

**List of Policies  
Office of Academic Affairs  
School of Optometry  
Indiana University**

<i>Policy</i>	<i>Date Adopted</i>	<i>Date(s) Amended/ Revision Approved</i>
Academic Fairness Committee	9/29/1987	2/9/1994
Composition and Duties of the Standing Tenure and Promotions Committee	2/7/1990	4/26/1993 2/9/1994
Criteria for Tenure and Promotion	4/20/1993	3/6/1995
Guidelines for the Recruitment of Faculty	9/22/1993	
Faculty Load Expectations	10/13/1993	
Timetable for Submission and Transmission of Promotion Dossier	2/9/1994	
Timetable for Submission and Transmission of Tenure Dossier	2/9/1994	
Lectureships, Clinical Ranks and Conversion to Tenure Track Positions	4/27/1994	5/10/1994
Guidelines for Appointment and Promotion of Clinical Rank Faculty	5/10/1994	3/6/1995

**Academic Fairness Committee  
School of Optometry  
Indiana University**

**I. Composition**

- A. The Academic Fairness Committee shall be composed of three students and three faculty, chosen by the Dean of the School of Optometry.
- B. Members of the Academic Fairness Committee shall serve for three-year terms (September to September) on a rotating basis to preserve continuity.

**II. Charge of the Committee**

- A. The charge of the Committee is to consider, arbitrate and adjudicate grading disputes in case of procedural errors, and in cases where evaluation on non-academic grounds is alleged.
- B. Issues dealing with substantive quality of the student's academic performance and involving intrinsic, professional, academic judgments by a faculty member lie outside the Committee's jurisdiction.

**III. Preliminary Procedures**

The Academic Fairness Committee shall not usurp the traditional channels of grievance for students in the School. It shall, rather, provide a recourse of last resort. The chairperson of the Academic Fairness Committee will therefore insure that the following preliminary procedures have been followed before bringing a case before the Committee.

- A. Whenever a student enrolled in a course in the School of Optometry believes that his or her work has not been evaluated on the basis of academic performance, he or she shall first arrange a meeting with the instructor for an explanation.
- B. A student who believes that he or she has not received a satisfactory resolution of his or her grievance from the instructor shall then go to the Associate Dean for Academic Affairs of the School of Optometry for further appeal. A student who believes that he or she has not received a satisfactory resolution of his or her grievance from the Associate Dean for Academic Affairs shall then go to the Dean of the School of Optometry for further appeal.
- C. If the student is still dissatisfied after consultation with the Dean, he or she shall then have direct access, without prejudice and without delay, to the Committee on Academic Fairness through its chairperson.

**IV. Committee Procedures**

- A. When a case is presented to the Committee, the Committee shall investigate it, making sure all parties involved have a full opportunity to present their positions. To protect the parties involved, the hearings and their results will be private.
- B. The Committee shall determine if the grade was inappropriate and recommend a remedy. Decisions to change a grade must command at least four affirmative votes.
- C. When the Committee reaches its decision, it will inform the student, the faculty member, and the Associate Dean for Academic Affairs of its recommendation. The opinion shall be supported by a written statement of its basis.
- D. If the Committee's decision is that the grade should be changed, the faculty member (i.e. course instructor) will be asked to initiate the change. If the faculty member declines, the Committee will advise the Dean of the change to be made. The Dean will notify the Registrar's Office of the change.

Adopted 9/29/1987  
Revised 9/15/1993  
Approved 2/9/1994

**Composition and Duties of the  
Standing Tenure and Promotions Committee  
School of Optometry  
Indiana University**

- I. We the Optometry Faculty of Indiana University hereby create a standing Tenure and Promotions Committee whose regular members shall consist of all full professors of the School of Optometry. In decisions regarding tenure, membership on the Standing Tenure and Promotions Committee shall be extended to include all tenured faculty. The Committee shall select its own chairperson from among its ranks and its activities shall be reported upon periodically to the Optometry Faculty.

The Committee's responsibilities shall include the following:

A. On matters concerning **tenure** the Committee shall:

- 1) complete a detailed review of the tenure and promotions dossier of each non-tenured, tenure track Optometry faculty member at the end of the third year of the probationary period;
- 2) periodically report to the Associate Dean of Optometry for Academic Affairs on the progress towards tenure of each non-tenured Optometry faculty member;
- 3) insure that each prospective tenure candidate is fully apprised, annually, of his/her progress towards tenure;
- 4) assist the Associate Dean for Academic Affairs in the creation and selection of a primary peer review committee to evaluate the candidate for tenure;
- 5) join with all other tenured Optometry faculty members to render the School-level evaluation of the candidate for tenure.

B. On matters concerning **promotion** the Committee shall:

- 1) at the request of a faculty member, assist in the preparation of a promotions dossier;
- 2) assist the Associate Dean for Academic Affairs in the selection of a peer review committee for candidates for promotion;
- 3) serve as a recipient of recommendations for promotion (each Indiana University faculty has the privilege of recommending the promotion of any IU faculty member, "including himself or herself." [*Academic Handbook – Indiana University*]);
- 4) serve as members of the School-level promotions committee.

