Indiana University-Purdue University Columbus
Guidelines for Preparing and Reviewing
Promotion and Tenure Dossiers
2014 - 2015
# TABLE OF CONTENTS

INTRODUCTION .................................................................................................................................................................................. 1

DISTINCTIONS BETWEEN PROMOTION AND TENURE ........................................................................................................ 1
Tenure .................................................................................................................................................................................................. 1
Promotion .................................................................................................................................................................................................. 2

ADVICE REGARDING PREPARING FOR PROMOTION AND/OR TENURE ........................................................................ 2
Candidate Responsibilities and Recommended Timeline .............................................................................................................. 2
Division Head (or Designee) Responsibilities and Recommended Timeline ........................................................................... 4
Associate Dean for Academic Affairs Responsibilities .................................................................................................................. 8
Vice Chancellor and Dean Responsibilities ........................................................................................................................................ 9
Primary and Unit Level Promotion and/or Tenure Committees and Responsibilities .............................................................. 9

DOSSIER FORMAT ........................................................................................................................................................................... 12
SECTION 01: Checklist/Routing and Action Form ......................................................................................................................... 13
SECTION 02: Review Level Two (Unit) .............................................................................................................................................. 14
SECTION 03: Review Level One (Primary/Division) .............................................................................................................................. 14
SECTION 04: External Assessments .................................................................................................................................................. 15
SECTION 05: Reference Letters ...................................................................................................................................................... 15
SECTION 06: Candidate’s Statement ................................................................................................................................................ 15
SECTION 07: Teaching (For Librarians: Performance)....................................................................................................................... 16
SECTION 08: Research and Creative Activity (For Librarians: Professional Development) ........................................................... 19
SECTION 09: Professional and University Service (For Librarians: Service) .................................................................................. 21
SECTION 10: Curriculum Vitae ...................................................................................................................................................... 23
SECTION 11: Appendices ................................................................................................................................................................. 23

PEER REVIEW AND EXTERNAL ASSESSMENT ...................................................................................................................... 23
Peer Review .................................................................................................................................................................................. 23
Ongoing Review ........................................................................................................................................................................... 24
External Assessment ....................................................................................................................................................................... 24

INSTITUTIONAL PROCEDURES .................................................................................................................................................... 27
Submission Deadlines ...................................................................................................................................................................... 27
Returned Dossiers ........................................................................................................................................................................... 27
Time in Rank .................................................................................................................................................................................. 28
Area of Excellence ........................................................................................................................................................................ 29
Addition of Materials/Comments .................................................................................................................................................. 30
Reconsideration .............................................................................................................................................................................. 30
IUPUI Campus Level Reviews and Notification .......................................................................................................................... 31

INSTITUTIONAL VALUES ................................................................................................................................................................. 31
Civic Engagement .......................................................................................................................................................................... 31
Collaboration .................................................................................................................................................................................. 32
Diversity, Equity, and Inclusion ........................................................................................................................................................ 32
Economic Development of Indiana .................................................................................................................................................. 32
INTRODUCTION
Promotion and/or tenure reviews are significant transitions in a faculty member’s career, and often the source of considerable anxiety. These guidelines are intended to decrease that anxiety by clarifying campus-level expectations and processes. Criteria for promotion and/or tenure for faculty and for librarians are outlined in the Indiana University Academic Handbook. These University criteria for faculty and librarians are interpreted in each Indiana University-Purdue University Columbus (IUPUC) division according to their respective disciplinary cultures. Those interpretations are defined in unit-level (campus) and primary-level (division) guidelines. More specific criteria relating to librarians are contained in the Library Faculty Handbook.

These guidelines are adapted from and consistent with the IUPUI Dean of the Faculties Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers. The principles that shape this document are as follows:

- The Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers interpret University policy and criteria to assist in the preparation of promotion and/or tenure dossiers. The guidelines should prove useful in:
  - helping faculty, division heads, and deans understand their roles and responsibilities in the promotion and/or tenure process;
  - ensuring that dossier evaluators on all review committees have the information they need to make judgments about individuals within a common, shared context reflective of campus expectations and University requirements.
- These guidelines apply to faculty and librarians at IUPUC who are subject to promotion and/or tenure consideration.
- These guidelines are reviewed and revised periodically by the associate dean for academic affairs and the IUPUC unit promotion and tenure committee to reflect changes in the institution, to assist faculty in preparing dossiers, and to remain consistent with IUPUI guidelines.
- In accordance with the Indiana University Academic Handbook (p. 66):
  - Tenure is based upon the guidelines in effect and agreed to at the time of the appointment.
  - Promotion is based on contemporary guidelines in effect at the time of application for promotion.
- Each division must have a document that states with reasonable specificity the standards that will be used to evaluate whether or not candidates meet the criteria for promotion and/or tenure.
- Division documents must comply with the criteria of the University and IUPUI. A current copy must be on file with the Dean of the Faculties through the Office of Faculty Appointments and Advancement (FAA). These documents must be approved by the IUPUC faculty governance process, the vice chancellor and dean and the IUPUI associate vice chancellor for academic affairs for compliance with campus standards. They also should be publicly available on the school’s web site so faculty can easily access them.
- Promotion and/or tenure considerations are based on the missions and the contexts of each candidate’s division, school, or library in compliance with the IUPUC mission.

In this document, the term “candidate” refers to both faculty and librarians who are seeking promotion and/or tenure.

DISTINCTIONS BETWEEN PROMOTION AND TENURE
These guidelines should be used in preparing dossiers for promotion and/or tenure. The criteria are closely related, but not identical. While both are based on performance commensurate with rank, tenure requires documented evidence of the promise of continued achievement with distinction. Promotion or tenure recommendations may be made separately; however, most tenure-probationary faculty/librarians are considered for both at the same time (unless they already hold a rank of associate or full professor/librarian), and, generally, a decision to award tenure is not made without simultaneous promotion in rank.

Tenure
The Indiana University Academic Handbook statement on tenure emphasizes an implicit reciprocal commitment between tenured faculty members and the University. The University provides academic freedom and economic security; faculty members maintain high standards of excellence in their work. The University works to ensure safeguards to academic freedom through employment security, while the faculty member or librarian works to fulfill the commitment demonstrated during the probationary period with respect to continued growth and productivity.
Tenure is based on a documented record of achievement that meets defined standards for the division, school, and campus, together with evidence and a plan that demonstrates the level of achievement that is likely to continue and grow. Tenure acknowledges achievement in light of its promise for the future.

- Tenure is local (i.e., campus specific) and faculty/librarians who have tenure are expected to contribute in concrete, demonstrable ways to the continued development of IUPUC as an academic community.
- Tenure is awarded at the campus level, not at the division level.
- The safeguards of tenure are preserved at the campus level and tenured faculty/librarians thus accept a responsibility to the campus as well as towards the University.
- Tenure is the occasion to renew a personal commitment to achieve the promise of the probationary period and to accept the responsibility of membership in the academic community of IUPUC.

Promotion
As candidates compile records of sustained achievement in their respective fields of work, their accomplishments and level of expertise deserve recognition through promotion at key intervals.

- Promotion is recognition of achievement.
- For probationary tenure-track candidates, promotion to the associate level is normally sought toward the end of the probationary period in conjunction with the tenure decision.
- Both tenure-track and non-tenure track candidates may seek promotion in rank when their achievements warrant this recognition. The Indiana University Academic Handbook defines the standards for each rank, and each division interprets those standards in relation to the disciplinary culture.

ADVICE REGARDING PREPARING FOR PROMOTION AND/OR TENURE
Preparation for promotion and/or tenure begins in the first year at IUPUC. Consult both the IUPUC Guidelines as well as the guidelines for your division. Candidates, division heads, deans, the IUPUI Dean of the Faculties, and FAA all have distinct and significant roles and responsibilities in the promotion and/or tenure process.

Candidate Responsibilities and Recommended Timeline
This timeline is based on the most common cycle of preparing dossiers for a promotion and tenure review in the sixth year; however, much of the advice is applicable to faculty and librarians in all tracks and ranks. The timeline may be modified following Indiana University policies and individual candidates’ circumstances.

Year 1 and 2:
- Create a collection system for evidence of activities in teaching (performance in the case of librarians), research and creative activity, and service. Collect and organize everything, ranging from syllabi to grant applications (whether successful or not) to results of committee work. In addition to being useful for annual reports, these early materials provide a basis for analysis of improvement.
- Preferably with the advice of the division head, identify a mentor who can guide you through the processes leading to promotion and/or tenure, and orient you to the division’s expectations. Ideally, this person should be at senior rank.
- You are strongly encouraged to identify your area of excellence at this time. Bear in mind that for promotion and/or tenure reviews you must also document at least satisfactory progress in the other areas and that each division/unit has defined its expectations about an appropriate area of excellence. For more details, consult the Summary of Areas of Excellence and Expectations for Various Faculty Categories table in the Appendices.
- Collect, summarize, and analyze student evaluations every year. Areas where students indicate a problem provide excellent opportunities to document improvement from one semester to the next.
- Arrange peer reviews of your teaching. Problems that are identified in the review process provide excellent opportunities to document improvement from one peer review to the next.
- Be sure you know the expectations of your division and/or school related to grant/contract funding and make sure that your work falls within those guidelines. IUPUC provides workshops in support of research and the IUPUI Office of Research Development also provides workshops and other research support for faculty. These resources can be found at http://research.iupui.edu/.
- Scholarly dissemination of your work is required to document excellence in any of the three areas of faculty work; to document highly satisfactory in each area of a balanced case; and also for assessment of satisfactory in research. Be sure you know the expectations of your division and/or school related to
scholarly productivity and make sure that your work falls within those guidelines. Continue to systematically work on your scholarship output.

