indiana.edu/~deanfac](http://www.indiana.edu/~deanfac)

Employee Assistance Program - <http://www.indiana.edu/~ubenefit/eap.html>

Faculty Council - <http://www.indiana.edu/~bfc/>

Indiana University Bloomington Child Care Options -

[http://www.indiana.edu/~hrm/child\\_care/](http://www.indiana.edu/~hrm/child_care/)

Indiana University Health Center - <http://www.indiana.edu/~health>

Indiana University HR Training - <http://chip.hrm.indiana.edu/td/Classes/g105a.html>

IUPUI Center for Public Service and Leadership - <http://cpsl.iupui.edu/>

Office of Affirmative Action – [www.indiana.edu/~affirm/indexns.html](http://www.indiana.edu/~affirm/indexns.html)

Office of Strategic Hiring and Support – [www.indiana.edu/~shs](http://www.indiana.edu/~shs)

Office for Women's Affairs – [www.indiana.edu/~owa](http://www.indiana.edu/~owa)

Research and University Graduate School - <http://www.indiana.edu/~rugs/>

Teaching Resources Center – [www.indiana.edu/~teaching](http://www.indiana.edu/~teaching)

Teaching Support Services Guide – [www.indiana.edu/~deanfac/tguide.html](http://www.indiana.edu/~deanfac/tguide.html)

UC Berkeley Tenure Guide – [http://amber.berkeley.edu:4205/docs/tenure\\_guide.html](http://amber.berkeley.edu:4205/docs/tenure_guide.html)

UCLA Higher Education Research Institute – <http://www.gseis.ucla.edu/heri/faculty.htm>

University Benefits Office - <http://www.indiana.edu/~ubenefit/hnstress.html>

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**Appendix A: Tenure Process Procedures For Schools With Departments  
(Business, COAS, Education, HPER, Music)**

<b>Month</b>	<b>Tenure Activity</b>
<b>April – May<sup>1</sup></b>	<ul style="list-style-type: none"> <li>❖ Candidate supplies list of external referees and sampling of work to the department chair.</li> <li>❖ Senior faculty and the department chair review the candidate’s list of referees, add their own referee recommendations, and send a final list to the school.</li> </ul>
<b>June – August</b>	<ul style="list-style-type: none"> <li>❖ Candidate compiles dossier.</li> <li>❖ Chairperson, mentor, and/or associate dean may assist candidate with the compilation of the dossier.</li> <li>❖ Schools request letters from reviewers.</li> </ul>
<b>September - October</b>	<ul style="list-style-type: none"> <li>❖ Candidate submits dossier to department. Department faculty members and chair review dossier.</li> <li>❖ Department committee completes review of dossier and submits written decision with vote and supporting rationale to department chair.</li> <li>❖ Department chair completes the review of the dossier and submits departmental decision letter and the dossier to the associate dean for review by the school’s Tenure and Promotion Committee.</li> <li>❖ The school’s Tenure and Promotion Committee completes review of the dossier and submits written decision with vote and supporting rationale to the dean.</li> </ul>
<b>November</b>	<ul style="list-style-type: none"> <li>❖ The dean completes the review of the tenure dossier and submits a written recommendation and the dossier to the dean of the faculties.</li> </ul>
<b>December - May</b>	<ul style="list-style-type: none"> <li>❖ The campus Tenure and Promotion Committee reviews and advises the vice chancellor of academic affairs and the dean of the faculties regarding the final recommendation on the candidate’s dossier.</li> <li>❖ The vice chancellor reviews candidate’s dossier and makes a recommendation to the chancellor. The chancellor reviews the candidate’s dossier and makes a recommendation to the campus president. The president makes recommendations to the Indiana University Board of Trustees.</li> <li>❖ Indiana University Board of Trustees votes on the president’s recommendation.</li> <li>❖ Chancellor/vice chancellor sends candidate official notification of decision.</li> </ul>