- II. In no case shall any member of any of the above committees be permitted to cast more than one vote with regard to a promotion or tenure decision.
- III. Sequence of events to be followed in the evaluation of any candidate for tenure or promotion:
  - A. The Associate Dean for Academic Affairs shall appoint a three to four-person “primary peer review committee” for each case of tenure and/or promotion.
  - B. The “primary committee” shall review and transmit the dossier to the Associate Dean for Academic Affairs with its vote and recommendations.
  - C. The Associate Dean for Academic Affairs shall review the dossier, the actions of the primary peer review evaluation, make recommendations and transmit the dossier to the School Tenure and Promotions Committee.
  - D. The School Committee shall review the dossier and transmit its vote and recommendations to the Dean of the School of Optometry.
  - E. The Dean shall review the dossier, add his recommendations and transmit the dossier to the Dean of Faculties.

Adopted 2/7/1990  
Amended 4/26/1993  
Revised 11/30/1993  
Approved 2/9/1994

## **Criteria for Tenure and Promotion School of Optometry Indiana University**

Tenure and promotion decisions at Indiana University are based on three major areas of faculty performance: teaching, research/creative activity, and service. Faculty members must be judged as excellent in at least one of these areas, and be satisfactory in the others, to receive tenure and/or promotion. A candidate for promotion also “may present evidence of a balance of strengths that promises comparable benefits to the University over time.”<sup>1</sup>

In addition, “tenure considerations must take into account the mission of the particular unit and the individual faculty member’s contribution to that mission.”<sup>2</sup> The major purposes of the optometry program are:

1. to qualify men and women for the practice of optometry;
2. to instill in the graduate a scientific and professional attitude;
3. to provide a background for the graduate’s contribution to the civic and social welfare of the community;
4. to encourage and facilitate graduate and postgraduate study in optometry and visual sciences;
5. to encourage and facilitate research in the clinical aspects of optometry and in fundamental sciences germane to optometry;
6. to contribute to the scientific and professional literature;
7. to train men and women as optometric technicians and/or opticians.<sup>3</sup>

This document lists guidelines for excellence in teaching, research/creative activity, and service with application to the mission of the School of Optometry.

A common aspiration of all optometry faculty is to make a significant contribution to the science and profession of optometry which is recognized beyond the walls of this School and this University. Accordingly, we have developed School-wide guidelines based on a need for an international and/or national reputation in one’s chosen area of excellence. This is in accordance with the goals of the University,<sup>4</sup> which grants tenure and promotion to faculty who have become known outside the University for how well they perform within the University.

This document suggests guidelines for both promotion and tenure, although the emphasis may differ slightly between them.

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. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments.<sup>5</sup>

Therefore, guidelines are proposed here for evaluating individual potential for tenure decisions and past accomplishments for promotion. Satisfactory performance in each area can be demonstrated by reasonable progress in each category and may include many aspects of

excellence. Items listed under a particular category, such as case reports or grant review committees, may be shifted to another area if properly justified by the candidate.

## Guidelines for Excellence

- Teaching** International and/or national reputation as an outstanding teacher, as well as acknowledged effective teaching at the School level.  
*For example, this may be achieved by the development of new courses on a national level or the development of a text or course that revolutionizes teaching at a national level.*
- Excellence in producing books, chapters, peer-reviewed case reports, or other peer-reviewed publications related to teaching.
- Excellence in peer-reviewed continuing education courses delivered at the state, national, or international level.
- Development of new and significant didactic or clinical courses, clinical areas of expertise, and/or teaching programs within the School curriculum.
- Incorporation of major revisions into existing didactic or clinical courses, clinical areas of expertise, and/or teaching programs.
- Development and/or application of progressive or innovative techniques in teaching.
- Advisor to optometry, graduate student, or resident scholarly activity which culminates in a student-prepared, publishable paper or project.
- Commendatory solicited and unsolicited evaluations of clinical teaching, didactic teaching, and/or continuing education by peers.
- Commendatory solicited and unsolicited evaluations of clinical and/or didactic teaching by former students.
- Commendatory in-class evaluations of clinical and/or didactic teaching by students.
- Research** International and/or national reputation as an outstanding basic or applied researcher. *In addition to outside letters, evidence can include prestigious awards and medals from professional societies, associations and organizations.*
- Excellence in publishing high quality research papers, review articles, or case reports in peer reviewed journals or in monographs. Textbooks and textbook chapters which reshape an area of expertise, present new ideas, or incorporate scholarly research may also be considered. *Position of authorship on every publication is not critical, as long as a major creative component of the*

*contribution can be demonstrated. Faculty are encouraged to publish their research and scholarly work in the top journals within their field.*

Scholarly activity leading to useful inventions and patent applications, or demonstrated progressiveness in the development or utilization of new clinical or laboratory approaches and techniques for the solution of professional problems.

Consistent record of progress in application for and receipt of significant grant or contract support from funding sources external to the University.

*Consistency may mean, for example, successful award or renewal of competitive national grants, pilot studies leading to successful external funding of more extensive studies, or the negotiation of external funding due to the faculty member's pre-existing reputation. Significant is what each faculty member themselves could justify to be support for an extended research program.*

Presentation of invited or contributed papers on research activity at meetings of scientific and professional societies.

## **Service**

International and/or national reputation of consistently distinguished service contributions to international, national, University, local, and state organizations, particularly as an agent of progress and achievement within the specific service activity.

*Excellence in service may be achieved both within or outside of established administrative positions. Recognition of service contributions through receipt of honors and awards from international and national professional organizations are especially meritorious.*

Excellence in producing papers, monographs, and other publications related to service.

Distinguished service as a member of international or national governmental or agency committees, commissions, advisory boards, task forces, and/or grant review committees.