- In consultation with your mentor, become familiar with campus resources available in the Centers for Teaching and Learning (CTL) at IUPUC and IUPUI, the IUPUI Center for Research and Learning (CRL), and the IUPUI Center for Service and Learning (CSL). Take full advantage of the wide range of support available to faculty.
- Become familiar with the University, campus, unit/school, and primary/division guidelines for promotion and/or tenure. Attend promotion and tenure workshops at IUPUC. You can also attend promotion and tenure workshops offered by Faculty Appointments and Advancement (FAA) at IUPUI.
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in your areas of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.
- Prepare for the three-year review.

**Year 3:**
- The three-year review provides an opportunity for faculty, primary/divisions, and/or units/schools to take stock of a tenure-probationary candidate’s progress toward promotion and tenure. You will receive a letter from the associate dean for academic affairs describing the timeline for the three-year review.
- Continue all the above activities while you begin to analyze and document progress on your work in terms of improvement and achievement in relation to primary/division criteria, unit/school criteria, University criteria, and these Guidelines.
- Your personal statement for the three-year review also provides an opportunity to reflect not only on your work, but also on the focus that is emerging in your work. This focus will provide the coherence to your work that should shape your efforts between now and the time of your candidacy for promotion and tenure. This statement is typically due in early March and should be given to your division head. This may be due earlier in some core schools; if so, you will be notified in advance.
- By this time, you need to have a well-defined area of excellence which you are actively developing. Distribute evidence of your scholarship under your area of excellence (if other than research) rather than putting all such evidence under “research” in your curriculum vitae. You may only place each item in one area of the CV.
- Analyze teaching evaluations to identify key themes and how they point to teaching achievements or areas for further attention. If data are available, present your performance in relation to peer average scores.
- Analyze peer reviews to determine again how you might improve student learning in your classes.
- Analyze your grant and scholarly dissemination record in relation to division norms and expectations.
- You will receive feedback on your three-year review from your primary committee, your division head, and your dean. Incorporate that advice into a plan to present a compelling case for promotion and/or tenure in your sixth year. Follow the advice you are given. Work closely with your mentor and your division head, and seek out appropriate supports at the campus level in developing your plan.
- If there are significant issues identified in the three-year review, ask for a fourth-year review for further guidance and to update your plan.
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in your area of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.

**Year 4:**
- This is the year to ensure that you are on track with grants and sufficient dissemination of your scholarship as defined by your division. Maintain close contact with your division head and your mentor to identify areas of support to help you progress along that track.
- Arrange for another peer review of your teaching. You might consider inviting someone external to your division in order to gain additional perspective.
- Address any problems identified in the three-year review.
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in your areas of responsibility, teaching, and service (and research for tenure-track faculty), is required for continued probationary reappointments.
Year 5:

- This is the year you begin to prepare your dossier. If you have kept records from the start of your academic career, you should be in excellent shape to analyze your progress and present your case.
- Be sure to attend the workshops on promotion and/or tenure this year. Your perceptions and understanding will be different from what they were your first year at IUPUC, and your needs more focused, so you will probably get much more immediately useful information at these workshops.
- Aim to complete your dossier a month or two before it is due, especially your Candidate’s Statement, so that your mentor and other colleagues can provide you with helpful feedback.
- Be sure that your dossier not only makes your case for excellence in your chosen area, but also provides substantive evidence for at least satisfactory performance in the other two areas. Place sufficient evidence of scholarship in your area of excellence (if other than research) rather than putting all evidence under “research” in your curriculum vitae. Describe your scholarship in your dossier, making sure to explain it in layman’s terms, since faculty from other disciplines will review your case. Minimize abbreviations, jargon and acronyms.
- Submit our dossier to your division head prior to the second Friday in August. Make sure you know the timeline for your division and unit.
- You are not to contact potential external reviewers.
- Make sure you complete and sign the Routing and Action Form (see Appendices).
- You are asked to provide to the division head and primary committee, the reviewer comments for any grants that you submitted that were not funded. These can be put in the appendices and should not be sent to the campus level of review.
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in your areas of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.

Year 6:

- Take a breather, and then begin your next phase of scholarly work.
- You will be notified at each stage of your dossier’s consideration. DO NOT attempt to communicate with or influence any individuals who are involved in the various levels of review while the dossier review is in process. It is considered an ethical breech and will be dealt with accordingly.
- Be familiar with your options if you have concerns about the evaluation of your dossier at any stage. These policies and procedures are outlined in the Indiana University Academic Handbook.

**Division Head (or Designee) Responsibilities and Recommended Timeline**

(In core schools, the associate dean responsible for the program at IUPUI may also fulfill this role.)

While candidates are responsible for documenting that they have met the standards and expectations for promotion and/or tenure, the division head is responsible for providing support and guidance throughout the process, and for administrative and procedural tasks. In general, division heads need to:

- Update your knowledge by reading the latest version of the IUPUC Guidelines each year.
- Ensure the most current written description of the division’s expectations for excellence in each area (teaching [performance for librarians], research and creative activity [performance for artists], and service) for tenure or promotion to associate and full rank is on file with the IUPUI Dean of the Faculties through FAA. These documents need to be approved by the IUPUC faculty governance process, the vice chancellor and dean, and the IUPUI associate vice chancellor for academic affairs for compliance with campus expectations.
- Develop a system of divisional peer review of teaching that ensures each candidate has several opportunities for peer review prior to their candidacy for promotion and/or tenure.
- Provide candid advice throughout the probationary period and assist the candidate in organizing the materials needed for the dossier.

**Year 1 and 2 of candidate appointment:**

- Ensure that each new faculty/librarian has a discipline-appropriate mentor related to the candidate’s area of excellence who is preferably at a rank higher than the candidate.
• Meet individually with each new faculty member to inform him or her about divisional expectations for promotion and/or tenure. Provide new faculty members with a copy of the divisional expectations.
• Ensure that each new faculty member is encouraged to attend promotion and/or tenure workshops.
• Encourage new faculty to become acquainted with the IUPUC and IUPUI CTLs, CRL, CSL, and the Office of Research Development.
• Provide guidance for faculty annual reporting procedures.
• Provide a written annual review that addresses frankly the faculty member’s strengths and weaknesses, with suggestions about how to address the weaknesses. Satisfactory performance in all areas of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.
• Provide guidance for the faculty member to select an area of excellence appropriate to the division’s expectations.

Year 3 of candidate appointment:
• Ensure that each tenure-probationary candidate understands the function of the three-year review.
• Ensure that the three-year review is carried out following IUPUC Faculty Senate policy and procedures including review of the candidate by primary/division and/or unit/school committees (as applied by particular requirements of the primary/division or unit/school, or library).
• Ensure that candidates being reviewed receive a written assessment of their progress toward promotion and/or tenure, with specific guidance about any issues or concerns that require attention.
• Ensure that the declared area of excellence is addressed and that the candidate is documenting at least satisfactory performance in the other areas. Satisfactory performance in all areas of responsibility, teaching and service (and research for tenure-track faculty), is required for continued probationary reappointments.
• Ensure that the three-year review is received in the office of the Assistant Dean of the Faculties for FAA at IUPUI by late April to early May.
• This process may occur earlier for candidates in some core schools.
• If the candidate’s three-year review revealed significant issues, encourage the candidate to seek a fourth-year review or conduct one if required by current unit/school policies.

Year 4 of candidate appointment:
• Ensure that the candidate has access to the resources necessary to address any concerns raised in the three-year review.
• If requested by the candidate or required in current division/unit policies when the three-year review revealed significant issues, conduct a fourth-year review.
• Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure and that they receive specific guidance about any issues or concerns that require attention.
• Ensure that the declared area of excellence is progressing appropriately and that the candidate is documenting at least satisfactory performance in the other areas.
• Monitor progress toward promotion and/or tenure.

Year 5 of candidate appointment:
• Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure and that they receive specific guidance about any issues or concerns that require attention.
• Ensure that the declared area of excellence is progressing appropriately and that the candidate is documenting at least satisfactory performance in the other areas. Satisfactory performance in all three areas is required for continued probationary reappointments.
• Ensure that the candidate has documented not only excellence in one or more areas, but also satisfactory performance in the other areas.
• Develop a list of external and internal peer reviewers for each candidate in accordance with the directions in the section on External Assessment.
• Excellence in teaching or professional service requires similar peer review by persons outside the local context who can place the individual’s accomplishments within the larger academic and disciplinary context.
context. The same expectations of rigorous peer review by qualified faculty/librarians apply to teaching, professional service, research and creative activity where applicable to the candidate. Division heads should give special attention to identifying external evaluators who can assess the impact of an individual's activities in teaching or service, especially if one of those areas is the declared area of excellence.

- If potential referees of some candidates are screened to find out if they would provide a letter if asked, then this same process must be applied to all candidates. Special care must be given to assure that the external reviewers are at “arm’s length” or independent as described in the section on External Assessment. Division heads should aim to receive no fewer than six and usually not more than ten letters. All solicited external letters received must be included in the dossier whether or not they exceed the suggested maximum of ten.

- Provide external reviewers with the appropriate materials to make informed judgments.
  - While unit/school or primary/division policies may detail particular kinds of evidence that should be sent to reviewers (often the C.V., the candidate’s statement, and selected publications), the basic goal is to match evidence to criteria. For example, if the candidate is presenting excellence in teaching then teaching products, such as syllabi or course materials produced by the instructor, should be provided to the reviewer. If the candidate has named service as an area of excellence, documents or products detailing the intellectual work related to service and its impact should be sent to the reviewers. Primary/division or unit/school criteria as well as the areas of excellence tables located in the Appendices of these Guidelines should be provided to the reviewers.
  - Occasionally, a candidate decides to change the area of excellence after external reviews have already been solicited. In these cases, reviewers should be notified of the change and provided supplementary evidence, if needed. All communications should come from the official requesting party, in most cases, the division head.
  - Candidates should be instructed that they are not to contact external reviewers.

- Make the primary/division and/or unit/school protocol for soliciting letters from external peer reviewers available to the candidate. The primary/division (and/or unit/school) protocol for soliciting external letters should be written and should be incorporated into primary/division (and/or unit/school) procedures.

