Indiana University-Purdue University Columbus (IUPUC)
Expectations for Promotion and/or Tenure
Division of Education
Version 1/15/2014

A. Introduction

Promotion and tenure decisions are critical to the future of IUPUC and to its faculty individually and collectively. Therefore, it is essential that each candidate for promotion and/or tenure be treated fairly and evaluated using clearly stated criteria.

This document describes specific criteria to be used for promotion and/or tenure evaluations at IUPUC, while acknowledging the subjective value judgments and flexibility required by the process. Division heads should provide these criteria to each faculty member within one month after initial appointment and should make all necessary efforts to address faculty members’ questions and concerns about the criteria.

These criteria also serve as a basis for annual reviews of faculty, and division heads should provide each faculty member with an unambiguous written assessment of his/her performance each year. These criteria are also used during the Three Year Review of tenure-track faculty, which provides a formative assessment (separate from the annual review) of the individual’s professional development and prospects for being recommended for tenure at the end of the probationary period.

Regarding promotion, the Indiana University Academic Handbook states:
Teaching, research and 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 missions. The relative weight attached to the criteria… should and must vary accordingly. A candidate for promotion [or tenure] should normally excel in at least one of the above categories [research/creative activity, teaching, or service] and be at least satisfactory...) or effective.... in the others. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. In all cases the candidate’s total record should be assessed by comprehensive and rigorous peer review. 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.

With regard to tenure, the Handbook states:
After the appropriate probationary period, tenure shall be granted to those faculty members ... whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for
Tenure and the criteria for promotion are similar, but not identical... Tenure will generally not be conferred unless the faculty member... achieves, or gives strong promise of achieving, promotion in rank within the University.

The main objective of the promotion and tenure process is to retain and reward faculty who are making significant contributions to their programs, divisions, IUPUC, and the University. Each candidate is to be evaluated with this primary objective in mind, recognizing that there are many ways faculty may contribute.

Peer review is the principle that underlies promotion and tenure decisions, thus these decisions are to be made substantively at the program (primary) level, where the faculty member’s activities are best known and can best be evaluated. Primary level decisions must be made rigorously and subsequent evaluations will consider whether stated criteria have been satisfied and whether evaluation procedures have been followed satisfactorily. However, regardless of how explicitly criteria for teaching, research, and service are stated, evaluations will involve value judgments which are in part subjective. Evaluators at every level use their experience and judgment to decide whether criteria have been met and exercise flexibility in weighting responsibilities and commitments across areas of faculty work as each candidate’s case requires.

The primary mechanism for evaluation of scholarship, whether in teaching, research, or service is through the dissemination of peer-reviewed works, including articles, books and book chapters, and conference proceedings or papers. Although these criteria provide specific numbers of published works as a general guideline for evidence of excellence, simply counting these products is not adequate; some works are more significant than others and flexibility is needed to address this. It is important to evaluate the intellectual content of the works and their impact or potential impact. Work that breaks new ground is more significant than work that is routine or which simply extends the work of others in a straightforward way. A smaller body of high impact works may be judged a greater contribution than a larger body of lower impact works. In evaluating co-authored work, it is essential that the contribution of the candidate be clearly described.

Below are criteria for promotion and/or tenure for the faculty classifications at IUPUC. Because dissemination of peer-reviewed work is required for advancement, quantitative guidelines are provided for these requirements. Other items provide further evidence in support of meeting performance levels in the categories of faculty work, and while faculty are NOT required to accomplish all of these additional items, those achieved should be addressed in dossiers and reviews.

B. Tenure Track Faculty

Promotion to associate or full professor requires excellent performance in at least one of the areas of teaching, research, or service, and at least satisfactory performance in the other two areas. Unsatisfactory performance in any area will preclude promotion or award of tenure. In some instances, but currently not in Purdue programs, promotion based on a balanced case may be possible, which requires a rating of highly satisfactory in each area of faculty work.
Promotion from Assistant Professor to Associate Professor (with tenure):

1. Criteria for Research

To receive a rating of excellent performance in research, the candidate must meet criteria A, B, and C.

A. An active research program leading to a record of peer-reviewed research publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Typically, four or more peer reviewed research publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship.

B. A record of peer reviewed research presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed research presentations will support a case for excellence, but extra (beyond four) peer reviewed research publications can compensate for fewer peer reviewed research presentations.

C. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
   - A record of continued development as an independent researcher
   - Research grants
   - Proposals for research grants
   - Mentoring undergraduate and/or graduate research
   - Honors or awards for research
   - Citations of research publications
   - Invitations to review research-related submissions for professional journals or conferences
   - Invitations to serve on editorial boards, etc.
   - Invitations to serve as a chair or discussant of a research-paper session at a conference
   - Other evidence that a research program has achieved emerging regional or national recognition for its contributions to a field

To receive a rating of satisfactory performance in research, the candidate must meet criteria A, B, and C.

A. An active research program resulting in at least one peer reviewed research publication in rank, consisting of articles in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications.

B. A record of at least two peer reviewed research presentations at regional, national and/or international conferences while in rank.

C. Some of the activities listed in item C for excellence in research.
2. Criteria for Teaching

To receive a rating of excellent performance in teaching, the candidate must meet criteria A, B, C, and D.

A. A record of peer-reviewed teaching publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Teaching publications include direct contributions to the scholarship of teaching and learning and other scholarly publications that are demonstrated to enhance or be informed by the candidate’s teaching. Typically, three or more peer reviewed teaching publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship. Note that faculty making a case for excellence in teaching must have at least one peer reviewed research publication to achieve a satisfactory rating in research.

B. A record of peer reviewed teaching presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed teaching presentations will support a case for excellence, but extra (beyond three) peer reviewed teaching publications can compensate for fewer peer reviewed teaching presentations.

C. Evidence of excellent teaching practice as demonstrated by student evaluations, peer evaluations, and other equivalent measures.

D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
   - Other published materials pertaining to teaching, such as manuals or innovative curricular materials
   - A teaching load that contributes significantly to the division’s teaching responsibility to meet student and program needs
   - Demonstrated measurable student learning outcomes
   - Incorporation of high impact practices in teaching
   - Teaching grants
   - Proposals for teaching grants
   - Honors or awards for teaching
   - Significant mentoring of students, including directing student research, internships, etc.
   - Effective student advising
   - Documented efforts to improve teaching, which may include course or program development or curricular changes, mentoring faculty, and presenting at or attending workshops on teaching
   - Serving as a reviewer for scholarship of teaching and learning journals or academic presses which publish work on teaching and learning
   - Other evidence that of an emerging regional or national recognition for outstanding teaching practice
To receive a rating of satisfactory performance in teaching, the candidate must meet criteria A, B, and C.
A. Student satisfaction measures that are consistently favorable or have improved over time.
B. A record of continuing peer evaluation that indicates satisfactory teaching.
C. Some of the activities listed in item D for excellence in teaching.

3. Criteria for Service

Faculty members provide service to the University, the profession, and the public, but they typically do not seek promotion from assistant to associate professor based on excellence in service. A possible exception could be made for a faculty member who is assigned a specific, major service activity that persists through all or most of the probationary period. To be the basis for tenure or for advancement in rank, University and professional service must be directly linked to the unit and campus mission; the quality and impact of professional service must be evaluated within this context and must be assessed as academic work characterized by the following:
- command and application of relevant knowledge, skills, and technological expertise;
- contributions to a body of knowledge;
- imagination, creativity and innovation;
- application of ethical standards;
- achievement of intentional outcomes; and
- evidence of impact.

To receive a rating of excellent performance in service, the candidate must meet criteria A, B, C, and D.
A. Responsibility for a major service activity, such as leadership/administrative responsibility for developing a new degree program or a center or institute.
B. A record of peer-reviewed service publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Typically, three or more peer reviewed service publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship. Note that faculty making a case for excellence in service must have at least one peer reviewed research publication to achieve a satisfactory rating in research.
C. A record of peer reviewed service presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed service presentations will support a case for excellence, but extra (beyond three) peer reviewed service publications can compensate for fewer peer reviewed service presentations.
D. Some of the following activities. Although any activity may be accomplished more
than once, a range of activities will strengthen the case for excellence.

- Leadership roles on committees and councils, especially at the campus or University levels, including faculty governance
- A major role in student recruiting, retention, or advising initiatives
- Service to state and national governmental offices or agencies, or other public organizations, which might include grant review
- Awards and honors for service
- Initiative and leadership in public service to the community, and evidence of the influence of these activities on community programs and policies
- Service grants
- Proposals for service grants
- Active service relationships with business and industry, including consulting, economic development, and the initiation and administration of partnerships
- Service to professional societies with leadership roles (such as presidency of professional organizations) at the national level
- Service to an academic discipline, such as the editorship or membership on the editorial board of a professional journal
- Frequent service as a reviewer of manuscripts for professional journals and/or presentations for professional conferences

*To receive a rating of satisfactory performance in service, the candidate must meet criteria A and B.*

A. Consistently performing one’s fair share of service to one’s academic program, division, and campus, typically through active service on committees, task forces, and councils.