Distinguished service as an officer or a committee chair of international or national professional or scholarly organizations.

Distinguished service as a technical advisor or consultant to international or national agencies or service providers.

Distinguished service as an editor, member of editorial boards, or scientific referee of major professional journals.

Excellence in presenting continuing education at international, national, state or local meetings.

Distinguished service as a committee chair of University and/or School committees, commissions, advisory boards, and task forces.

Distinguished service as a member of regional, state and local committees, commissions, and/or advisory boards.

Submitted by:  
Faculty Development Committee  
April 14, 1993

Chairman: Carolyn Begley  
Members: Robert DeVoe  
John Gelvin  
Edwin Marshall

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<sup>1</sup> February 12, 1993 University Faculty Council Amendment to Indiana University Academic Handbook 1992; p. 27.

<sup>2</sup> Tenure and Promotion Handbook: Indiana University Bloomington, Dean of Faculties Office 1989; p. 8.

<sup>3</sup> Indiana University Bulletin: School of Optometry 1993/5; p.1.

<sup>4</sup> Tenure and Promotion Handbook: Indiana University Bloomington, Dean of Faculties Office 1989; p. 5-10.

<sup>5</sup> Tenure and Promotion Handbook: Indiana University Bloomington, Dean of Faculties Office 1989; p. 8.

Adopted 4/20/1993  
Revised 3/6/1995

**Guidelines for the Recruitment of Faculty  
School of Optometry  
Indiana University**

***I. Initiation of the Search***

- A. The decision to initiate a search must be made in response to the current and/or projected future requirements of the School of Optometry. Generally, one of two scenarios will lead to the decision to initiate a search for a new faculty member:
  - 1. An individual resigns or retires from the Faculty.
  - 2. It is deemed essential or desirable, in order to carry out the mission of the School, that another individual be added to the Faculty.
  
- B. A Faculty Policy Committee (FPC), consisting of three to five members and representing all academic areas within the School, should exist as a standing committee of the Faculty. The FPC should be charged with the task of identifying the type(s) of individual(s) that will best meet the current and future needs of the School.
  - 1. The mandatory academic, professional and/or managerial requirements and other desirable qualifications of prospective applicants should be identified specifically by the Committee.
  - 2. When appropriate, the FPC will present its recommendations to the Faculty for discussion and vote.
  - 3. The recommendations of the FPC shall be accompanied by a fiscal analysis on the ability of the School to employ a new faculty member at the recommended level or appointment rank. The analysis should identify the source of current or projected funds necessary to support the new faculty member. Consideration should be given to the projected income (e.g., from grant support and tuition costs) initiated by the new faculty member and its impact on the School budget.

***II. Formation of the Search and Screen Committee***

- A. Following approval by the Faculty of the Faculty Policy Committee's recommendations to initiate a search for a new member of the Faculty, the Dean or his designate (e.g., Associate Dean for Academic Affairs) will appoint members to the Search and Screen Committee (SSC).
  
- B. Members of the Search and Screen Committee should be representative of all academic areas within the School. Greater representation may be given to the academic area for which the search is directed.

***III. The Search and Screen Process (Charge to the Committee)***

- A. The first task of the Search and Screen Committee is to produce a written description of the projected contributions to be made by a new faculty member, and the responsibilities that he or she will be expected to fulfill (i.e., job description).
  - 1. The SSC can define eligibility based on the identification of single, multiple or general roles of faculty activity.
  - 2. The roles and description of eligibility identified by the Search and Screen Committee should be in concert with the approved recommendations of the Faculty Policy Committee.
  - 3. The roles and description of eligibility are to be published in all advertisements for the position.
  - 4. When appropriate, the mandatory requirements and desirable qualifications of prospective applicants should be presented in the advertisement or other recruitment activity for the position.
- B. The search period, with a specified closing date, will be determined by the Search and Screen Committee.
- C. The Search and Screen Committee will examine the dossiers of each candidate. (The curriculum vitae of each candidate will be available to the general faculty for their independent review and evaluation.)
  - 1. The SSC will evaluate all applicants to determine if they meet the mandatory requirements and if they have the necessary qualifications for the position.
  - 2. Applicants who do not have the necessary requirements will not receive further consideration by the SSC.
  - 3. Applicants who do have the necessary requirements will be further evaluated on the degree to which they possess the requirements and other desirable qualifications.
  - 4. Based on its evaluation, the SSC will prepare a “short list” of eligible candidates in rank order.
- D. The Search and Screen Committee will present the short-list of candidates to the Faculty at the first available general Faculty meeting or, if necessary, at a specially called meeting of the Faculty.
  - 1. A brief analysis of how each candidate on the short list could contribute to the School will be provided by the Committee.

2. Feedback from the Faculty regarding the short list of candidates will be requested by the SSC.
- E. The Search and Screen Committee will schedule visits for each candidate on the short list. The visit will include, at the minimum:
1. A formal lecture and/or seminar presented by each candidate.
  2. Interviews of each candidate with the Dean, Associate Deans and Faculty, particularly those members of the Faculty with relevant areas of academic interest.
  3. A reception or other social event at which all faculty will have the opportunity to meet each of the candidates.