- Solicit letters from peer reviewers external to the primary/division, unit, and/or external to IUPUC/IUPUI using the standard protocol. The External Referee Form found in the Appendices should accompany the letter of request.

- The Sample Letter to Request an External Evaluation, found in the Appendices, differentiates advancement on the basis of teaching, research or creative activity, and service; references the rank and expectations for that rank; and allows division heads to delineate any particular contextual circumstances or expectations for the candidate. These distinctions give reviewers the information they need to provide helpful reviews. (Further tips on soliciting external letters are included in the Appendices.) Similar letters adapted for peers internal to IUPUC/IUPUI should also be used. Advice on the solicitation of external letters for librarians can be found in the Library Faculty document “Letters in Promotion and/or Tenure Dossiers FAQs”.
  - Make sure that the primary committee complies with all of the requirements found in the Primary and Unit Level Promotion and/or Tenure Committees and Responsibilities section below.
  - If the primary/division committee does not have faculty/librarians at or above the rank sought by the candidate, establish a special primary committee that may include members from outside the division or school. Such a committee should be composed in consultation with the duly constituted primary committee and should reflect disciplines as similar to the candidate’s as possible. The committee should be of sufficient size to produce a minimum of four votes.
  - If the candidate’s scholarship is interdisciplinary or team science in nature, consider adding additional ad hoc members who can appreciate the interdisciplinary nature of the work to be reviewed to the primary/department committee for that case. Such ad hoc members should be added in consultation with the duly constituted primary committee. The committee should be sufficient size to produce a minimum of four votes.

Year 6 of candidate appointment:

- The division head, or his or her designee, is responsible for preparing and delivering to the associate dean for academic affairs all promotion, tenure, and reappointment recommendation documents in the form required by these guidelines. Documents that have not been properly prepared will be returned to
the division by the associate dean for academic affairs. (Returned documents may be revised and
resubmitted, but deadlines will not be extended to accommodate revision.) It is the responsibility of the
division head to identify any conflicts between Indiana University, Purdue University, IUPUI, and IUPUC
promotion and/or tenure processes that will affect their faculty, and to bring these conflicts to the attention
of the associate dean for academic affairs prior to the beginning of the review process. Conflicts must be
resolved by the division head, the chair of the unit committee, the associate dean for academic affairs, the
vice chancellor and dean, and the IUPUI Dean of Faculties (as necessary) prior to consideration by the
unit committee.

• Coordinate the election of the primary committee and oversee the timeliness and procedural integrity of
  the committee (see Primary and Unit Level Promotion and/or Tenure Committees and Responsibilities).
• Provide information and context to the primary committee as requested.
• Provide an assessment of the dissemination outlets in the candidate’s area of excellence (or in all areas
  for a balanced case), such as the quality of journals, peer-reviewed conferences, and venues of
  presentations or performance. This assessment will be placed in Section 09 of the dossier with the
  candidate’s curriculum vitae:
  o Analyze the stature of journals, presses, editions, galleries, and other means of disseminating the
    results of the teaching, research and creative activity, or professional service of the candidates,
    including the quality of electronic publications. This assessment is required. Stature may be
    reflected by acceptance rates, the nature of peer review, or other measures and, whenever possible,
    these indices should be cited. Although the notation for each journal or other entity should be brief
    (ordinarily two or three sentences), special commentary may be required when faculty are working in
    interdisciplinary or cross-disciplinary areas. Address authorship convention for discipline. Additionally,
    journals devoted to practice as well as theory development in teaching and professional service may
    not be as widely known or understood, even by colleagues within the same division, compared to
    scholarly journals. Special care should be taken in assessing the stature of such journals or presses.
    In recent years, electronic journals have emerged in some fields that may contain material that is
    comparable in quality and stature to print media. If there is any question about the quality of electronic
    publications, the division head should address this issue explicitly. In circumstances where
    publication occurs outside the usual disciplinary journals or presses, division heads may wish to seek
    an assessment of the stature of these publications from division heads or deans in other disciplines.
    In order to promote and encourage interdisciplinary teaching, research and creative activity, and
    service, IUPUC encourages dissemination of results in appropriate media of high quality even when
    these outlets are unusual for the discipline. Peer review of the material, therefore, is especially
    important.
• If the candidate holds a joint or adjunct appointment in another school/unit, and that joint appointment
  represents a significant investment of the faculty member or librarian’s intellectual activities, include at
  least a letter of recommendation from the appropriate division head.
• Provide a brief statement addressing the expertise of each external reviewer which will be placed in
  Section 03 of the dossier with the external assessments. Ensure that all external reviewers meet the
  guidelines for independence in the section on External Assessment. If not, secure additional external
  reviews sufficient to meet the six reviewer minimum standard prior to forwarding the dossier to the
  associate dean for academic affairs and the unit committee. All reviews received must be retained in the
  dossier. The campus may return a dossier that does not meet the six-reviewer, arm’s-length minimum.
• Ensure that candidates receive fair and equitable treatment from the primary committee.
• The report from the primary committee should make an effort to explain the reasons for negative votes
  based on committee discussions as opposed to submitting a minority report which is not allowed. The
  report should be written with sufficient detail to fully review the candidate’s qualifications.
• Review the candidate’s unsuccessful grant applications and interpret the reviewers’ comments in a short
  assessment. The analysis of the overall pattern of grant success should be included in the division
  head’s vote letter for promotion and/or tenure. This grant assessment is required if applicable.
• Compose a letter of evaluation of the candidate’s case and recommendation for action and enclose this in
  the dossier. (This letter is waived if the division head does not hold tenure and/or a rank equal to that
  sought by the candidate.) Include the following:
  o Relationship of candidate’s evidence of achievement, such as student evaluations or publications, to
divisional norms and expectations.
Indications of professional or disciplinary benchmarks used in the field and relevant to the recommendations being made by the primary committee and the division head.

- Supporting evidence of the candidate’s institutional citizenship, including specific contributions and outcomes of committee membership or campus initiatives that extend beyond mere membership and attendance.
- Specifically address if excellence is achieved in the stated area of excellence and validate if the other area(s) of performance are at least satisfactory.

Before submitting to the next level:
- Ensure that all dossiers are complete and in proper format/order.
- Ensure that the candidate has signed the Routing and Action Form (see Appendices).
- Ensure that primary committee votes are recorded properly and you have recorded your conclusion by initialing approval or disapproval under division head’s recommendation on the Routing and Action Form (see Appendices).

Submit dossiers to the office of the associate dean for academic affairs by the last Friday in September.

Meet with the candidate to discuss the results of the primary committee’s deliberation and the division head’s letter. Have the candidate sign for receipt of the documents. In a tenure case, at the first level where there have been negative votes, (if applicable) discuss the candidate’s right and the process for reconsideration. This must be done in a timely manner and prior to the next level of review.

Facilitate exchanges between the unit committee and the primary/division committee that might be necessary during the unit committee’s deliberations.

When a division head chooses to seek promotion and/or tenure, the vice chancellor and dean, or their designee, will assume all promotion, tenure, and reappointment duties for the division that would otherwise be handled by the division head until the promotion and tenure process for the division has been completed for the year.

Associate Dean for Academic Affairs Responsibilities

- Update your knowledge by reviewing the latest version of the IUPUI Dean of the Faculties Guidelines each year (found at: http://academicaffairs.iupui.edu/promotion-tenure/).
- Ensure that all tenure-probationary candidates and all candidates eligible for promotion have information about promotion and/or tenure workshops.
- Ensure that a current copy of the IUPUC promotion and/or tenure document is on file with the IUPUI Dean of the Faculties through FAA and that every candidate receives a copy. These documents need to be approved by the IUPUC faculty governance process, the vice chancellor and dean, and the IUPUI associate vice chancellor for academic affairs for compliance with campus expectations.
- Preside over the election of the unit committee at the beginning of the fall semester.
- Call for a meeting of the committee and present the calendar of events for personnel action.
- Provide a schedule for promotion and/or tenure recommendations to the primary committees.
- Arrange to include an assessment of the quality of the media used to disseminate a candidate’s scholarly work when a division is not the administrative unit.
- Ensure that candidates are informed of any materials added or changes made to the dossier. Candidates and all previous reviewers must be provided with an opportunity to comment on or to respond to such additions. The added information and the responses become a part of the dossier. (See Addition of Materials/Comments.)
- Ensure that all external reviewers meet the guidelines for independence outlined in the section on External Assessment. If not, then secure additional external reviews sufficient to meet the six reviewer minimum standard prior to forwarding the dossier to the IUPUI Dean of the Faculties through FAA. The campus may return a dossier that does not meet the six-reviewer, arm’s-length minimum. All reviews received must be retained in the dossier. Similarly, all supporting letters received must be retained in the dossier.
- Ensure that files of all candidates for promotion and tenure are made available to the unit committee by last Friday in September. Ensure that copies of the most recent versions of the IUPUC Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers are available to each member of the unit committee at the same time.
- Make sure that the unit committee complies with all of the requirements found in the Primary and Unit Level Promotion and/or Tenure Committees and Responsibilities section below.
When divergent evaluations of a dossier result in different recommendations on tenure, the unit committee may wish to consult with the primary committee and/or division head. The associate dean for academic affairs should ensure that such consultation, when necessary, has occurred before the vice chancellor and dean considers a case. The consultation should note the relative importance of criteria, principles, or evidence used in the evaluation that led to the contrary recommendation. The consultation must be noted in the unit committee's report, including notice of whether or not the vote of a committee was changed as a result. When there are divergent evaluations with respect to promotion, the unit committee should provide feedback to the primary committee. The report from each committee should account for negative votes based on committee discussions as opposed to submitting a minority report. A separate minority report is not allowed. It is strongly recommended that the letter address the criteria as listed in the Reviewer's Summary Evaluation.