B. Any additional activities from the list for excellent performance in service.

4. **Criteria for balanced case:**

To be promoted based on a balanced case, the faculty member must demonstrate highly satisfactory performance in teaching, research, and service. This may be the most subjective evaluation, requiring ratings closer to excellent than to satisfactory.

- Highly satisfactory in research would typically require three peer-reviewed publications and several other activities and accomplishments from the criteria for excellence in research.
- Highly satisfactory in teaching would typically require a significant contribution to the teaching mission of the campus as evidenced by consistently strong peer and student evaluations and several other activities and accomplishments from the criteria for excellence in teaching.
- Highly satisfactory in service would typically require a significant service contribution to the campus or University as evidenced by several activities and accomplishments from the criteria for excellence in service.
- A list of at least four peer reviewed presentations related to teaching, research, and/or service at regional, national or international conferences while in rank.
Promotion from Associate Professor to Professor:

1. Criteria for Research

To receive a rating of excellent performance in research, the candidate must meet criteria A, B, and C.

A. An active research program leading to a record of peer-reviewed research publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Typically, four or more peer reviewed research publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship.

B. A record of peer reviewed research presentations at regional, national and/or international conferences while in rank. Typically six or more peer reviewed research presentations will support a case for excellence, but extra (beyond four) peer reviewed research publications can compensate for fewer peer reviewed research presentations.

C. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
   • A record of continued development as an independent researcher
   • Research grants
   • Proposals for research grants
   • Mentoring undergraduate and/or graduate research
   • Honors or awards for research
   • Citations of research publications
   • Invitations to review submissions for professional journals or conferences
   • Invitations to serve on editorial boards, etc.
   • Other evidence that a research program has achieved regional or national recognition for its contributions to a field

To receive a rating of satisfactory performance in research, the candidate must meet criteria A, B, and C.

A. An active research program resulting in at least one peer reviewed research publication in rank, consisting of articles in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications.

B. A record of at least two peer reviewed research presentations at regional, national and/or international conferences while in rank.

C. Some of the activities listed in item C for excellence in research.

2. Criteria for Teaching

To receive a rating of excellent performance in teaching, the candidate must meet criteria A, B, C, and D.
A. A record of peer-reviewed teaching publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Teaching publications include direct contributions to the scholarship of teaching and learning and other scholarly publications that are demonstrated to enhance or be informed by the candidate’s teaching. Typically, three or more peer reviewed teaching publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship. Note that faculty making a case for excellence in teaching, must have at least one peer reviewed research publication to achieve a satisfactory rating in research.

B. A record of peer reviewed teaching presentations at regional, national and/or international conferences while in rank. Typically six or more peer reviewed teaching presentations will support a case for excellence, but extra (beyond three) peer reviewed teaching publications can compensate for fewer peer reviewed teaching presentations.

C. Evidence of excellent teaching practice as demonstrated by student evaluations, peer evaluations, or other equivalent measures.

D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.

- Other published materials pertaining to teaching, such as manuals or innovative curricular materials
- A teaching load that contributes significantly to the division’s teaching responsibility to meet student and program needs
- Demonstrated measurable student learning outcomes
- Incorporation of high impact practices in teaching
- Teaching grants
- Proposals for teaching grants
- Honors or awards for teaching
- Significant mentoring of students, including directing student research, internships, etc.
- Effective student advising
- Documented efforts to improve teaching, which may include course or program development or curricular changes, mentoring faculty, and presenting or attending workshops on teaching
- Serving as a reviewer for scholarship of teaching and learning journals or academic presses which publish work on teaching and learning
- Other evidence that of an emerging regional or national recognition for outstanding teaching practice

To receive a rating of satisfactory performance in teaching, the candidate must meet criteria A, B, and C.

A. Evidence of satisfactory teaching practice as demonstrated by student evaluations, peer evaluations, or other equivalent measures.