#### ***IV. Whom to Hire***

- A. Upon completion of the search and screen process, a special meeting of the Faculty will be convened.
1. A vote shall be taken and recorded to identify which candidate(s) the Faculty approve of hiring.
  2. The vote, plus any recommendations, are to be forwarded to the Dean with the request to hire the selected candidate(s).
- B. The desire to appoint a new faculty member “with tenure” will involve a detailed examination of the candidate’s credentials by the School and the University. The Dean or his designate (e.g., Associate Dean for Academic Affairs) will be responsible for preparing the tenure dossier of the prospective faculty member for review by the School and University tenure committees.
- C. The Dean will contact the successful candidate(s) and negotiate the terms of appointment.

#### ***V. “Tenure Track,” “Clinical” and “Temporary” Appointments.***

- A. Search and screen activity will be initiated for clinical appointees only if the percentage of clinical appointments in the School of Optometry falls below the 15% limit set by Indiana University. [See *Faculty Recruitment, Appointment and Development, School of Optometry, Indiana University – Lectureships, Clinical Ranks and Conversion to Tenure Track Positions*]
- B. The procedures outlined in this document apply to the appointment of all new permanent clinical and tenure track faculty positions.

- C. Since the hiring of faculty should be the responsibility of all permanent faculty, all permanent clinical and tenure track faculty members are eligible to vote on issues involving the recruitment and appointment of individuals to permanent faculty positions.
- D. Because of the transient status of their position, faculty holding temporary positions will not be allowed to vote on issues involving the appointment of permanent clinical or tenure track faculty.
- E. Once initiated, the process of searching for and hiring new faculty members may not be terminated or delayed without a majority vote of the Faculty of the School of Optometry.

Revised 9/22/1993  
Adopted 9/22/1993

**Faculty Load Expectations  
School of Optometry  
Indiana University**

Expected minimum teaching loads for tenure track faculty in the School of Optometry will be twelve credit hours per academic year or two full days per week in the clinic or an appropriate combination of the two.

Non-tenure track (clinical rank) faculty will have an expected teaching load of four days per week in the clinic.

In addition to this minimum teaching load, the faculty load will include appropriate research and/or other scholarly activity and service activity.

Reductions in the minimum expectations in any area can be negotiated in consideration of activities beyond expected and normal levels in other areas.

Each faculty member will attach to the Annual Faculty Summary Report a plan describing how the faculty member proposes to meet or exceed the minimum load requirements for the coming year.

The Faculty Policy Committee will evaluate these plans and recommend to the Dean appropriate action for granting exceptions to the minimum load requirements.

Adopted 10/13/1993

**Timetable**  
**Submission and Transmission of Promotion Dossier**  
**School of Optometry**  
**Indiana University**

<i>Date</i>	<i>Activity</i>
15 May	Notification of intent to submit a promotion dossier given to the Associate Dean for Academic Affairs by the candidate and/or the nominator of the candidate
1 June	Appointment of promotion committee(s) for each candidate by the Associate Dean for Academic Affairs
14 June	Submission of updated curriculum vitae, outside reference list and publications by each candidate to the Associate Dean for Academic Affairs
15-17 June	Preparation of outside reference list(s) by the Associate Dean for Academic Affairs
18 June	Submission of the Associate Dean for Academic Affairs' outside reference list(s) and each candidate's curriculum vitae, outside reference list and publications to the Dean of the School of Optometry
25 June	Mailing by the Dean of the School of Optometry letters (accompanied by the candidate's curriculum vitae and publications) soliciting outside evaluations of each candidate
1 November	Submission of dossier(s) by candidate(s) to the Associate Dean for Academic Affairs
1 November	Transmission of dossier(s) by the Associate Dean for Academic Affairs to the chair(s) of each candidate's respectively appointed promotion committee
1-8 November	Review of dossier(s) by each candidate's appointed promotion committee
8-12 November	Vote on the decision for promotion by each candidate's appointed promotion committee, and preparation of the committee recommendation(s) by the respective committee chair(s)
12 November	Transmission of the vote and recommendation of each candidate's appointed promotion committee with candidate's dossier to the Associate Dean for Academic Affairs
12-16 November	Review of dossier(s) and preparation of recommendation(s) by the Associate Dean for Academic Affairs

- 16 November      Transmission of the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed promotion committee(s), and the dossier(s) to the Chair of the School Promotion and Tenure Committee
  
- 16-22 November    Review of dossier(s) by the School Promotion and Tenure Committee
  
- 22-24 November    Vote on the decision for promotion by the School Promotion and Tenure Committee, and preparation of the Committee's recommendation(s) by the Committee Chair
  
- 24 November      Transmission of the vote(s) and recommendation(s) of the School Promotion and Tenure Committee, the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed promotion committee(s), and dossier(s) to the Dean of the School of Optometry
  
- 24-29 November    Review of dossier(s) and preparation of recommendation(s) by the Dean of the School of Optometry
  
- 30 November      Transmission of recommendation(s) of the Dean of the School of Optometry, the vote(s) and recommendation(s) of the School Promotion and Tenure Committee, the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed promotion committee(s), and the complete dossier(s) to the Dean of Faculties of Indiana University-Bloomington
  
- 1 December        Deadline for receipt of all promotion documents by the Dean of Faculties of Indiana University-Bloomington