As noted earlier with regard to the division head’s responsibility, the associate dean for academic affairs must similarly ensure that the unit committee does not submit a minority report. Only the final vote of committees and administrators should be recorded on the Routing and Action Form (see Appendices).

Ensure that the unit committee has given a copy of their summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.

A candidate for tenure must be notified at the first level of negative tenure review. This must happen in a timely manner and before the next scheduled level of review. They must be apprised of their right for reconsideration at that time.

Before forwarding to the vice chancellor and dean:
- Ensure that all dossiers are complete and in proper format/order. The dossier checklist (see Appendices) should assist with this task. Properly completing this step will prevent dossiers from being returned for correction (see Returned Dossiers). Please contact FAA if you need assistance with this step.
- Forward all promotion, tenure, and reappointment documents in the proper form from the unit committee to the vice chancellor and dean.
- Following review at the unit level, confer with the vice chancellor and dean concerning recommendations for tenure and/or promotion.
- Include a description for campus and University reviewers of standards that candidates must meet in the division/unit/school.

Vice Chancellor and Dean Responsibilities
- Ensure that the current version of each unit’s promotion and/or tenure document is in compliance with campus expectations.
- Ensure that evaluative reports that are added to the dossier by each committee or administrator are sent to the candidate as the dossier is forwarded.
- Following review at the unit level, compose a letter of evaluation of the candidate’s case and recommendation for action and enclose this in the dossier. Specifically address if excellence is achieved in the stated area of excellence and validate if the other area(s) of performance are at least satisfactory. Have the candidate sign and date for receipt of his/her copy of the letter.
- Record your conclusion by initialing approval or disapproval under vice chancellor and dean’s recommendation on the Routing and Action Form (see Appendices).
- Send a letter to the candidate announcing the results of the unit-level deliberation, including the recommendations themselves, before the end of the fall semester.
- In consultation with the unit committee, appoint a representative from the unit committee to the IUPUI promotion and tenure committee.

Primary and Unit Level Promotion and/or Tenure Committees and Responsibilities

The Primary Committees
- Each year that a candidate within a division shall come up for a promotion and/or tenure review, the division head will coordinate the election of a primary committee with a minimum number of members
sufficient to result in at least four approve/disapprove votes being recorded (in case members cannot vote for any reason). The primary committee should be comprised of tenured associate and full professors from the candidates’ discipline.

- All tenured and tenure-track faculty in the candidate’s discipline are eligible to vote on primary committee membership.
- This committee must include tenured faculty members holding rank equal to or higher than that to which the candidate seeks promotion, tenure, or reappointment. For candidates seeking tenure or promotion to the rank of full professor, the primary committee shall be composed only of full professors.
- If the division does not have enough faculty members to comprise a committee resulting in at least four votes from members of the proper rank, tenured faculty members of appropriate rank will assist the division head in identifying and recruiting eligible faculty from departments or divisions that closely match the candidate’s discipline from Indiana University campuses.
- Members of the primary committee will elect a chair.
- The division head will provide information and context to the primary committee as requested.
- The primary committee will consider candidates for promotion and/or tenure in accordance with University policy.
- The primary committee will meet throughout the year according to the schedule required for division promotion and/or tenure recommendations provided by the associate dean for academic affairs.
- The basis for consideration by the primary committee will be an updated faculty vita and a dossier containing materials the candidate believes will be relevant to a consideration of their professional qualifications.
- All votes will be taken by secret ballot and the committee vote for each candidate will be part of the evaluation record to be forwarded to the division head.
- The primary committee will provide the division head a written evaluation of the candidate’s teaching, research and creative activity, and service.
- When the dossier goes to the next level, the division head will send a letter to the candidate informing him or her about the recommendations of the primary committee along with copies of those recommendations.

The Unit Committee

- The unit committee will be formed at the beginning of the fall semester and should have a minimum number of members sufficient to result in at least four approve/disapprove votes being recorded (in case members cannot vote for any reason).
- The unit committee will be composed of tenured associate and full professors.
- Members will be elected by the tenured and tenure-track faculty.
- Only those who hold a rank equal to or higher than that to which a candidate aspires are eligible to vote on that case.
- The associate dean for academic affairs, in consultation with the vice chancellor and dean, will provide information and context to the unit committee as requested.
- The associate dean for academic affairs will call for a meeting and present the calendar of events for personnel action. At that meeting, the committee will elect a chair.
- The unit committee will consider all candidates for promotion, tenure, or reappointment review presented to it in proper form.
- All committee members must attend all meetings (participation via phone or videoconference is considered attendance) during which candidates are reviewed and the dossier of each candidate must be complete and in the proper form at the time of presentation.
- The basis for consideration by the unit committee will be an updated faculty vita and the dossier with any materials added by the primary committee and division head.
- All votes will be by secret ballot and the committee vote for each candidate will be part of the evaluation record to be forwarded to the associate dean for academic affairs and the vice chancellor and dean.
- The committee must provide the vice chancellor and dean and the associate dean for academic affairs with a written summary of its actions, including the vote count for each candidate considered and a summary of the committee discussion of each candidate including explanation of any negative votes, as soon as possible after the committee deliberations. The vice chancellor and dean, in turn, must provide each candidate with the written summary plus the vote count for that candidate only, before the end of the
fall semester. In its written summary, the committee must fully describe the discussion associated with a negative or split decision. (A commentary that is too sparse may raise doubts in the minds of those at subsequent levels of review as to the rationale behind the decision.) Written summaries for all candidates must be worded with input from the entire unit committee before the committee adjourns, and it must be subsequently signed (after it is typed) by every member of the committee. To facilitate preparation of these reports, one member of the committee will serve as note-taker for the discussion of each candidate.

- When the dossier goes to the next level, the vice chancellor and dean will send a letter to the candidate informing him or her about the recommendations of the unit committee along with copies of those recommendations.

- After completion of the promotion, tenure, and/or reappointment process, the chair of the unit committee may call a meeting to discuss potential modifications to the IUPUC promotion, tenure, and reappointment process and to this document.

- The unit committee will also assist, at the request of the vice chancellor and dean, in reviewing negative reappointment decisions to ensure that faculty have been treated fairly.

- Following the review of candidates by the unit committee, each primary committee shall have the opportunity to discuss the standards used to evaluate whether candidates meet the criteria for promotion and tenure with the chair of the unit committee, the associate dean for academic affairs, and the unit committee members.

Primary/Division and unit level promotion and/or tenure committees must comply with the following guidelines:

- Voting members must fully participate in committee deliberations. There can be no proxy voting on promotion and/or tenure cases at any level.

- Faculty members and administrators who participate in the promotion and/or tenure process must have full access to all materials in the candidate's dossier and to assessments at all previous levels of review.

- Except for reconsideration of prior decisions, each faculty member and administrator who participates in the promotion and tenure process votes only once in any particular case. The committee member may decide at which level to vote if they serve on more than one level of review, as long as there are a minimum of four votes at each level.

- It is best if promotion and tenure committee members do not write letters of support for candidates for whom they will be serving on a review panel for promotion and/or tenure. Any committee member who has written a letter of support for a candidate must recuse himself/herself from voting on that candidate.

- All assessments by review committees or administrators must clearly describe the candidate's performance by reference to the terminology in the Indiana University Academic Handbook ("excellent," "highly satisfactory," "beyond satisfactory" (for the Associate Librarian secondary area of review), "satisfactory," or "unsatisfactory") even if additional categories or alternative terminology is also used.

- The administrative heads at the primary/division level (usually a division head) or unit level (the vice chancellor and dean) write their own letter of assessment for candidates. Therefore, they may not vote at any other level in the promotion and/or tenure process. Administrative heads may be present during deliberations of promotion and/or tenure committees within their units solely for purposes of providing clarification of issues related to the case, but they may not influence the outcomes of promotion and/or tenure committee votes.

- Clinical track faculty cannot serve on promotion and/or tenure review committees for tenure track faculty.

- Those voting for a promotion must at least hold the rank being sought by the candidate. If committee members at lower rank than the candidate are members of a primary or unit committee, they may be present for the discussion and participate up to the point of vote.

- Those voting for tenure must hold tenure.

- The report from each committee should account for negative votes based on committee discussions as opposed to submitting a minority report which is not allowed. The report should be written with sufficient detail to fully review the candidate’s qualifications. The committee chair gives a copy of the summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.

- The candidates to be considered are not in competition with each other. Each candidate should be judged on his or her own merit.

- IUPUC policy is that promotion and tenure decisions are to be made substantively at the division level, where the faculty member’s activities are best known and can best be evaluated. Thus the primary committee’s decisions must carry serious weight, with the primary committee being fully prepared to
justify decisions in response to questions from the unit committee. The unit committee is responsible for verifying that division, campus, and University criteria have been met and that the evaluation procedure and decision of the primary committee accurately reflects IUPUC criteria for promotion and tenure. However, the unit committee conducts its own review and is not required to concur with the primary committee.

- The dossier of each candidate must be complete at the time of presentation.
- A vote will be taken on each candidate by secret ballot immediately following the completion of the discussion of the candidate. When promotion and tenure are both being considered, promotion and tenure will be voted on simultaneously but as separate ballot items. The vote(s) on each candidate will be tallied only after all candidates for all ranks have been considered. After voting for the last candidate, ballots will be counted twice for each candidate, and the results announced at that time.
- For a candidate who is not recommended for promotion and/or tenure it is the responsibility of the vice chancellor and dean to discuss the action at the candidate’s request.
- The deliberations of the committee and the documents presented to the committee are confidential and not to be discussed by committee members with anyone not on the committee.
- The primary committee is asked to consider reviews of unsuccessful grant submissions. Analyze the pattern of grant success, where applicable and include a summary in the committee’s vote letter for promotion and/or tenure. Please review the candidate’s level of funding in light of the present context for funding in the field.

DOSSIER FORMAT

The dossier presents the evidence upon which promotion and/or tenure decisions are to be made. Guidelines for dossier format and documentation are to be used whether the candidate is being reviewed for promotion, tenure or both.

