

# College of Arts and Sciences

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## Interdepartmental Memo

To: Chairs and Directors

From: Robert A. Becker, Executive Associate Dean

Date: September 8, 2008

Subject: **Procedures for Senior Hires**

New procedures implementing the CPC's revised policy for senior hiring are detailed below. The College's process is aligned with the Provost's new procedures.<sup>1</sup>

### 1. Authorization and Search

1. Obtain recruiting authorization from the Dean.
2. Obtain ad approval from the Exec. Assoc. Dean. 3 letters are required from the candidates with submission of their applications (the timing of the receipt of these letters can vary across departments --- note the procedures below that connect to this point).
3. Each reference letter should come from a different institution.
4. Form a search committee. It is expected to exhibit a diverse membership when the job posting comes to this office for approval in the edoc-lite system. It is expected that the search committee also have an interdisciplinary membership for searches with interdisciplinary scope.
5. File the job posting using edoc-lite. It should include the search committee membership and the ad. Approval from the Office of Affirmative Action (OAA) should follow. It includes the assignment of the the OAA number, which is used for internal tracking purposes. Send the OAA number to the Exec. Assoc. Dean and Sue Weaver . A copy of the ad should also be included (it is best to get prior approval of the text for your advertisement from the Exec. Assoc. Dean before posting the position). The ad cannot be placed until the position is formally approved by the College and campus.
6. Place the ad(s) following College and Campus approval: one ad must be in a print source (for visa reasons).
7. The Department should be keeping track of its efforts to diversify the applicant pool as this information will be needed later.
8. Once the ad closing date is realized, the department search committee forms a short list of 4-6 candidates that MIGHT be brought to campus to interview. This step should follow preliminary phone interviews or off campus interviews such as those that take place at professional meetings.

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<sup>1</sup> The CPC and Provost's official policies are attached in the appendix.

## 2. The Interview Request

**NOTE: There is new campus policy as well as College policy at this step.**

9. The Interview Request is filed via edoc-lite. The 4-6 names are rank ordered and the top 2-3 candidates are noted as ones sought for interviews at that time. The College pays for 2 interviews (according to its policy rules) and pays for a 3<sup>rd</sup> if one of the candidates is female or an under-represented minority. It is expected that the short list will reflect a strong commitment to achieve a diverse faculty in the department.
10. Prior to approval of the Interview Request approval from the Provost and the Dean's office must be obtained. The College will implement the Provost's new policy (full text in the appendix) in the following order. First, the chair should obtain the Dean's approval. The Dean's office will then forward the required documents to the Provost for her approval.

**College:** To obtain approval, send the Executive Associate Dean and the Dean a brief memo, via email, which describes a candidate's scholarly expertise and accomplishments, and the evidence used to assess teaching effectiveness. Your memo should also briefly explain how that person is expected to contribute to the department's mission or help fulfill its strategic plan. Any available reference letters should also be sent at this time. **The candidate's *curriculum vitae* should be appended to your memo as an electronic attachment. For candidates who have not yet received tenure at a peer institution your memo will need to be a longer one that provides substantial assurance about an extensive and rigorous evaluation with regard to research or creative activity, teaching and service.**

These documents help the Dean prepare for the interview as well as satisfy the College and Provost procedural requirements. These materials also serve another important objective: It is best to make sure the College is, in principle, willing to consider the candidates based on their credentials as presented at that time. This does not imply the College (or Provost) will automatically approve an offer to one of those individuals. Rather, it is important to find out if there are any problems that need to be addressed before an invitation is issued ---- example: does the candidate already have tenure at a peer institution? If not, this should be discussed with the Dean before an invitation is issued as a senior appointment is, by definition, a tenured position. The CPC policy requires the entire Tenure Committee to review the full application dossier in this situation before an offer can be finalized.

As the Provost notes in her policy statement:

Requests for approval will be turned around quickly, so this additional step should not delay the recruitment process. Please remember, too, that this requirement of prior approval for on-campus interviews supplements but does *not replace* current governing policies on faculty recruitment. After completion of this preliminary approval process, hiring units will follow established IUB search & screen policies for new academic appointees-- for example, obtaining approvals for Interview Requests, Offer Requests, and Offers to Recommend Appointments.