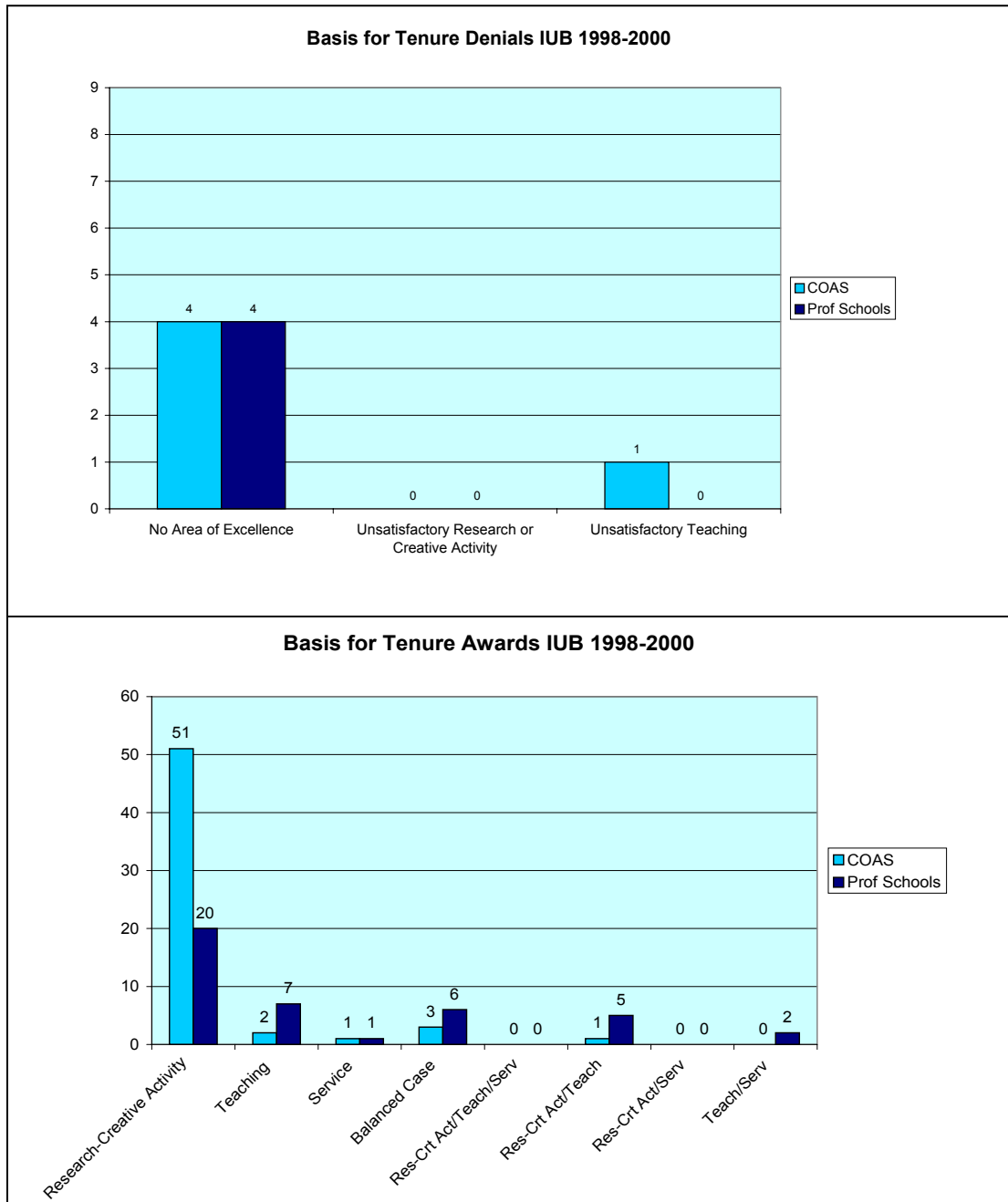
<sup>1</sup>This process begins during the 5<sup>th</sup> pre-tenure year.

**Appendix B: Tenure Process Procedures For Schools Without Departments  
(Law, Library and Information Science, SPEA, Optometry, Journalism)**