Dossiers should be no more than 50 pages (excluding the candidate’s vitae; external letters; and division head, dean, and committee letters). The general format of the document should include one-inch margins, single-spaced copy using typical fonts (Arial, Calibri, Times New Roman) with a font size no smaller than 11 point.

The candidate owns the dossier; therefore any substantive changes in the dossier must be reviewed by the candidate (see Addition of Materials/Comments). However, certain materials are added to the dossier by others as a regular part of the process. These include but are not limited to:

- **External Assessments**
  - Before the review process begins, external reviews will be added by the primary/division or school/unit person designated to collect them.

- **Committee/Administrator reviews**
  - Evaluative reports will be added to the dossier by each committee or administrator. Copies of the evaluative reports are to be sent to the candidate as the dossier is forwarded. As these evaluations are added, they become a permanent part of the dossier.
  - The vice chancellor and dean is expected to certify that the above condition has been met.
  - The candidate is not expected to respond to or comment on these evaluative reports.

One electronic copy of the candidate’s dossier is to be submitted to the Dean of the Faculties office. Coversheets, section tabs and tables of contents are not necessary. If a table of contents is included, it should be its own section and the PDF file labeled accordingly. (For example, “Smith Table of Contents.”) Candidates should check with their Primary/Division and/or Unit/School to see if a hard copy version of their dossier needs to be submitted.

- All files in the electronic copy are to be searchable PDFs. (When existing electronic files are converted into PDF format, they are usually searchable. When documents are scanned, additional steps will need to be taken to make the document searchable. For help with either process, please consult the PDF Instructions posted on our website or contact UITS or the CTL as they may be able to provide one-on-one help.)
- Each section constitutes one searchable PDF file.
- Each PDF file shall be labeled with the Candidate’s Last Name, the dossier section number and section title, for example:
Before transmitting the electronic copy to the Dean of the Faculties’ Office, the individual PDF files for a candidate shall be assembled into a PDF Portfolio. Please select “grid” as the layout style for the PDF Portfolio.

Each PDF Portfolio shall be labeled with the Candidate’s Name and the School’s HRMS Code, for example:

- Smith, John – IN COLU

According to University policy on data management and file sharing, these confidential documents may NOT be sent via e-mail. The school P&T coordinator needs to upload a zipped folder containing the PDF Portfolios for their school to https://www.slashtmp.iu.edu/ and send a secure download link to ofaa@iupui.edu. The school P&T coordinator will then send a separate e-mail to ofaa@iupui.edu containing the password required to download the file.

The unit/school should transmit the electronic files by the deadline set forth in the section titled Submission Deadlines.

All dossiers for tenure-track/tenured faculty and librarians should be divided into the following sections:

- 01. Transaction Forms
- 02. Review Level Two (Unit/School)
- 03. Review Level One (Primary/Division)
- 04. External Assessments
- 05. Internal Reference Letters
- 06. Candidate’s statement
- 07. Teaching (For Librarians: Performance)
- 08. Research and Creative Activity (For Librarians: Professional Development)
- 09. Professional and University Service (For Librarians: Service)
- 10. Assessment/Curriculum Vitae
- 11. Appendices

Dossiers for non-tenure eligible faculty (clinical, research and lecturer ranks) should only include sections relevant to the candidate’s appointment and required areas of evaluation. (See Summary of Areas of Excellence and Expectations for Various Faculty Categories in the Appendices.)

Most sections are prepared by the candidate unless otherwise noted in the descriptions below.

SECTION 01: Transaction Forms

- This section of the dossier is prepared by multiple people.
- This section contains only the following documents which should be placed in the exact order listed below:
  - Completed Checklist (see Appendices).
  - Routing and Action Form (see Appendices).

Note: The original was added to the dossier at a prior level; however, it will need to be scanned once all votes have been recorded.
SECTION 02: Review Level Two (Unit)

- This section of the dossier is not prepared by the candidate.
- Documents in this section are typically added to the dossier by the unit/school level reviewers and administrators. At IUPUC, this is typically the campus level.
- This section contains the following documents which should be placed in the dossier in the exact order listed below:
  o Vice chancellor and dean's recommendation regarding promotion and/or tenure and a summary evaluation of the candidate's professional activities (including performance and professional development for librarians). This evaluation should be dated, signed and printed on letterhead.
  o If the candidate holds an adjunct appointment in another division, the head of the secondary division or an appropriate representative should be given the opportunity to provide a letter for the dossier with his or her recommendation on the candidate; however, it is not required. This evaluation should be dated, signed and printed on letterhead.
  o Unit/school committee's written recommendation and the committee's evaluation of the faculty member's teaching, research and creative activity, and service or librarian's performance, professional development and service. This evaluation should be dated, signed and printed on letterhead.
  o If the candidate holds a joint appointment in two divisions:
    ▪ One division will be designated as the primary division in the letter of appointment (if the appointment letter does not designate a primary division, the decision about which division will be considered the primary division for the promotion and/or tenure process must be made prior to the dossier being assembled).
    ▪ The promotion and/or tenure committees in both divisions may be given an opportunity to conduct a full review of the candidate, with the understanding that the input of the secondary division becomes part of the deliberations of the primary division.
    ▪ The head of the secondary division, if tenured and holding a rank equal to or higher than that of the candidate, must provide a letter for the dossier with his or her recommendation on the candidate, perhaps in consultation with the promotion and/or tenure committee of the secondary division. This evaluation should be dated, signed and printed on letterhead.
  o Reconsideration documents in chronological order, if applicable. For example:
    ▪ Original Committee Letter
    ▪ Candidate's Reconsideration Request
    ▪ Committee's Response to Reconsideration Request

SECTION 03: Review Level One (Primary/Division)

- This section of the dossier is not prepared by the candidate.
- Documents in this section are typically added to the dossier by the primary/division level reviewers and administrators. For core schools based in Bloomington, this is the Indianapolis review.
- Some schools do not have a level one review so some of these documents may not apply; those that do will need to be inserted by unit level reviewers/administrators.
- This section contains the following documents which should be placed in the dossier in the exact order listed below:
  o Division head's individual recommendation regarding promotion and/or tenure — and a summary evaluation of the teaching, research and creative activity, and service in relation to divisional norms and expectations. (Note: For core schools this recommendation may be made by the Executive Associate Dean on the Indianapolis campus instead of or in addition to that made by the division head.) This evaluation should be dated, signed and printed on letterhead. If a division head letter will not be included because the candidate is the division head, the division head is of a lesser rank than a candidate or for another reason, please include a note stating the reason no division head letter will be included as a placeholder.
  o The written recommendation of the primary committee, including the committee's evaluation of the faculty member's teaching, research and creative activity, and service or the librarian's performance, professional development, and service. These areas should be evaluated in terms of excellent, highly satisfactory, satisfactory, or unsatisfactory. In the case of tenure recommendations, the statement should include an evaluation of the likelihood that the candidate will continue his or her activity in
these three areas based on past performance and future plans. This evaluation should be signed and dated.

- Reconsideration documents in chronological order, if applicable. For example,
  - Original Committee Letter
  - Candidate’s Reconsideration Request
  - Committee’s Response to Reconsideration Request

**SECTION 04: External Assessments**

- This section of the dossier is **not** prepared by the candidate.
- Documents in this section are added to the dossier by the person who requests the external assessments. This may be the primary committee chair, division head, unit committee chair, deans, or designee.
- This section contains the following documents which should be placed in the dossier in the exact order listed below:
  - A sample of the external assessment solicitation letter sent to reviewers for candidate.
  - A list containing brief statements (two or three sentence) on the expertise of each external referee. Please do not include CVs of external referees. If the referee is acquainted with the candidate personally, the nature of their professional relationship and work together should be noted and explained.
  - External assessments and completed External Referee Forms are to be placed in the order they appear on the expertise statement listing mentioned above. If a reviewer does not return the External Referee Form, please note how you attempted to get it. For example: Form A, Letter A, Form B, Letter B, Form C, Letter C, etc.
  - Please note that all external assessments must comply with the criteria defining "arm’s length" or independence of external reviewer (See External Assessment). **No candidate dossier should be forwarded to FAA without the required six “arm's-length” external reviews.**

**SECTION 05: Reference Letters**

- This section of the dossier is **not** prepared by the candidate.
- Documents in this section are added to the dossier by the person who requests internal reference letters. This may be the primary committee chair, division head, unit committee chair, deans, or designee.
  - Letters solicited by the candidate should **NOT** be placed in this section. They should be placed in the evidence section they best support – teaching, service or research/creative activity.
- This section contains the following documents which should be placed in the dossier in the exact order listed below:
  - A sample of the internal reference solicitation letter sent for the candidate.
  - All internal letters received. Once a letter is added at any level of review, it becomes a permanent part of the dossier and is not to be removed.

