

purpose of the annual review is to provide input on the faculty member's progress in the areas of teaching, research, and service, leading to the tenure review year (or, for non-tenure track faculty, to reappointment on a long-term contract) and to promotion. Annual reviews also provide information for use in salary recommendations and other assessments. To be most beneficial to the faculty member, these reviews should be candid and critical appraisals of the faculty member's work and should call attention to weaknesses as well as strengths. The department chair or senior administrator should meet with the faculty member to discuss the review, and there should be a final comprehensive document generated within a short period of time after this meeting. This final comprehensive document should be fully edited to incorporate all the notes and a summary of the discussion between the chair and the faculty member that conveys the chair's evaluation in light of faculty input. This final version of the comprehensive document should be signed and dated by the supervisor and the faculty member. One printed copy of the signed document should be given to the faculty member at that time and another kept by the department, along with electronic copies. Although campus and university policies do not require annual peer reviews, they are strongly recommended, and some school bylaws may make such a provision.

Reappointment Recommendations

Inherently, the reappointment recommendation constitutes a written form of review. After the period of initial appointment, reappointment is considered annually until the end of the probationary period, and thereafter, for non-tenured faculty, at intervals one year prior to the end of a multi-year appointment. Most schools base reappointment recommendations on the annual review, but faculty subject to annual reappointment should become familiar with the procedures followed in their respective units. Although campus and university policies do not require committee reviews for reappointment, some school bylaws make such provision.

Policy on Third-Year Formative Review of Tenure-Probationary Faculty and Librarians

IUPUI faculty and librarians (hereinafter referred to collectively as "the faculty" or "the faculty member(s)") represent our campus's most valuable resource. The university makes a substantial long-term investment in its faculty. Our tenure-probationary faculty's success must be among the highest priorities for all campus administrative officers.

While IUPUI has in place an annual review policy mandating that all faculty members be provided with a yearly written evaluation of their work in the areas of teaching, research, and service (or, in the case of librarians, the equivalent areas of performance, professional development, and service), these annual reviews are frequently conducted by the department chair or the school dean alone, without the participation of a peer review committee.

The Policy

To ensure that all tenure-probationary faculty members benefit from helpful and meaningful assessments of their progress toward promotion and tenure near the mid-point of their probationary period, a THREE-YEAR FORMATIVE REVIEW [hereinafter referred to as the "REVIEW"] shall be conducted on all such faculty members during the spring semester of the third year of their appointments in accordance with the following guidelines.

Applicability

This policy applies to all tenure-probationary faculty members at IUPUI, with the exceptions noted immediately below. The term "third year" refers to the third full academic year of the tenure-probationary faculty member's appointment. However, faculty members who enter with one year of credit toward tenure are in their "third year" during their second full academic year of appointment, and those who enter with two years of credit are in their "third year" during their first full academic year of appointment. Those who enter either with tenure or with more than two years of credit toward tenure are exempt from the REVIEW.

Procedures

In schools or units where faculty-approved policies or guidelines for conducting the REVIEW already exist, those policies or guidelines should be followed to the extent that they do not seriously conflict with the general procedures set forth below. If there is conflict, especially regarding due dates and required

documentation, such schools or units ought to resolve it by either revising their policies or guidelines accordingly or negotiating special arrangements with the Office of Academic Affairs.

In schools or units where such policies or guidelines have not yet been formulated or approved by the faculty, the REVIEW shall in the interim be conducted in adherence with the following general considerations.

1. The chief purpose of the REVIEW is to provide tenure-probationary faculty members with feedback from the school or unit level review committees regarding their cumulative progress toward promotion and tenure. Hence, other than the department chair or school dean, involvement by the department's Primary Committee (where applicable) and/ or the school's Unit Committee (where applicable) in the REVIEW is essential.
2. The order of review and deliberation involving the department chair or school dean and the Primary and Unit Committees should generally follow the sequence and procedure used by each school in handling ordinary tenure and promotion cases.
3. The faculty member being reviewed should submit only⁴ a candidate's statement together with an up-to-date vita (in accordance with the "IUPUI Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers"). The statement (not to exceed five pages) should be similar in organization to the statement the faculty member would expect to write at the time of making a case for promotion and tenure. In particular, it should clearly state the anticipated area(s) of excellence or the intention to request consideration on the basis of a balanced case.
4. The department chair or school dean and the primary and unit committees (where applicable) must each provide the faculty member with a written assessment that includes evaluation of progress toward promotion and tenure, using normal and appropriate metrics that will eventually be employed in a tenure decision. If the chair, the dean, or the committees identify any problems, their assessment must include specific suggestions for remedy aimed at helping the faculty member and the faculty member's department or unit in their efforts to rectify the problems.

Documentation and Reporting

A copy of each review report, whether by the committees, the chair, or the dean, shall be communicated to the faculty member under review within three days of the time it is completed.

To ensure that the REVIEW is properly conducted for all applicable tenure-probationary faculty members, the dean of each school shall be responsible for submitting copies of the chair's (if applicable), the dean's and the committees' reports on all tenure-probationary faculty members who have been reviewed to the chief academic officer through the Office of Academic Affairs by May 1 each year. One searchable PDF with the reviews, candidate's statement, and CVs should be submitted to the Office of Academic Affairs using the current procedure.

Limitation on the Use of the REVIEW

The thrust of the REVIEW shall be to help the tenure-probationary faculty member's success. The REVIEW and its findings shall NOT be used by the department chair or the school dean, or the chief academic officer, as the basis for a tenure decision, a pre-tenure decision, a reappointment or non-reappointment decision, or any personnel action of like kind. The tenure-probationary faculty member is not limited in the use of the REVIEW.

Faculty Affairs Committee 1/2007

IUPUI Faculty Council 1/2007

Dates and offices changed 2016 and 2018.

Edited by Faculty Guide Committee to add reference to ACA-21, 07/2020

Edited to reflect change from Box.com to more generic sentence for submission procedure, 05/2021

⁴Some schools require far more than this (e.g., list of potential reviewers, summary of pre-IU professional activities, previous annual reviews, letters from students, or even a dossier "that is identical in substance and format to that which they will submit for the actual review two years later"). The present policy does not encourage premature requisites or burdensome requirements.