Adopted 2/9/1994

**Timetable**  
**Submission and Transmission of Tenure Dossier**  
**School of Optometry**  
**Indiana University**

<i>Date</i>	<i>Activity</i>
30 April	Notification of the required tenure decision cases for the next academic year transmitted to the Dean of the School of Optometry by the Dean of the Faculties of Indiana University-Bloomington
15 May	Name(s) of the tenure candidate(s) for the next academic year given to the Associate Dean for Academic Affairs by the Dean of the School of Optometry
1 June	Appointment of tenure committee(s) for each candidate by the Associate Dean for Academic Affairs
14 June	Submission of updated curriculum vitae, outside reference list and publications by each candidate to the Associate Dean for Academic Affairs
15-17 June	Preparation of outside reference list(s) by the Associate Dean for Academic Affairs
18 June	Submission of the Associate Dean for Academic Affairs' outside reference list(s) and each candidate's curriculum vitae, outside reference list and publications to the Dean of the School of Optometry
25 June	Mailing by the Dean of the School of Optometry letters (accompanied by the candidate's curriculum vitae and publications) soliciting outside evaluations of each candidate
1 October	Submission of dossier(s) by candidate(s) to the Associate Dean for Academic Affairs
1 October	Transmission of dossier(s) by the Associate Dean for Academic Affairs to the chair(s) of each candidate's respectively appointed tenure committee
1-8 October	Review of dossier(s) by each candidate's appointed tenure committee
8-13 October	Vote on the decision for tenure and/or promotion by each candidate's appointed tenure committee, and preparation of the committee recommendation(s) by the respective committee chair(s)

13 October	Transmission of the vote and recommendation of each candidate's appointed tenure committee with candidate's dossier to the Associate Dean for Academic Affairs
13-15 October	Review of dossier(s) and preparation of recommendation(s) by the Associate Dean for Academic Affairs
15 October	Transmission of the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed tenure committee(s), and the dossier(s) to the Chair of the School Promotion and Tenure Committee
15-22 October	Review of dossier(s) by the School Promotion and Tenure Committee
22-25 October	Vote on the decision for tenure and/or promotion by the School Promotion and Tenure Committee, and preparation of the Committee's recommendation(s) by the Committee Chair
26 October	Transmission of the vote(s) and recommendation(s) of the School Promotion and Tenure Committee, the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed tenure committee(s), and dossier(s) to the Dean of the School of Optometry
26-28 October	Review of dossier(s) and preparation of recommendation(s) by the Dean of the School of Optometry
29 October	Transmission of recommendation(s) of the Dean of the School of Optometry, the vote(s) and recommendation(s) of the School Promotion and Tenure Committee, the recommendation(s) of the Associate Dean for Academic Affairs, the recommendation(s) and vote(s) of the appointed tenure committee(s), and the complete dossier(s) to the Dean of Faculties of Indiana University-Bloomington
1 November	Deadline for receipt of all tenure documents by the Dean of Faculties of Indiana University-Bloomington

Adopted 2/9/1994

# Lectureships, Clinical Ranks and Conversion to Tenure Track Positions

## School of Optometry

### Indiana University

#### **I. Definitions** [*Academic Handbook, Indiana University*]

##### A. Lecturer

1. This title is used in the appointment of a full-time instructional position of an individual who lacks some of the credentials (often the terminal degree) usually expected of a tenured or tenure-probationary faculty member with the unit. Provided that the individual has gone through the procedures expected of a prospective Instructor or Assistant Professor, the initial appointment may specify that conversion to a higher rank will be automatic. Under special circumstances, some Lecturers may remain in this status because of various factors (no expectations of completing the terminal degree, honorific nature of the appointment, etc.). Service as a Lecturer is not to be counted as credit toward tenure or sabbatical leave if the individual is subsequently given a tenure-probationary appointment.

##### B. Clinical Ranks

1. The prefix “Clinical” is used for appointees with rank of Lecturer through Professor who may be appointed as full-time salaried, part-time salaried, or volunteer members in those units (usually the health services) where clinical instruction is offered. Full-time salaried clinical appointees, including ...optometrists... providing patient-related services, shall represent no more than 15% of the total full-time faculty of each school. Where an individual is employed as a clinical appointee on a continuing or recurring basis, promotion in rank should go through the normal procedures appropriate to that unit of the University. These individuals earn academic promotion primarily on the basis of their contribution and achievement in teaching and patient services. The University is not obligated to count service as a Clinical appointee as credit toward tenure if the appointment is later changed to a full-time [tenured] faculty appointment.

#### **II. Background**

- A. For various reasons, some of the individuals appointed to faculty positions by the School of Optometry were not appointed to tenure track positions. In such situations, the title of Lecturer was used frequently by the School to describe the initial and continuing appointments of non-tenure track appointees. Although not used specifically for that purpose, the Lecturer appointment was given often to individuals in clinically related positions. Some of the Lecturer appointments were subsequently converted either to other non-tenure track (e.g., Clinical) appointments or to tenure

track appointments. However, some Lecturer appointments have continued, unchanged over the years.