<b>Month</b>	<b>Tenure Activity</b>
<b>April - June<sup>1</sup></b>	<ul style="list-style-type: none"> <li>❖ Candidate supplies list of external referees and sampling of work to the associate dean or dean of the school.</li> </ul>
<b>June – August</b>	<ul style="list-style-type: none"> <li>❖ Candidate compiles dossier.</li> <li>❖ Mentor and/or associate dean may assist candidate with the compilation of the dossier.</li> <li>❖ Schools request letters from reviewers.</li> </ul>
<b>September - October</b>	<ul style="list-style-type: none"> <li>❖ Candidate submits dossier to associate dean or dean of school.</li> <li>❖ The school’s Tenure and Promotion Committee completes review of the dossier and submits written decision with vote and supporting rationale to the dean.</li> </ul>
<b>November</b>	<ul style="list-style-type: none"> <li>❖ The dean completes the review of the tenure dossier and submits a written recommendation and the dossier to the dean of the faculties.</li> </ul>
<b>December - May</b>	<ul style="list-style-type: none"> <li>❖ The campus Tenure and Promotion Committee reviews and advises the vice chancellor of academic affairs and the dean of the faculties regarding the final recommendation on the candidate’s dossier.</li> <li>❖ The vice chancellor reviews the candidate’s dossier and makes a recommendation to the chancellor. The chancellor reviews the candidate’s dossier and makes a recommendation to the campus president. The president makes recommendations to the Indiana University Board of Trustees.</li> <li>❖ Indiana University Board of Trustees votes on the president’s recommendation.</li> <li>❖ Chancellor/vice chancellor sends candidate official notification of decision.</li> </ul>

<sup>1</sup>This process begins during the 5<sup>th</sup> pre-tenure year.

## Appendix C: Bases for Tenure Awards and Denials\*



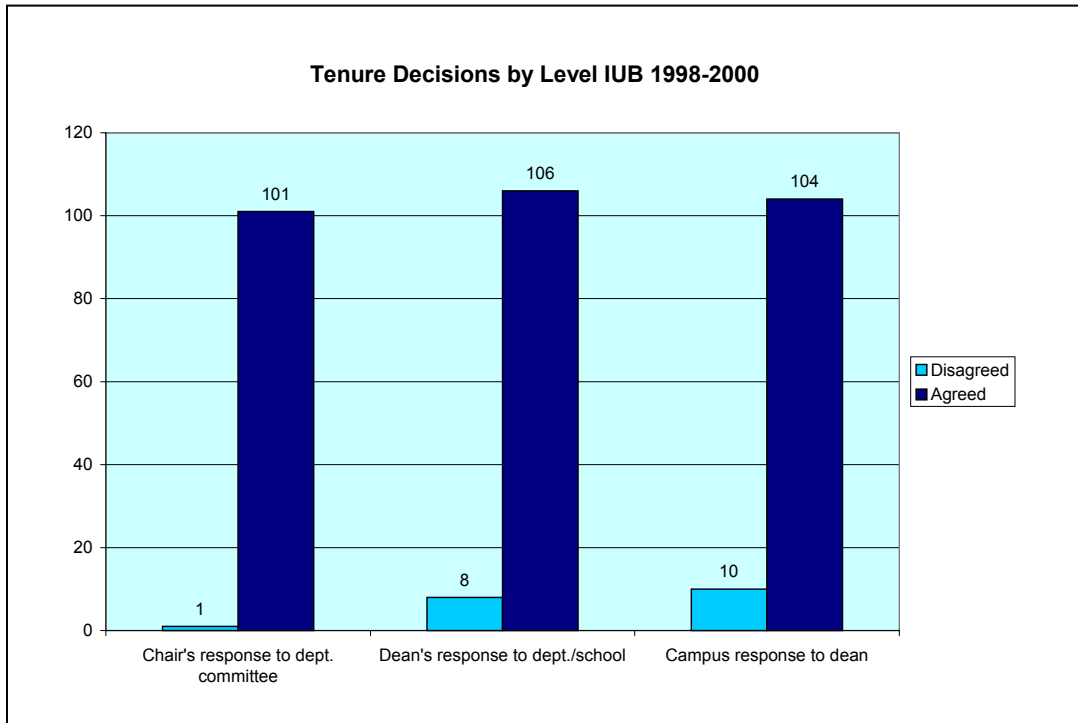
*Data provided by the Office of the Dean of the Faculties.*

Out of 114 total tenure cases, 100 faculty members, or 88%, were awarded tenure.

\*This data does not include information on librarians.

Please note that whereas candidates who receive tenure based upon a “Balanced Case” demonstrate the *promise* of excellence in all three categories of evaluation, candidates who receive tenure based upon “Research-Creative Activity/Teaching/Service” demonstrate the *achievement* of excellence in all three categories.