11. Once the Dean and Provost are agreed on granting an interview for the candidate, the Exec. Assoc Dean will approve the edoc-lite Interview Request and send it to the campus. Approvals from the Affirmative Action Office and the Dean of Faculties should follow. Once the campus agrees with the College's recommendation by approving the Interview Request, the candidates are invited to IU for an interview.

### 3. The Campus Visit

12. Candidates expecting a tenured offer must meet with the Dean and Dean of Faculties. If the Dean is unavailable, the Exec. Assoc. Dean will meet with the candidate. The Department and candidates will need to hold some candid discussions about key issues (detailed below). Some items could be addressed before an invitation is issued. However, all must be discussed no later than during the campus visit. The candidate should have a frank discussion with the Department chair about the following items:
  - a. The CPC review policy (attached below) will require on average 4 weeks, and might vary from 2 weeks to 12 weeks depending on how long it takes to organize and present a **Full Application Dossier**.<sup>2</sup> The composition of this dossier is detailed below. It is advised that candidates receive a written copy of the CPC policy.
  - b. The need for the department to solicit at least 3 additional letters for their dossier as well as other materials on the candidate's record. The department and Dean's office will agree on the list of those additional referees. Chaired or titled professorships will require 12 letters (6 solicited by the Department).
  - c. An outline of the candidate's startup and salary needs. If lab renovations or animal research are factors, then it is imperative that the department chair initiate the process for estimating lab costs and arranging for the OVPR/LAR policy to be satisfied and approvals obtained.<sup>3</sup>

### 4. The Faculty Vote

13. After all candidates have visited, the department will need to prepare the dossiers on any candidate for whom a vote will be taken and a recommendation to appoint be made. This step recognizes that the potential matchup between the candidate and the department might not prove fruitful following the interview and the intent is to focus on the candidates that the department can expect to engage in serious negotiations.
14. Faculty vote: the faculty vote must be made with the full application dossier available to the voters in a timely manner. **IMPORTANT NOTE:** All letters must be available in the dossier before the faculty votes. The outcome of the vote will be reported in the final version of the full application dossier submitted to the Dean's office. **The intent is to mimic the procedure and criteria for P&T on the basis of excellence in research.**

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<sup>2</sup> Also known as the **mini-dossier** in the CPC policy statement.

<sup>3</sup> See point 20 below.

15. Departments may signal the good news about their vote. The candidate can be told that the full application dossier will be submitted to the College based on the faculty vote. It is critical that no formal offer terms are conveyed at this stage to avoid stepping across a boundary where an offer might be perceived to have been made. Official IU policy says an offer can only be made by the Dean. **We must avoid situations where chairs open negotiations without the College's agreement.**

## 5. The College Review and Negotiations

16. The full application dossier goes to the Dean with the department's official vote and the chair's recommendation. The Chair should also include details on **expected** salary and startup costs. The Chair should also state whether or not the Department has office space available should the candidate accept.
17. This documentation is the basis for the mandated CPC review. No negotiations can be undertaken with the candidate on behalf of the College until the review process is successfully completed and the Dean has issued a final approval.
18. Spousal or partner accommodation needs should have surfaced by now. **Important Note: The review of a spouse or partner will not be authorized until the College has agreed to hire the candidate.** If a candidate's spouse or partner seeks a faculty appointment, then the appropriate hiring procedures will be followed. Tenured appointments will follow the process outlined in this document. It is best practice to work directly with the Dean's office if an accommodation is sought. Chairs should **not** approach other IU Schools if an accommodation is sought without prior approval from the Dean or the Executive Associate Dean. Assuming a successful review by the College P&T committees according to the CPC policy, the candidate can now be notified and negotiations begin on the final form of the offer. It is expected that the Dean's office will be consulted and approve all terms. Chairs will conduct the negotiations and act as the bridge between the candidate and the College administration.
19. Science departments that bring candidates for a second visit to examine space should do this after the College review is completed and the Dean has agreed to tender an offer. Space and renovations should be put into a final form appropriate for the College to formulate the startup package. If animal research is to be undertaken, then OVPR's LAR form should be completed at this time.