- B. In 1987, the University Faculty Council approved the guidelines for the implementation of clinical ranks. [*Minutes, University Faculty Council Meeting, February 10, 1987*] In a December 1988 memorandum to the faculty, Dean Jack W. Bennett of the School of Optometry outlined the general guidelines [Jack W. Bennett, Interdepartmental Communication: *Implementation Guidelines for Clinical Ranks, 12/15/88*]:
1. During a transition period extending through June 30, 1989, any tenured or tenure track faculty member of an eligible school may change to the clinical rank upon request, including those who may have been reviewed for tenure.
  2. After June 30, 1989, faculty may hold a clinical rank appointment only by initial appointment or by mutual agreement during the first five years of the probationary period; transfer from a tenure track appointment to a clinical appointment would not be possible during the final two years of the probationary period. In all cases, transfer to the clinical ranks would not be allowed except on the recommendation of the department chair [associate deans for clinic and academic affairs], dean, dean of the faculties, and chancellor.
  3. Should a faculty member holding a clinical rank appointment seek transfer to a tenured or tenure track appointment, the transfer would be considered as a new appointment requiring the same review expected of other new appointees. A new search would not be required if the applicant for a transfer were initially appointed through an approved affirmative action search. No prior service credit may be given for service in clinical ranks.
- C. Clinical appointments were adopted by the School for the purpose of placing some faculty in positions of full-time clinical teaching and patient care service (i.e., four full days in clinic providing patient care and one day of administrative/service activity). However, because of professional interest and/or academic necessity, most of the Clinical appointees in the School of Optometry either have requested, been offered or been recruited to undertake responsibilities (e.g., didactic lecturing, research and administration) that more closely resemble those of tenured and tenure-probationary appointees. Consequently, little difference now exists between the scheduled and unscheduled activities of most tenure track and non-tenure track appointees.

### **III. Concept**

- A. The Lecturer appointment may be used as a convertible appointment for entry level individuals who need time to develop academically before being placed into a tenure-probationary appointment.

- B. The Clinical appointment will be used exclusively, as possible, for the purpose for which it was intended: clinical teaching and patient services.

#### **IV. Rationale**

- A. The review of tenure track faculty leading to a recommendation of tenure or non-reappointment is to take place no later than the sixth year of probationary service, and the total probationary period of tenure track faculty may not exceed seven years [*Academic Handbook, Indiana University*]. Faculty without prior research experience, such as that received through graduate training, may require additional time to develop the training and skills necessary to compete successfully for tenured positions in the School of Optometry. Time in rank as a Lecturer could serve this purpose.
- B. Full-time Clinical appointments could comprise the nuclear faculty unit for clinical training and patient care activity in the School's clinics. Also, such appointments could facilitate the continuity of clinical instruction for students and the continuity of care for patients in the clinics. Time spent in faculty activities outside of the clinical setting can comprise this continuity and may be unjustified under the traditional Clinical appointee concept. [See *Guidelines for Appointment and Promotion of Clinical Rank Faculty, Indiana University School of Optometry*]
  - 1. In accordance with the policy on Clinical ranks outlined in the Indiana University Academic Handbook, the Clinical rank faculty of the Indiana University School of Optometry are appointed as full-time salaried, part-time salaried or volunteer members whose primary obligation is clinical instruction and patient care.
  - 2. The appointees' main responsibilities lie in the areas of patient-related services, clinical teaching and supervision of student clinicians.

#### **V. Plan**

- A. Clinical rank appointees (e.g., Clinical Assistant Professor) will be given the option of continuing in their current position or applying for conversion to a tenure-probationary appointment (e.g., Assistant Professor).
- B. Those Clinical appointees who wish to remain in the Clinical ranks will be asked to adjust their schedules as needed to engage in activities that best reflect the Clinical rank appointment. However, if possible, flexibility will be allowed to accommodate the demands of the existing activities of continuing Clinical appointees.
  - 1. Promotion in rank of Clinical appointees (e.g., from Clinical Assistant Professor to Clinical Associate Professor) will proceed through the normal procedures for promotion in the School of Optometry. Promotion will be based primarily on contributions and achievements in clinical teaching and patient services. [See

*Guidelines for Appointment and Promotion of Clinical Rank Faculty, Indiana University School of Optometry]*

- C. Individuals with Clinical appointments who succeed in having their appointments converted to tenure-probationary appointments will be encouraged and supported to continue their development of a broad base of faculty activity, including didactic lecturing and research.
  - 1. Assuming that the individual went through the normal search and screen and affirmative action procedures of the University prior to the initial appointment, a Clinical appointee may elect to convert to a tenure track appointment with the advice and consent of the Dean of the School of Optometry, following consultation with the School's Faculty Policy Committee and Promotion and Tenure Committee.
  - 2. In the event that the individual has not previously gone through the regular search and screen and affirmative action procedures of the University, the individual must apply for an advertised position and undergo the normal University search and screen process.
  - 3. The conversion to a tenure-probationary appointment will occur with zero years of credit toward tenure from service as a Clinical appointee.
  - 4. Once the conversion from a Clinical appointment to a tenure-probationary appointment is completed, the individual will not be permitted to convert back to a Clinical appointment. Reappointment will be based upon a positive review and the recommendation for tenure at the completion of the tenure-probationary period. [See *Criteria for Tenure and Promotion, Indiana University School of Optometry*]
- D. As Clinical rank positions are vacated by individuals converting to tenure track positions, new individuals can be recruited under the normal search and screen procedures of Indiana University to fill the vacant Clinical rank positions (up to the 15% limit).
  - 1. The activity of new Clinical appointees will be directed toward clinical teaching and patient care service. Other types of faculty activity (e.g., didactic lecturing, research, administration), will be supported on an individual basis following consultation with the Associate Dean for Academic Affairs and the Associate Dean for Clinics.
- E. Under certain circumstances, following the normal search and screen and appointment procedures of the University, and with the approval of the individual and the School of Optometry, junior or entry level faculty members may be appointed initially as Lecturers for a "pre-probationary period" of two to three years.