### Appendix D: Tenure Decisions by Level\*



*Data provided by the Office of the Dean of the Faculties.*

\*This data contains information on librarians.

## Appendix E: Leave Policies

<b>Leave Title</b>	<b>Description</b>	<b>Who Is Eligible?</b>	<b>Length</b>	<b>Count Toward Tenure?</b>	<b>Is It Paid? Full or Partial?</b>
<b>Leave of Absence Without Pay</b>	Faculty member is released from all responsibilities.	All faculty members may apply to chairperson or dean.	Normally limited to one year with a two-year maximum.	Only counts toward tenure if time is spent as full-time faculty at another institution.	Not paid.
<b>Leave of Absence from Departmental or School Duties</b>	Faculty member is released from usual teaching and committee assignments.	Faculty member who is assigned to work full-time on an extra departmental assignment or grant project.	Normally limited to one year with a two-year maximum.	Will normally not count toward tenure.	Fully paid.
<b>Partial Leave of Absence</b>	Reduction in normal assignment	Any faculty member may negotiate a partial reduction in assignment (subject to the approval of the chairperson or dean).	Normally limited to one year with a two-year maximum.	Will normally not count toward tenure (depending on the percent reduction in assignment).	Partially paid.
<b>Sick Leave</b>	Full leave of duties for major illness.	Full-time academic appointees on appointment for at least an academic year who have a major illness.	Normally limited to 6 weeks, but may be extended an additional 9 weeks if there is a medical need.	Will normally not count toward tenure.	Fully paid leave for first 6 weeks; with a medical need, leave can continue for 9 additional weeks at half-pay.
<b>Pregnancy Leave (under the traditional Sick Leave plan)</b>	Full leave of duties for pregnancy (pre-delivery, delivery, and post-partum medical needs, & complications of pregnancy and/or childbirth & termination of pregnancy).	Full-time academic appointees on appointment for at least an academic year.	Normally limited to 6 weeks, but may be extended an additional 9 weeks if there is a medical need.	Will normally not count toward tenure.	Fully paid leave for first 6 weeks; with a medical need, leave can continue for 9 additional weeks at half-pay.
<b>Family and Medical Leaves<sup>1</sup></b>	Full job-protected leave 1) To care for a child after birth or adoption; 2) To care for a spouse, child, or parent who has a serious health condition; and 3) For a serious health condition.	Any employee that has worked for Indiana University for at least a year and for 1250 hours over the previous 12 months.	Up to 12 weeks.	Will normally not count toward tenure.	Not paid.
<b>Partially-Paid Family Leave<sup>2</sup></b>	Partial leave of absence for 1) The care of a child after birth or adoption (includes both maternal and paternal leave) or 2) The serious health condition of the appointee's spouse, child, or parent. Faculty member is released from all teaching responsibilities.	Full-time academic appointees with at least 3 years of service.	Not to exceed 15 weeks or to the end of the semester, whichever comes first.	Will normally not count toward tenure.	Half pay for a maximum of 15 weeks.
<b>Leaves for Other Purposes</b>	Leaves for military tours of duty, jury duty, and appearance as subpoenaed witnesses.	Faculty appointees who have been called upon by the government for this type of civic service.	Court – For whatever period is required by the court; Military – max of 15 days in a calendar year.	Will normally not count toward tenure.	Fully paid.

<sup>1</sup>Sick Leaves and Partially-Paid Leaves more than fulfill IU's FMLA requirements. Therefore, faculty members are not eligible for separate FMLA leaves in addition to Sick Leaves and Partially-Paid Leaves.

<sup>2</sup>The frequency of this type of leave should not exceed once every 3 years. Also, in the case of the birth of a child, the appointee may wish to draw from the traditional Pregnancy/Sick Leave plan, whereby the faculty member would receive full pay for the first 6 weeks prior to rolling out the Partially-Paid Leave for the remainder of the semester.