**SECTION 06: Candidate’s Statement**

- This section counts toward the 50-page limit on the dossier.
- Candidates for promotion and/or tenure should prepare a maximum of 5 single-spaced pages for their candidate’s statement that reflects their own assessments of their accomplishments in teaching, research and creative activity, and service (for faculty) or performance, professional development, and service (for librarians). Prospects for continued development in these areas must be addressed. **Candidates have the option to limit the Candidate’s Statement in Section 06 to five pages and include two single-spaced pages, addressing the area of excellence, as a section introduction in either Section 07, 08, or 09 depending on chosen area of excellence** (these additional two pages should **not** be included in section 06; rather, they should be placed in the section the candidate has designated as their area of excellence). **Candidates going up on a balanced case should prepare a maximum of 7 single-spaced pages for their candidate’s statement, inclusive of the three areas of highly satisfactory work in Section 06.** In cases where the candidate undergoes unit-level review at another campus (e.g., core schools like Education), an accommodation with the page-length expectations of those campuses may be needed.
- Candidates are cautioned to describe their work in clear language that can be understood by readers from other disciplines.
• Candidates for promotion should focus on their designated areas of excellence and satisfactory performance; in the case of research faculty and scientists and scholars, on research and service (if service is expected by their unit); for clinical faculty and lecturers, on teaching and service.
• The Candidate’s Statement is a place for reflective commentary focused on the criteria for promotion and/or tenure.
• The Candidate’s Statement should address the interrelated aspects of a whole, integrated career. Few candidates make sharp distinctions among the various aspects of their work as they do it, and the statement should indicate how the candidate views the integration of these aspects, even while assessing achievements in each. Special attention should be given to work that cuts across specializations and disciplines and that helps integrate and apply knowledge to broad patterns of intellectual activity.
• Candidates engaged in interdisciplinary work or team science should make every effort to represent their contribution to collaborative scholarship clearly as well as the significance and value of any interdisciplinary approach they are pursuing. Candidates should carefully document their individual contributions within this context and should also demonstrate some level of independent research beyond the team science work.
• Candidates involved in public scholarly work or civic/community engagement should clearly articulate the nature of their work and how it differs from traditional scholarship, evidence metrics and dissemination outlets.
• Candidates should be careful to provide clear and sufficient information about their individual roles in collaborative projects, publications, presentation, or grants.
• Candidates should explain how their service has contributed to the common good of the campus and University and how these contributions reflect division and school/unit expectations.
• Candidates should especially address their own assessment of the impact, significance or value of their work to their discipline or profession, to the unit and campus, and to society as a whole.
• Candidates should also indicate the prospects for continued personal development in their defined areas of professional activity.
  o Whenever possible, tenure-track faculty members should state specific plans for a research or creative activity agenda, for a plan to enhance teaching effectiveness, and for continued participation through professional service in their profession, the campus, and a community.
  o Faculty in non-tenure track appointments should focus on their respective areas of performance.
  o Similarly, librarians should indicate the prospects for maintaining excellent performance and for continuing to contribute to their profession through their engagement in professional development and service activities.
• Candidates who seek advancement based on excellence in professional service should be able to demonstrate that such service is, in fact, academic work, which has significant results that have been communicated or disseminated in such a manner as to be reviewed by peers. The application of criteria to professional service should be clear, and professional service must be clearly related to the mission of the University, campus, and school/unit, and division.
• The candidate’s case for excellence should be made in relation to division, unit/school, and University criteria.

SECTION 07: Teaching (For Librarians: Performance)

• This section counts toward the 50-page limit on the dossier.
• This section is excluded for non-tenure eligible research ranks.

Faculty: Documenting Teaching
IUPUC requires documented evidence of at least satisfactory teaching by each faculty member for tenure and for advancement in rank (with the exception of those classified as research faculty, scientists and scholars).

This section generally consists of supporting documentation related to teaching and, if this is the area of excellence, the candidate has the option to limit the Candidate’s Statement in Section 06 to 5 pages and add a Statement of Teaching (a narrative that is a maximum of 2 single-spaced pages as a section introduction). Candidates should provide the following evidence to document teaching and advising in this section. They should feel free to address other points not identified below:
• Evidence of the quality of teaching and advising as evaluated by peers (required for satisfactory level or higher).
  o Peer review of teaching is as important as peer review of research and creative activity.
  o Review of teaching is a formative activity to facilitate improvement and skill development in teaching. Rank requirements such as those used for external evaluators are not applied to the formative teaching review processes.
  o Local disciplinary peers can provide essential information and assessment based on observation of the classroom, studio, laboratory, or other learning environments, including those based on technology. Additionally, local peers outside the discipline can provide an additional perspective of excellence in teaching, including practices in the classroom, teaching materials, and the scholarship of teaching and learning.
  o Peer review of classroom instruction is most effective when it is based on multiple visits to classes and examination of materials; isolated observations are rarely helpful.
  o It is much more difficult for external peers (i.e., external to IUPUC) to observe actual teaching, and thus local peers should prepare reports sufficiently descriptive to be useful to external peers along with other documented results of effectiveness.
  o Evidence in the dossier should summarize statements, checklists, and methods used by peers to comment upon the quality of classroom performance and the quality of course design as evident in the syllabus and other course materials reviewed by colleagues. Similar statement or summary evidence of instruments may be submitted to document impact on student learning based on peer review of such indicators as student work (papers and projects), performance on standard exams, or personal experience with students in subsequent courses or institutions of higher learning. This evidence from peers may have resulted from in-person review or from review of materials in print or electronic form by those at a distance who teach in similar fields or use similar methods.

• Evidence of quality of teaching, advising, or mentoring as evaluated by students (required for satisfactory level or better).
  o Such assessments are most effective when conducted over a period of years and compared to other faculty in the division/unit/school.
  o Only summaries should be included in dossiers. The summary should include (in grid format if possible) results by course, year and item to establish trend lines where applicable.
  o The summary should discuss individual results within the context of the division or unit/school to enhance the usefulness of the information to outside readers. When norms are available for comparison to others in the program, unit/school, campus, or discipline, these should be included. When results of scaled questionnaires are used, the values of the numeric ratings should be stated.

• Evidence of effective teaching through scholarly dissemination of knowledge about teaching, especially in peer-reviewed media, is required for documenting teaching at the level of excellence.
  o Such activities, while listed on the curriculum vitae, should also be documented and discussed in this section.
  o Tenure-track faculty seeking advancement based on excellence in teaching should have peer-reviewed publications that document student accomplishment or contribute to the theoretical base of knowledge about curriculum or effective teaching and learning.
  o Discussion of the significance and impact of peer-reviewed presentations, including status of the venue, competitive acceptance rates (where available), number of attendees and any retrievable evidence of the presentation is expected. Because a presentation may take many forms, it must be documented and retrievable, and is valued for promotion and tenure purposes to the extent it reflects the same criteria of scholarly value as standard professional publications, including its breadth of exposure and dissemination; its scholarly impact, and the selectivity, scale, scope, and the prestige of the presentation venue.
  o In some instances, and particularly for the lecturer and clinical ranks, publication may not be the most effective or feasible means of disseminating the results of effective teaching practices or pedagogical research. When other forms of disseminating results are more appropriate, this fact should be explained and those evaluating the candidate’s work at the primary, unit, and campus levels should consider this alternative form of dissemination. Candidates and division heads (or deans) may wish to take special care in explaining why alternative forms of dissemination may better fit with standards in the field.
• Evidence that courses taught contribute to the overall student learning outcomes specified by the unit and evidence that students have met or exceeded course or curricular learning objectives should be provided.
  o The role of the faculty member in assisting students to meet learning objectives should be documented and assessed in ways appropriate to the discipline and to the mission of the unit.
  o This may be captured through peer review or through systematic assessment of student achievement or from standardized, nationally-normed profession-related tests.
  o Faculty who teach undergraduate students should also address how their courses and scholarship of teaching contribute to learning outcomes specified by their academic unit and the Principles of Undergraduate Learning (PULs) in the statement they submit for this section.
  o At the graduate and graduate professional levels, comparable assessment measures for student learning should be developed if they do not yet exist and the Principles of Graduate and Professional Learning (PGPLs) should be addressed.

• Evidence of undergraduate or graduate research and effective mentor relationships with students leading to documented learning outcomes should be provided when applicable.
  o This evidence can be provided by listing co-authored papers or joint conference publications with students on the curriculum vitae or by discussing the nature of the student outcomes in the statement for this section.

• Evidence of the nature and quality of course and curriculum development and implementation to enhance the quality, effectiveness and efficiency of teaching is expected.
  o Faculty who are using technology, problem-based learning, service learning, multicultural learning, study abroad, or other special approaches and tools to enhance student learning are especially encouraged to present these aspects of course design (even experimental use), and how they conform to or extend principles of good practice.
  o Course and curriculum development and implementation activities not reported in the candidate’s statement or in the curriculum vitae may be included in this section.
  o Evidence about student learning associated with these activities can be part of the peer review or student evaluation evidence, especially when reviewers have been asked to comment on these specific innovations.
  o Improvement in teaching for probationary faculty can be compelling when documentation demonstrates that the improvements can be sustained.
  o External peer evaluation of course development is highly recommended for faculty documenting excellence in teaching.

• The number of student graduate committees the candidate has served on or chaired and the evidence of the quality of results as documented by student achievements should be provided, as appropriate.

• Local, regional, national, or international teaching, advising or mentoring awards, including information about their nature and significance (e.g., criteria, competitiveness, pool of applicants, number awarded) should be listed. These can be listed on the curriculum vitae, but if explanatory details are needed, they may be included in this section.

• Teaching or advising grants (including training grants) received and their outcomes should be included. These can be listed on the curriculum vitae with outcomes information included in the statement for this section.

• Leadership roles in professional associations in organizing conferences, in presenting papers at conferences related to teaching, advising or mentoring, and in advancing other aspects of teaching should be included.
  o While these can be listed as professional service on the curriculum vitae, they may be included in the statement for this section if explanatory details are needed to support the candidate’s case.

• Information on the teaching load of the candidate should be reported.
  o While the teaching load is reported on the curriculum vitae, an indication of whether it is greater or less than the average teaching load in the division should be reported in this section.
  o A large number of students is not per se evidence of achievement; teaching and student learning must be evaluated.
Similarly, teaching a small number of students does not indicate diminished achievement if the teaching load is appropriate and there is a sufficient threshold for evaluating the quality of the teaching.

Faculty may hold part-time appointments at any rank and in any classification; the expectations and measures for teaching achievement should be proportionate.

- **Using technology, distributed education, problem-based learning, community-based learning, international videoconferencing, or other new techniques and tools to enhance student learning.**
  - Faculty are encouraged to report their experiments and to document results.

- **Interdisciplinary work**
  - Faculty engaged in interdisciplinary teaching are encouraged to describe the significance and impact of bringing multiple disciplinary approaches to their area of interest.