B. Some of the activities listed in item D for excellence in teaching.
3. Criteria for Service

Faculty members provide service to the University, the profession, and the public, but they typically do not seek promotion from assistant to associate clinical professor based on excellence in service. To be the basis for advancement in rank, University and professional service must be directly linked to the unit and campus mission; the quality and impact of professional service must be evaluated within this context and must be assessed as academic work characterized by the following:

- command and application of relevant knowledge, skills, and technological expertise;
- contributions to a body of knowledge;
- imagination, creativity and innovation;
- application of ethical standards;
- achievement of intentional outcomes; and
- evidence of impact.

To receive a rating of excellent performance in service, the candidate must meet criteria A, B, C, and D.

A. Responsibility for a major service activity, such as leadership/administrative responsibility for developing a new degree program or a center or institute.

B. A record of peer-reviewed service publications in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. Typically, three or more peer reviewed service publications will support a case for excellence, but quality is more important than quantity and a smaller number of high quality works may be judged more significant than a larger number of lower quality works. It is important for candidates to provide information that addresses the quality and impact of their scholarship. Note that faculty making a case for excellence in service must have at least one peer reviewed research publication to achieve a satisfactory rating in research.

C. A record of peer reviewed service presentations at regional, national and/or international conferences while in rank. Typically six or more peer reviewed service presentations will support a case for excellence, but extra (beyond three) peer reviewed service publications can compensate for fewer peer reviewed service presentations.

D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
- Leadership roles on committees and councils, especially at the campus or University levels, including faculty governance
- A major role in student recruiting, retention, or advising initiatives
- Service to state and national governmental offices or agencies, or other public organizations, which might include grant review
- Awards and honors for service
- Initiative and leadership in public service to the community, and evidence of the influence of these activities on community programs and policies
• Active service relationships with business and industry, including consulting, economic development, and the initiation and administration of partnerships
• Service grants
• Proposals for service grants
• Service to professional societies with leadership roles (such as presidency of professional organizations) at the national level.
• Service to an academic discipline, such as the editorship or membership on the editorial board of a professional journal
• Frequent service as a reviewer of manuscripts for professional journals and/or presentations for professional conferences

To receive a rating of satisfactory performance in service, the candidate must meet criteria A and B.

A. Consistently performing one’s fair share of service to one’s academic program, division, and campus, typically through active service on committees, task forces, and councils.
B. Any additional activities from the list for excellent performance in service.

4. Criteria for balanced case:

To be promoted based on a balanced case, the faculty member must demonstrate highly satisfactory performance in teaching, research, and service. This may be the most subjective evaluation, requiring ratings closer to excellent than to satisfactory.

• Highly satisfactory in research would typically require three peer-reviewed publications and several other activities and accomplishments from the criteria for excellence in research.
• Highly satisfactory in teaching would typically require a significant contribution to the teaching mission of the campus as evidenced by consistently strong peer and student evaluations and several other activities and accomplishments from the criteria for excellence in teaching.
• Highly satisfactory in service would typically require a significant service contribution to the campus or University as evidenced by several activities and accomplishments from the criteria for excellence in service.
• A list of at least four peer reviewed presentations related to teaching, research, and/or service at regional, national or international conferences while in rank.
C. Clinical Faculty and Lecturers

Promotion to clinical associate or clinical full professor requires excellent performance in teaching or professional service and at least satisfactory performance in the other area and in University service. Promotion to clinical associate professor is accompanied by awarding of five-year rolling contracts. Promotion from lecturer to senior lecturer requires excellent performance in teaching and satisfactory performance in service. Promotion to senior lecturer is accompanied by awarding of three-year rolling contracts. All assistant clinical faculty and lecturers are strongly encouraged to apply for promotion during or before the sixth year in rank.

During the third year in rank, assistant clinical faculty and lecturers will submit a dossier for review and feedback on their performance as it relates to promotion criteria. After this third-year review, clinical assistant professors and lecturers will be reviewed every five years and provided feedback on their performance as it relates to promotion criteria.

Promotion from Clinical Assistant Professor to Clinical Associate Professor or Clinical Associate Professor to Clinical Professor

To receive a rating of excellent performance in teaching, the candidate must meet criteria A, B, C, and D.

A. Scholarly activity resulting in publication of at least one peer-reviewed publication in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. This scholarship may be in teaching or an area of disciplinary research, but if the latter, the candidate must describe how that scholarship contributes to his or her excellence as an instructor.

B. A record of peer reviewed teaching presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed teaching presentations will support a case for excellence, but extra peer reviewed teaching publications can compensate for fewer peer reviewed teaching presentations.