**Appendix F: Promotion and Tenure Dossier Checklist** (From the on-line [Academic Guide](#))

Candidate \_\_\_\_\_  
Department \_\_\_\_\_

- General** / /Chairperson's personal recommendation and a summary evaluation of teaching, research/creative activities, and service.
- / /Departmental recommendation (report of exact votes or separate memos from colleagues). Departmental evaluation of teaching, research or creative activities, and service.
- / /Candidate's own statement on teaching, research, or creative activities, and service. (Required for tenure dossiers. Optional for promotion dossiers but strongly recommended.)
- Teaching** / /Courses taught each semester, no. enrolled. No. of Ph.D./M.A. committees chaired or served on.
- / /Titles (and abstracts where relevant) of any dissertations directed.
- / /Copies of any textbooks written.
- / /Evidence of any curriculum development.
- / /Evidence of quality of teaching.
- / /Evaluation by students:  
/ /Summary of student evaluation forms and the evaluation forms themselves.  
/ /Write-ups of student interviews done by unit.  
/ /Letters from *former* students (solicited by and written to someone other than the candidate).
- / /Evaluation by colleagues, preferably first-hand (e.g., team teaching, symposia, visitation by colleagues.)
- Research** A minimum of six outside evaluations to be secured by dean. Required on tenure, promotion to full rank, and promotion to *associate rank* if based on outstanding research.
- / /Copy of list of references supplied by candidate.  
/ /Copy of list of references supplied by chairperson or Dept./School committee
- / /IU colleague evaluation of research or creative activities in detail where possible.
- / /Departmental evaluation of stature of (1) journals in which publications appear or (2) museums in which showings have been presented, etc.
- / /Departmental assessment of the contribution made by candidate to coauthored work.
- / / Copies of professionally relevant publications  
and/or  
/ / Copies of creative work, reviews of creative performances and exhibitions  
and/or  
/ / Copies of research-type development projects.
- Service** / /Summary of activities (Departmental or other University service; local, state, or national service; professional or other)
- / /Evaluation by chairperson of the *quality* as well as the quantity of service.
- / /Evaluation by professional colleagues (for or with whom service was performed) of the quality as well as quantity of service.

I have given a completed copy of this checklist to the candidate and included a copy in the dossier.

Signature of Preparer: \_\_\_\_\_  
Date: \_\_\_\_\_

## **Appendix G: The Probationary Period and Tenure Review**

The below information is taken directly from the on-line Academic Guide. There are no page numbers in the on-line guide, so document numbers are listed as references instead.

### **General Information**

- Faculty assignments should be based on program needs with faculty members in positions of their greatest strength and professional interest. New faculty members should be employed with as clear an understanding as possible regarding possible assignments and teaching responsibilities on a single campus or on more than one campus. (E-XV)
- 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 ... unit of the University in which the faculty member ... is appointed shall be specified clearly. (E-X)
- The Affirmative Action Plan approved by the Trustees of Indiana University in June of 1974 requires that policies relating to reappointment and tenure shall be under constant review to ensure that women and members of minority groups are accorded equal opportunity. It also provides that an equity review shall be conducted to ensure that women and members of minority groups have been so treated. (E-XVII)

### **Annual Reviews**

- Well in advance (2-4 weeks) of any review, the faculty member must be invited to assemble and submit materials relevant to his or her teaching, research/creative activities, and service. (E-Introduction)
- Explanatory documents and letters sent to referees are to be discussed as a part of the annual review for non-tenured, tenure-track faculty members so that they may understand all current statements and interpretations as well as those in effect when hired on tenure-track appointment. (E-XXIV)

### **Dossier Preparation**

- It is not the responsibility of the individual faculty member to prepare a dossier but rather to supply information which may be utilized in its preparation. The faculty member cannot be assumed to have the expertise appropriate to this role.
- 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. (E-XXV)

### **Choice of Unit Statements**

For matters of tenure, each faculty member shall be allowed to prepare and have evaluated his/her supporting documentation under either the unit statement on tenure in existence in the unit at the time of his/her appointment or the statement in effect at the time the dossier is forwarded for consideration for tenure. (E-IX)

### **Nonreappointment Notice**

Faculty members are to be given at least three months' notice during their first year of service (by February 1), six months' notice during their second year of service (by November 15), and twelve months' notice after two or more years of service (by May 1). (E-II)

## **Review of Non-reappointment Decisions**

*Note: The below provisions are excerpts from a longer policy document (E-X) specifying procedures in the event of non-reappointment, including denial of tenure. Faculty members who wish more complete information on these procedures are advised to consult this document.*

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. ... 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 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 or librarian of the written statement of the reasons for non-reappointment.