## 6. The Offer Request, Dean's Letter, and Campus Approval

20. Once the final package is agreed, the official letter is written and the edoc-lite Offer Request and Offer to Recommend Appointment are filed. The Offer to Recommend Appointment is also known as "the contract" which will be signed upon its acceptance by the candidate as well as by the Chair and Dean. NOTE: An offer cannot be tendered without campus approval by the Affirmative Action office, the Dean of Faculties, and the Provost. Approval by campus officers can also take some additional time beyond the time taken for the College's internal review.

Campus guidelines are that tenured offers not be submitted to campus review until the negotiations are completed and the candidate has, in principle, accepted our terms.<sup>4</sup>

21. Upon campus approval the Dean's offer and "contract," or Offer to Recommend Appointment and other documents are sent to the candidate by overnight courier.
22. Hopefully the offer is accepted. The contract is signed by the candidate and returned with other required forms.

## Appendix: The Full Application Dossier, Provost, CPC, and OVPR Policies

### The Full Application Dossier

**NOTE: the department cannot vote on the candidate until this document is completed.** Therefore, departments are encouraged to begin preparing their dossiers as early in the recruiting process as possible. The more proactive the department and candidate are on this front, the sooner the mandated P&T review procedure and Dean's review can be undertaken. The dossier that is voted on by the department should consist of the following items:

1. A summary of the search procedures, including the steps taken to diversify the applicant pool.
2. The Candidate's CV
3. The Department's internal evaluation of the candidate's research, teaching and service. That evaluation should include a statement of how the candidate helps the department achieve its strategic planning objective(s). Evidence of outstanding research as well as satisfactory teaching and service are also expected (see below).
4. External letters: 3 from the candidate given as part of the application process as well as 3 additional letters solicited by the Department with the agreement of the Dean's office. It is campus policy that senior appointments must be made with **at least 6 letters of reference. The College expects each reference to come from a different institution.**
5. If the appointment includes a titled professorship, the College mandates that a total of 12 external letters be included in the dossier with 6 referees chosen by the department. These letters should clearly address the candidate's record of research achievement as one that is worthy of a titled appointment.
6. A list of the candidate's Ph.D. students should be included as well as any postdoctoral students mentored.
7. It is **highly desirable** (but not absolutely required) that teaching evaluations be made available. Selected syllabi are also sought for inclusion in the documentation for satisfactory teaching.
8. A list of the candidate's service activities should be included, particularly emphasizing service to the home department, campus, and profession. Journal or book series editorial duties should be clearly noted.
9. **IMPACT Statement: the Department must address the broader impact on the College and IU of hiring the candidate. Does the candidate contribute beyond the department to some overarching College or University objective? Will the candidate engage in multidisciplinary**

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<sup>4</sup> There are additional steps if the May 1 rule comes into play --- see the Appendix.

research? Bring special distinction to IU by virtue of public service activities (e.g. chairing national committee)?

### **The Provost's Policies: Offers with Tenure and the May 1 Rule.**

Provost Hanson's policy dated September 3, 2008 pertaining to offers with tenure and the May 1 rule are quoted in their entirety below.

**Offers with Tenure to Faculty at Other Institutions.** Because decisions to grant tenure are extremely important, with long-term implications for the future of a university, campus oversight is appropriate for the recruitment of faculty to tenured positions. The baseline presumption is that offers with tenure are extended to candidates who have undergone successful review for tenure at peer institutions. For all job candidates for whom a tenured appointment is contemplated, evidence should be obtained that documents a record of effective teaching and outstanding research or creative activity.

For prospective faculty recruits who have not already been granted tenure at a peer institution, schools and departments should obtain evidence that is comparable to what the unit requires for granting tenure to internal candidates. In such cases, where offers with tenure are contemplated, letters of recommendation should be obtained from persons selected by faculty in your unit; they should not all come from referees selected by the candidate.