- **Retention**
  - Since retention of students is of considerable importance to IUPUC, faculty members involved in retention efforts should include a description of these activities.
  - Include any evidence that indicates the impact these activities have had on increasing retention, either in their own classrooms or in a broader school/unit or campus setting.

**Librarians: Documenting Performance**

The *Indiana University Academic Handbook* requires that the primary area of excellence for every librarian be Performance. This section consists of supporting documentation related to librarian performance. Any scholarship related to performance is considered Librarian Professional Development.

Candidates should provide the following evidence to document librarian performance in this section of the dossier:

- **A Statement on Performance describing performance activities and their impact is expected.** The statement should be a narrative that is a maximum of 2 single-spaced pages analyzing the librarian performance area. When performance is highly repetitive, as is often the case for librarians, candidates should comment on the cumulative impact of the repeated activities.

- **Position description(s) detailing performance responsibilities.**

- **Evidence of quality or impact by patrons, faculty or other recipients of librarian performance.** It is difficult for external peers to observe actual performance, and thus, these activities should be sufficiently descriptive to be useful to external peers.

- **Other documentation addressing the quality of performance can be included, and might contain:**
  - Table or charts that summarize major performance projects/products.
  - Statistical summaries over time.
  - Other documentation addressing the quality of performance, as described in the "Suggested Standards for Evaluating Librarian Performance."

**SECTION 08: Research and Creative Activity (For Librarians: Professional Development)**

- This section counts toward the 50-page limit on the dossier.
- Research or its equivalent in the creative and performing arts is expected of all tenure-track and tenured faculty at IUPUC, as well as all research faculty, scientists, and scholars.
- For these faculty members, a threshold of documented satisfactory performance is required for promotion and/or tenure.
- In some units, funded research is an expectation and has become incorporated in division or school/unit standards for assessing excellence or satisfactory performance. Candidates should be careful to understand division or school/unit standards for external funding. Expectations should be applied consistently and equitably to all faculty within units. Information regarding the expectation for externally funded research should be available to all faculty in written form if it is a requirement for advancement.
- Peer review of research and creative activity is both for satisfactory and for excellence levels of evaluation.

**Faculty: Documentation of Research or Creative Activity**

This section generally consists of supporting documentation related to research or creative activity and, if this is the area of excellence, a Statement on Research or Creative Activity (a narrative that is a maximum of 2
single-spaced pages analyzing the research or creative activity area). Candidates should provide the following evidence to document research or creativity in this section. They should feel free to address other points not identified below:

- **Identification and discussion of the three to five most significant publications that reflect the candidate's major research accomplishments in rank.**
  - IUPUC places a higher value on quality and impact of research than number of publications.
  - In order to help reviewers outside the discipline to understand the importance placed on the order in which authors are listed in a publication notation, candidates should include descriptions of these conventions in their dossier.
  - Increasingly, research or creative activity involves collaboration. Such collaboration across institutional and disciplinary lines is encouraged. Candidates must be careful to document the extent and form of their contributions to collaborative work. They should make clear their individual role (e.g., conception of work; acquisition, analysis, and interpretation of data; writing, revisions, and other communication; administrative and material support; corresponding or primary authorship) in such collective activity, preferably as related by colleagues involved in the joint work. Division or school/unit assessment of the individual contributions of the candidate who works with more than one author or collaborator must be included.
  - Division or school/unit evaluation of the stature of the journals in which the publications appeared, the museums or galleries showing creative work, or other venues for disseminating the results of research or creative activity must be included. Whenever available, the acceptance rates (or other evidence of stature or quality) should be noted. Avoid abbreviations; reviewers outside the candidate's field are not likely to be familiar with them. In instances where a candidate is working in an interdisciplinary field and is publishing in journals or media other than the normal disciplinary publications, care should be taken to explain the nature, quality and role of the journals. If the published work is of demonstrably high quality, the fact that a journal is not (yet) highly ranked or even recognized within a discipline should not by itself be grounds for disqualifying or devaluing the publications.

- The candidate's own description of a continuing program of research or creative activity that will carry forward into the future.

- Discussion of the significance and impact of peer reviewed presentations, including status of the venue, competitive acceptance rates (where available), number of attendees and any retrievable evidence of the presentation is expected. Because a presentation may take many forms, it must be documented and retrievable, and is valued for promotion and tenure purposes to the extent it reflects the same criteria of scholarly value as standard professional publications, including its breadth of exposure and dissemination; its scholarly impact; and the selectivity, scale, scope and the prestige of the presentation venue.

- Where applicable, there should be an assessment of the candidate's contributions to interdisciplinary research, including written evaluations from appropriate peers in research centers or other divisions/units.

**Librarians: Documentation of Professional Development**

Librarians must select a secondary area for promotion and/or tenure in addition to Performance, which is always the primary area of excellence. If Professional Development is selected, a Statement on Professional Development describing the impact of activities in this category is expected. The statement should be a narrative that is a maximum of 2 single-spaced pages analyzing the librarian's Professional Development.

Librarian Professional Development includes all scholarship (including any scholarship of performance, professional development, and service).

- Documentation may take many forms, such as research (both applied and theoretical), publications, or presentations to professional or disciplinary groups.

- Documentation should include a definite continuing program of professional development that advances ideas, knowledge, and technical ability to the whole profession and academic life, including internal and external peer review. Annual reviews may also be included.
SECTION 09: Professional and University Service (For Librarians: Service)

- This section counts toward the 50-page limit on the dossier.

Faculty: Documentation of Professional and University Service

This section generally consists of supporting documentation related to service and, if this is the area of excellence, a Statement on Service (a narrative that is a maximum of 2 single-spaced pages analyzing the service area). Candidates should provide the following evidence to service in this section. They should feel free to address other points not identified below:

- Professional service is normally provided to three specific groups:
  - the public (e.g., various local, national, and international communities; clients; and/or patients);
  - the profession or discipline; and
  - the campus and University.

- Satisfactory professional service is expected of each faculty member and librarian.

- The importance assigned to service in considering candidates for promotion or tenure may vary according to individual circumstances and the mission of the unit.

- Professional service, including professional service in the community and patient or client services, is characterized by those activities conducted on behalf of the University that apply the faculty member's and librarian's disciplinary expertise and professional knowledge of interrelated fields to issues in society.

- In documenting excellence in professional service, faculty must be alert to the need to collect information and evidence at the time services are provided so that it can be used later to demonstrate impact.

- 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.

- Peer review within IUPUC and IUPUI and by disciplinary or professional peers at other universities or public settings is an essential component for evaluating all aspects of professional service, as it is for teaching and research.

- Evaluations of effectiveness by clients, patients, and other recipients of or participants in professional service activities may be critically important as evidence that can be summarized and assessed by disciplinary peers. Evaluation of service impact may include outcome data for the population served, compliance with evidence-based practice guidelines, or comparative data from benchmark groups.

- Faculty claiming excellence in service, whose professional service consists primarily of patient or client service, must document how their work exceeds normative levels of activity and quality and is, in fact, excellent because it represents exceptional outcomes that results in the faculty member being recognized as an expert in their field and brings prestige to the candidate, the division and the unit. Such exceptional service contributes to the knowledge base or demonstrates a level of proficiency that itself illuminates practice for others. In all cases, this work must:
  - have impact beyond the direct recipient of the service; and
  - be documented through appropriate publications or dissemination activities.

- For lecturers, service may be directed toward the academic unit, but must be characterized as intellectual work to be considered as professional service. For example, developing standards for the assessment of the portfolios of entering students may be appropriately classified as professional service.

- Excellence in professional service ordinarily results in the dissemination of results and findings through appropriate publication, whether in print or electronic media. The journals, books, or web documents in which faculty publish the results of their service activities should be assessed and evaluated by division heads in the same manner as they are for research or teaching publications.

- As with research, professional service may span traditional disciplinary boundaries. In such instances, candidates and division heads may wish to develop appropriate procedures (e.g., a specially composed primary committee) to ensure that the nature of interdisciplinary professional service is fully and adequately understood and assessed.
• Professional service to clients and patients as well as to the discipline may be local, regional, national, or international.

This section should minimally include the following items:
• Description of the candidate’s professional service activities.
  o Faculty involved in clinical practice should describe the variety and extent of patient or client care.
  o Those activities that are truly exceptional should be annotated to differentiate these activities from the level of clinical service expected as a normal distribution of effort.
  o Faculty presenting committee or voluntary service as evidence of achievement in service should demonstrate that it is a direct reflection of professional expertise and has been evaluated by peers as substantive professional and intellectual work.
  o Professional service that is the basis of advancement in rank or tenure must be clearly established as academic work.
• Evidence of the significance and impact of the professional service should be provided through tangible results that can be assessed in the context of division and campus mission.
• Evidence of the candidate’s individual contributions, especially when the professional service is collaborative in nature; specific contributions of the candidate should be noted.
• Evidence of leadership in providing professional service, especially when there is a collaborative environment, including contributions that build consensus, help others (including patients or clients) complete required assignments, and reflect the best practices and standards of the discipline; evidence of increasing levels of responsibility and sustained contributions are important.
• Evidence of effective dissemination of results to peers, practitioners, clients, patients or service recipients in reports, documents, or other means of dissemination that are designed appropriately to make the results understood and useful. While these reports may not be peer reviewed as a part of the publication and dissemination process, they should be evaluated by disciplinary peers for appropriateness and effectiveness as a part of the advancement review process.
• Evidence and evaluation of the impact of university service.