1. Following completion of the pre-probationary period and any specified requirements (e.g., a masters level graduate program), agreed upon at the time of the initial appointment, individuals appointed as Lecturers under this plan will be converted automatically to tenure-probationary appointments.
2. Failure to complete the specified requirements during the pre-probationary period may result in non-reappointment.
3. The pre-probationary period as Lecturers will accrue zero years of credit toward tenure upon conversion to a tenure-probationary appointment.

***VI. Effective Date***

- A. This plan will become effective immediately upon approval by the faculty of the School of Optometry of Indiana University.

Adopted 4/27/1994  
Amended 5/10/1994

# **Guidelines for Appointment and Promotion of Clinical Rank Faculty School of Optometry Indiana University**

## ***I. Definition [Academic Handbook, Indiana University]***

### **A. Clinical Ranks**

1. The prefix “Clinical” is used for appointees with rank of Lecturer through Professor who may be appointed as full-time salaried, part-time salaried, or volunteer members in those units (usually the health services) where clinical instruction is offered. Full-time salaried clinical appointees, including ...optometrists... providing patient-related services, shall represent no more than 15% of the total full-time faculty of each school.

## ***II. Classification of Clinical Ranks***

- A. The following rank classification structure is used by the School of Optometry (Indiana University uses the rank code of IRM – Instructional Rank Medical – to identify clinical rank appointments):

1. Clinical Lecturer in Optometry (IRM5)
2. Clinical Assistant Professor of Optometry (IRM3)
3. Clinical Associate Professor of Optometry (IRM2)
4. Clinical Professor of Optometry (IRM1)

- B. The following rank classification is not used by the School of Optometry:

1. Clinical Instructor in Optometry (IRM4)

## ***III. Qualifications for Appointment to a Clinical Rank at Indiana University***

- A. The qualifications for each of the ranks should be basically equivalent to those set forth for tenure track members of the faculty [the following descriptions are based on extractions from *A Proposal for Creating Non-Tenure Track Faculty Ranks at Indiana University*, Circular U3-87]:

1. A person at the rank of *Clinical Lecturer in Optometry* would lack some of the credentials usually expected of persons at the clinical assistant professor rank. At the minimum, a person at this rank would have completed the requirements for the Doctor of Optometry (OD) degree, or its equivalent, and licensure or eligibility for licensure to practice optometry in the state of Indiana.

2. Typically, a person at the rank of *Clinical Assistant Professor of Optometry* would have completed the appropriate degree or certification in his or her discipline (e.g., licensure, specialty certification, residency, advanced degree). A person at this rank would be fully capable of performing clinical duties normally associated with the profession or specialty and would typically work under the direction and supervision of the department and chief of the division or specialty. The individual may assume instructional assignments within their specialty area.
3. A person at the rank of *Clinical Associate Professor of Optometry* would have demonstrated clinical competence in developing and administering their specialty clinic. This individual would also have developed and performed demonstration and lectures as part of the education or training programs of the department.
4. A person at the rank of *Clinical Professor of Optometry* would have shown a career of continued growth in clinical skills and teaching with recognition from the Associate Dean for Clinics, the chief of the specialty area, and other senior full-time faculty. The individual would be capable of performing independently within the limits of the specialty discipline and provide supervision over junior faculty and other clinical personnel.

#### ***IV. Description of Duties for Clinical Rank Faculty in the School of Optometry***

- A. In accordance with the policy on Clinical ranks outlined in the Indiana University Academic Handbook, the Clinical rank faculty of the Indiana University School of Optometry are appointed as full-time salaried, part-time salaried or volunteer members whose primary obligation is clinical instruction.
- B. The appointees' main responsibilities lie in the areas of patient-related services, clinical teaching and supervision of student clinicians.

#### ***V. Qualifications for Appointment to a Clinical Rank in the School of Optometry***

- A. Initial appointments of Clinical rank are given to individuals with the following minimum qualifications:
  1. The candidate has the ability to perform clinical duties, consisting primarily of patient care, clinical teaching and student-clinician supervision.
  2. The candidate has documented evidence of the education and credentials required to perform the clinical duties and to carry out the responsibilities of the appointment. Completion of the Doctor of Optometry (OD) degree, or its equivalent, and licensure or eligibility for licensure to practice optometry in the state of Indiana comprise the formal educational requirements and minimum credentials for appointment.

## **VI. Recruitment**

- A. The decision to recruit a new member of the faculty in the clinical rank position will follow the process outlined in the *Guidelines for the Recruitment of Faculty, School of Optometry, Indiana University*, adopted 9/22/93.
  - 1. The search and screen process for clinical rank faculty will be the same as the process specified for the search and screen of any permanent faculty positions by the School of Optometry.

## **VII. Term and Review of Appointment**

- A. The initial appointment to the Clinical faculty is normally for one year. Near the end of the first year's appointment, the appointee's performance is reviewed by the Associate Dean for Clinics. The results of this review are discussed with the appointee, and recommendations for renewal or denial of a subsequent one year appointment are made to the Dean of the School of Optometry. This process continues until the fourth year of appointment.
- B. In the fourth year of the Clinical appointment, an extensive, formal review is conducted by a peer review committee, specially appointed for this purpose by the Associate Dean for Academic Affairs and the Associate Dean for Clinics.
  - 1. The peer review committee is comprised of faculty who are familiar with the duties, responsibilities and accomplishments of the faculty member(s) under review.
  - 2. The peer review process will follow guidelines similar to those adopted by the School for the review of tenure track faculty (see *Composition and Duties of the Standing Tenure and Promotions Committee, School of Optometry, Indiana University*).
  - 3. Appeals of negative decisions can be petitioned by the faculty member to the School's Faculty Policy Committee.
- C. Subsequent appointments (i.e., reappointments after the fourth year) are for periods of five years, with formal review during the fourth year of each five-year cycle.