All faculty appointments require the approval of the Provost, but the current procedure for securing approval defers oversight until the end of the hiring process. While this may function well with junior hiring, it could be problematic in connection with senior hires. To facilitate smooth and timely communication in this crucial academic matter, please obtain approval from the Office of the Provost before extending invitations to on-campus interviews for all candidates who expect to be granted tenure at IUB at the time of appointment, both those coming from tenured posts and those who would be newly tenured.

To obtain approval, send the provost ([provost@indiana.edu](mailto:provost@indiana.edu)) a brief memo, via email, which describes a candidate's scholarly expertise and accomplishments, and the evidence used to assess teaching effectiveness. The candidate's *curriculum vitae* should be appended to your memo as an electronic attachment. If the candidate has previously received tenure at a peer institution, no other materials need come forward at that time. For other candidates, I should receive a longer memo that provides substantial assurance about an extensive and rigorous evaluation with regard to research or creative activity, teaching and service.

Requests for approval will be turned around quickly, so this additional step should not delay the recruitment process. Please remember, too, that this requirement of prior approval for on-campus interviews supplements but does *not replace* current governing policies on faculty recruitment. After completion of this preliminary approval process, hiring units will follow established IUB search & screen policies for new academic appointees-- for example, obtaining approvals for Interview Requests, Offer Requests, and Offers to Recommend Appointments.

**May 1 Rule.** Like other CIC and AAU institutions, IU observes the rule that offers to faculty at other institutions must be made on or before May 1 for the following fall semester. The principal purpose of this rule is to avoid disruption to academic programs. Of course, inquiries about an individual's interest in an appointment at IU may be pursued at any time. But formal offers must abide by the May 1 deadline. This rule applies to all appointments of faculty who hold tenure-line appointments at other institutions. Exceptions to this rule may be granted at the discretion of the administrative head of the candidate's current institution, often the dean of the candidate's unit or the campus provost.

## **CPC: Policy for Tenured Faculty Appointments and OVPR Policy on Animal Research Labs**

### **Policy for Tenured Faculty Appointments (1997; Revised 2006; REVISED and RENAMED 2008)**

When hiring faculty members who are to be granted tenure at the time of appointment, the Dean shall create an ad hoc committee drawn from the current Tenure and Promotion Committee. This committee will examine a mini-dossier which includes a CV, evidence of teaching effectiveness, and external letters of support. Six letters are required, of which three will be solicited by the department; twelve letters will be solicited if the faculty member is to be a named professor, of which six will be solicited by the department. The department chair will submit an assessment of the faculty member's research, teaching effectiveness, service, and positive impact on the college. If the dossier raises concerns, the Dean will consult other members of the Tenure or Promotion Committee to reach a resolution. In the case of candidates who do not already have tenure or who did not receive it at a comparable institution, the full Tenure Committee will review the case on the basis of a similar level of documentation to that expected for internal tenure reviews.

## **OVPR LAR Policy Statement**

**Office of Research Compliance**

### **New Faculty Hire - Facilities Notice of Intention Route Sheet**

**Lab Animal Facilities & Support**

**Chemical, Biological, or Radiation Safety Support**

**UNITS CANNOT EXTEND A FORMAL OFFER OF EMPLOYMENT UNTIL THIS ROUTE SHEET CONTAINS**

**ALL NECESSARY APPROVALS – Contact: OVPR, 855-2157**

Indiana University provides assurances to regulatory agencies that our research facilities meet all regulatory requirements. The information requested on this route sheet is critical for the advanced planning necessary to remain in compliance in all areas at all times.



Space Management, Tom Swafford, Bryan Hall  
008 \_\_\_\_\_

Risk Management, Larry Stephens, Poplars  
705 \_\_\_\_\_

University Architect's Office, Robert Meadows, Service  
Bldg. \_\_\_\_\_

Office of the Vice Provost for Research, Jeffrey White, Carmichael  
L03 \_\_\_\_\_

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