C. Evidence of excellent teaching practice as demonstrated by student evaluations, peer evaluations, or other equivalent measures.

D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
   - Other published materials pertaining to teaching, such as manuals or innovative curricular materials
   - A teaching load that contributes significantly to the division’s teaching responsibility to meet student and program needs
   - Demonstrated measurable student learning outcomes
   - Incorporation of high impact practices in teaching
   - Teaching grants
   - Proposals for teaching grants
   - Honors or awards for teaching
   - Significant mentoring of students, including directing student research, internships, etc.
• Documented efforts to improve teaching, which may include course or program development or curricular changes, mentoring faculty, and presenting or attending workshops on teaching
• Serving as a reviewer for scholarship of teaching and learning journals or academic presses which publish work on teaching and learning
• Other evidence of an emerging regional or national recognition for outstanding teaching practice

To receive a rating of satisfactory performance in service, the candidate must meet criteria A and B.
A. Consistently performing one’s fair share of service to one’s academic program, division, and campus, typically through active service on committees, task forces, and councils.
B. Any additional activities from the list for excellent performance in service.

To receive a rating of excellent performance in service, the candidate must meet criteria A, B, C, and D.
A. Responsibility for a major service activity, such as leadership/administrative responsibility for developing a new degree program or.
B. Scholarly activity resulting in publication of at least one peer-reviewed service publication in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications.
C. A record of peer reviewed service presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed service presentations will support a case for excellence, but extra peer reviewed service publications can compensate for fewer peer reviewed service presentations.
D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.
   • Leadership roles on committees and councils, especially at the campus or University levels, including faculty governance
   • A major role in student recruiting, retention, or advising initiatives
   • Service to state and national governmental offices or agencies, or other public organizations, which might include grant review
   • Awards and honors for service
   • Initiative and leadership in public service to the community, and evidence of the influence of these activities on community programs and policies
   • Active service relationships with business and industry, including consulting, economic development, and the initiation and administration of partnerships
   • Service grants
   • Proposals for service grants
   • Service to professional societies with leadership roles (such as presidency of professional organizations) at the national level.
   • Service to an academic discipline, such as the editorship or membership on the editorial board of a professional journal
   • Frequent service as a reviewer of manuscripts for professional journals
and/or presentations for professional conferences

To receive a rating of satisfactory performance in teaching, the candidate must meet criteria A and B.

A. Evidence of satisfactory teaching practice as demonstrated by student evaluations, peer evaluations, or other equivalent measures.

B. Some of the activities listed in item D for excellence in teaching.

Promotion from Lecturer to Senior Lecturer

To receive a rating of excellent performance in teaching, the candidate must meet criteria A, B, C, and D.

A. Scholarly activity resulting in publication of at least one peer-reviewed publication in rank, consisting of papers in reputable journals, scholarly books, book chapters, proceedings, or other equivalent publications. This scholarship may be in teaching or an area of disciplinary research, but if the latter, the candidate must describe how that scholarship contributes to his or her excellence as an instructor.

B. A record of peer reviewed teaching presentations at regional, national and/or international conferences while in rank. Typically four or more peer reviewed teaching presentations will support a case for excellence, but extra peer reviewed teaching publications can compensate for fewer peer reviewed teaching presentations.

C. Evidence of excellent teaching practice as demonstrated by student evaluations, peer evaluations, or other equivalent measures.

D. Some of the following activities. Although any activity may be accomplished more than once, a range of activities will strengthen the case for excellence.

- Other published materials pertaining to teaching, such as manuals or innovative curricular materials
- A teaching load that contributes significantly to the division’s teaching responsibility to meet student and program needs
- Demonstrated measurable student learning outcomes
- Incorporation of high impact practices in teaching
- Teaching grants
- Proposals for teaching grants
- Honors or awards for teaching
- Significant mentoring of students, including directing student research, internships, etc.
- Effective student advising
- Documented efforts to improve teaching, which may include course or program development or curricular changes, mentoring faculty, and presenting or attending workshops on teaching
- Serving as a reviewer for scholarship of teaching and learning journals or academic presses which publish work on teaching and learning
- Other evidence that of an emerging regional or national recognition for outstanding teaching practice
To receive a rating of satisfactory performance in service, the candidate must meet criteria A and B.

A. Consistently performing one’s fair share of service to one’s academic program, division, and campus, typically through active service on committees, task forces, and councils.

B. Any additional activities from the list for excellent performance in service.