## **VIII. Evaluation and Promotion**

- A. Where an individual is employed as a clinical appointee on a continuing or recurrent basis, promotion in rank should go through the normal procedures appropriate to that unit of the University. These individuals earn academic promotion primarily on the basis of their contribution and achievement in clinical teaching, patient care and service related activities.

- B. Promotion of non-tenure track faculty shall follow the same criteria as promotion for tenure track faculty. Teaching, creative work, and services which may be administrative, professional, or public are long-standing University promotion criteria. Promotion considerations must take into account, however, differences in mission between campuses, and between schools within some campuses, as well as the individual's contribution to the school/campus mission. The relative weight attached to the criteria above should and must vary accordingly. A candidate for promotion should normally excel in at least one of the above categories and be a participant in the others. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. [*A Proposal for Creating Non-Tenure Track Faculty at Indiana University, Circular U3-87; Academic Handbook, Indiana University*]
- C. Promotion in rank of Clinical appointees in the School of Optometry will proceed through the normal University procedures for promotion.
- D. Clinical faculty members who are candidates for promotion within Clinical ranks must demonstrate excellence in clinical instruction and patient care. General promotion guidelines are as follows:
1. Promotion from *Clinical Lecturer in Optometry* to *Clinical Assistant Professor of Optometry*.
    - a. The candidate has completed the requirements for licensure to practice optometry in the state of Indiana.
    - b. The candidate has completed the appropriate education and credential requirements (e.g., completion of a residency program, advanced degree, equivalent training or experience).
    - c. The candidate has demonstrated excellent potential in clinical teaching and patient care.
  2. Promotion from *Clinical Assistant Professor of Optometry* to *Clinical Associate Professor of Optometry* – this advancement is based on continued improvement, whether in quality of teaching, in scholarship, or in the performance of service roles [*Academic Handbook, Indiana University*].
    - a. The candidate has maintained the appropriate credentials, training or experience.
    - b. The candidate has demonstrated innovation and excellence in clinical teaching and patient care (under certain circumstances, demonstration of innovation and excellence in didactic instruction may be applicable).

- c. The candidate has demonstrated excellent administrative skills (for example, documented evidence of enhanced efficiency and/or effectiveness in the delivery of patient services and/or the operation of a clinical unit).
  - d. The candidate has received positive evaluations of teaching from colleagues and students.
  - e. The candidate has demonstrated potential and contributions in the areas of professional and public service (under certain circumstances, demonstrated potential and contributions in creative activity and clinical research may be applicable). Evidence of performance may include publications in refereed professional journals, memberships and effectiveness in professional societies, participation in continuing education programs and other public service activity.
3. Promotion from *Clinical Associate Professor of Optometry* to *Clinical Professor of Optometry* – this promotion is based upon achievement beyond the level required for the associate professorship [*Academic Handbook, Indiana University*].
- a. The candidate has maintained the appropriate credentials, training or experience.
  - b. The candidate has demonstrated innovation and excellence in clinical teaching and patient care (under certain circumstances, demonstration of innovation and excellence in didactic instruction may be applicable).
  - c. The candidate has demonstrated excellent supervisory skills (for example, documented evidence of the ability to monitor directed activity and/or delegated authority).
  - d. The candidate has received positive evaluations of teaching from colleagues and students.
  - e. The candidate has demonstrated exceptional performance in the areas of professional and public service (under certain circumstances, demonstrated potential and contributions in creative activity and clinical research may be applicable).

## **IX. *Clinical Faculty Personnel Policies***

### **A. General Policy**

- 1. The School of Optometry faculty adopted the following policy regarding Clinical faculty [*Faculty Meeting Minutes, School of Optometry, September 13, 1990*]:

“Within the School of Optometry, Clinical rank faculty ... are considered regular members of the faculty and enjoy the full rights and privileges accorded to all members of the faculty.”

B. Conversion of Clinical Appointment to Tenure Track Appointment.

1. Assuming that the individual went through the normal search and screen and affirmative action procedures of the University prior to the initial appointment, a Clinical appointee may elect to convert to a tenure track appointment with the advice and consent of the Dean of the School of Optometry, following consultation with the School’s Faculty Policy Committee and Promotion and Tenure Committee. [See *Lectureships, Clinical Ranks and Conversion to Tenure Track Positions, School of Optometry, Indiana University*]
2. In the event that the individual has not previously gone through the regular search and screen and affirmative action procedures of the University, the individual must apply for an advertised position and undergo the normal University search and screen process.
3. The conversion to a tenure track appointment will occur with zero years of credit toward tenure from service as a Clinical appointee.
4. Once the conversion from a Clinical appointment to a tenure track appointment is completed, the individual will not be permitted to convert back to a Clinical appointment.

C. Eligibility for fringe benefits (i.e., retirement plan, insurance, leaves of absence, and vacation) is consistent with that of tenure track faculty of the University.

1. Under current University guidelines, Clinical appointees are not eligible for sabbatical leave.

X. ***Effective Date***

- A. This policy will become effective immediately upon approval by the faculty of the School of Optometry of Indiana University.

Adopted 5/10/1994  
Revised 3/6/1995