Documenting professional service activities when excellence in professional service is the primary basis for promotion or tenure:
• External peer evaluation of products or results of professional service, including refereed and non-refereed publications or other means of dissemination.
  o While some peers may come from the practice community, a majority should be independent academic peers from institutions with an equal or greater reputation in the area of professional service. Special care must be given to assure that the external reviewers are at “arm’s length” or independent as described in the section on External Assessment.
  o Care should be taken in describing the qualifications and relevance of external reviewers, especially when the reviewers are not academically based.
  o When professional service is conducted outside the U.S., it is advisable to seek some evaluation by appropriate peers in the relevant countries.
  o Client evaluations may not be substituted for peer evaluations.
• Assessments from local faculty colleagues who can place the quality of professional service within a context of division, school/unit, or interdisciplinary standards.
• Evaluation by clients, patients or service recipients.
  o Faculty should arrange for timely evaluations by recipients and determine appropriate ways to use this information.
• When professional service is highly repetitive, as is often the case in patient care, candidates should comment on the cumulative impact of the repeated activities. Quantity of patient service ordinarily is not a sufficient factor in promotion or tenure, although it is expected to be high to support an area of excellence.

Librarians: Documentation of Service
Librarians must select a secondary area for promotion and tenure in addition to Performance, which is always the primary area of excellence. If service is selected, a Statement on Service, describing the impact of activities in this category is expected. The statement should be a narrative that is a maximum of 2 single-spaced pages analyzing the librarian’s service. The notion of professional service, as it is applied to faculty, is
seldom applicable to librarians since ‘professional service’ is more typically an aspect of librarian performance. Nonetheless, professional services that do not fall within the scope of a librarian’s position description may be included as evidence satisfying the service criterion. These may take the form of professional consulting or teaching.

- Documentation of service should focus on impact.
- A librarian must present evidence of satisfactory service for tenure and, if service is cited as an area of emphasis, evidence of continued improvement beyond the satisfactory level for promotion from assistant to associate librarian.
- Service to national or international organizations is highly encouraged, but not required. Institutional, local, regional, and national service should be documented through peer and external review.

SECTION 10: Assessment/Curriculum Vitae

- This section of the dossier is prepared by the candidate and the primary/division level reviewers and administrators. For core schools based in Bloomington, this is typically the Executive Associate Dean or their designee. For schools that do not have a level one review this will be done by unit/school level reviewers and administrators.
- This section contains the following documents which should be placed in the dossier in the exact order listed below:
  - An assessment the dissemination outlets in the candidate's area of excellence (or in all areas for a balanced case). This is typically prepared by the division head (see Year 6 under Division Head’s Responsibilities for complete details); however, it could be prepared by the primary committee chair, unit committee chair, dean, or designee. It is NOT prepared by the candidate. Division or school/unit evaluation of the stature of the journals in which the publications appeared, the museums or galleries showing creative work, or other venues for disseminating the results of research or creative activity must be included. Whenever available, the acceptance rates (or other evidence of stature or quality) should be noted. Avoid abbreviations; reviewers outside the candidate’s field are not likely to be familiar with them. In instances where a candidate is working in an interdisciplinary field and is publishing in journals or media other than the normal disciplinary publications, care should be taken to explain the nature, quality and role of the journals. If the published work is of demonstrably high quality, the fact that a journal is not (yet) highly ranked or even recognized within a discipline should not by itself be grounds for disqualifying or devaluing the publications. The actual assessment must be placed here; it is not acceptable to simply place a marker that asks the reviewer to refer to the division head’s letter or some other place in the dossier.
  - A copy of the candidate’s current curriculum vitae prepared in accord with the standard format (see Appendices).

SECTION 11: Appendices

- Appendices are not part of the 50-page limit.
- Appendices should provide documentation for all of the assertions made in the Candidate’s Statement.
- Appendices may include articles published or accepted for publication, grant proposals accepted or under consideration, syllabi for redesigned courses, or any other materials that support a case for excellence in a chosen area and at least satisfactory performance in the other areas.
- Librarians, in accord with guidelines for librarian dossiers, should add separate appendices that include supporting documents for: (1) performance; (2) professional development; and (3) service. Appendices should be as succinct and as carefully selected as possible.
- Appendices are to be retained at the unit/school level, but be available to the campus level upon request. Do NOT forward Appendices to Dean of the Faculties Office unless specifically requested.

PEER REVIEW AND EXTERNAL ASSESSMENT

Peer Review

- The evaluation by peers of teaching (performance for librarians), research and creative activity (professional development for librarians), and service is the bedrock on which promotion and/or tenure decisions are based.
• This evaluation should occur continuously across the career in the form of regular peer review of teaching, research and creative activity, and service.

• At intervals where candidates seek promotion and/or tenure, an additional level of peer review of the overall record is needed.

• These two types of peer review, ongoing review of teaching, research and creative activity, or service, and assessment of the overall record, are both important and subject to different considerations.

Ongoing Review

• Traditionally, peer review of research and creative activity has been a standard feature of faculty work.

• Evaluation of work submitted to journals, juried shows, or other outlets for dissemination is considered the routine way to document the quality of this work.

• Expectations for peer review of the quality and impact of teaching and professional service are now well established at IUPUC.

• Peer evaluation of teaching or professional service is expected for all candidates with teaching or professional service as an area of performance and it is required for those whose advancement is based on excellence in teaching or professional service. In the absence of a clear reason for the omission, dossiers without peer evaluations may be returned as incomplete. Ongoing peer review need not occur every year, but there should be a record of sustained peer review over the interval since appointment or last promotion.

• Ongoing peer review may be provided by local, national, or international peers.

• To be credible, peer reviewers must be identified according to their expertise or competence to comment.

• These peer reviews should be requested at intervals by the division head as part of the division’s peer review policies and procedures, and conducted in the standard way specified by the academic unit.

External Assessment

External assessment is essential to provide the committees evaluating each candidate for promotion and/or tenure an objective evaluation of the value and impact of the candidate’s work within the discipline, and to demonstrate that each candidate for associate professor has achieved an emerging national reputation and that each candidate for full professor has achieved a sustained national reputation as demonstrated by a well-established and cumulative body of work in rank. Special circumstances where scholarly productivity has been interrupted can be considered. External assessment is a summative evaluation process with associated rank requirements.

As IUPUC grows in complexity and as the nature of faculty and librarian work evolves, expectations for the form of independent, external assessment of the overall record appropriate to each type of faculty appointment continues to be refined.

• External assessment (ordinarily in the form of a letter or verified email note) is expected of all candidates at all ranks. To provide each candidate maximal opportunity for success, at least six assessment letters are required. Cases that come to the campus level without six acceptable “arm’s-length” letters will be returned to the school.

• If a candidate is reapplying for promotion within three years of a previous dossier submission (whether as a result of denial of promotion or withdrawal of the case prior to final decision), all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission.

• The candidate should not be involved in the selection of external reviewers, with two exceptions: 1) the candidate should be allowed to list those he or she would definitely not want to serve as an external reviewer, and 2) the candidate may provide a list of key scholars in the field if these are not known to the division head or division head’s designee. The candidate must discuss this list with their academic administrator and should indicate clearly on the list that each meets the “arm’s length” or independent criteria outlined below. Division heads or deans are not required to use the external reviewers identified by candidates.

• Division heads/deans may seek additional guidance to identify potential external reviewers, for example, from chairs of similar divisions/departments in other universities, from senior faculty in the division in the same or related specialty, or from the scholars quoted in the candidate’s publications. Reviewers do not
have to be scholars in the identical sub-specialty as the candidate. Division heads should not inform candidates about the identities of the final external reviewers. Biographic summaries of external reviewer should be provided by the division head, and are not to be written by the candidate.

- **Criteria Defining “Arm’s Length” or Independence of External Reviewers:**
  The relationship between the reviewer and the candidate should be as independent as possible. To qualify as “arm’s length” or independent, reviewers providing external assessment should have no personal, professional or academic relationship with the candidate that would cause them to be vested in the candidate’s promotion. Specific examples of reviewers to avoid include (but are not limited to) former or current mentors, co-authors, or scholarly collaborators in the last five years. Exceptions can be made in the case of very large national clinical trials where multiple authors have a very distant relationship or in the case of serving on national research or service panels. The division head needs to specifically make the case for including such a reviewer. If in doubt, please contact the IUPUI associate Dean of the Faculties. Every precaution should be taken to ensure that referees are objective and credible; persons closely associated with the candidate may not be as objective as those who are not personally associated. Reviews deemed to not comply with the “arm’s-length” criteria will not count toward the six needed reviews.

- **Academic external reviewers must be at a rank higher than the current rank of the candidate,** and at a peer (or higher) institution. When there are highly qualified academic reviewers who are considered top experts in the field but they do not meet the rank or peer institution guidelines, the division head must provide sufficient explanation as to why they have been selected as an appropriate reviewer.

- **Non-academic external reviewers** may be included when a clear explanation of the relevance of such a review is presented by the division head. It is always in the best interest of the candidate to select the strongest pool of external reviewers possible.

- Unit/school practices may vary in regard to who solicits external letters, but the candidate should not solicit or receive his or her own letters. Division heads should indicate how the external reviewers were selected and a sample of the letter sent from the unit/school to external reviewers should be included in the dossier of each candidate. Make sure the External Referee form is completed and returned by the reviewers (see Appendices).

- General expectations for external assessment vary with type of appointment.

<table>
<thead>
<tr>
<th>CLASSIFICATION</th>
<th>RANK BEING SOUGHT</th>
<th>EXTERNAL REVIEWERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure track faculty, research professors, scientists, and scholars</td>
<td>Advancement to full</td>
<td>External independent review is required. A maximum of 2 peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible. Academic reviewers must be at full rank.</td>
</tr>
<tr>
<td></td>
<td>Advancement to associate</td>
<td>External independent review is required. A maximum of 2 peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible. Academic reviewers must be at the rank of associate or higher.</td>
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Clinical Track

| Advancement to full clinical professor | External independent review is required. A maximum of 2 peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible. Reviewers should be at the rank of full professor. They may be tenured or on clinical track.

| Advancement to associate clinical professor | External independent review is required. A maximum of 2 peers external to the division or from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible. Reviewers should be at the rank of associate or higher. They may be tenured or on clinical track.

Lecturers

| Advancement to senior lecturer | External peer review of the overall record is not required as long as a sufficient number of IUPUC or IUPUI peers outside the division or discipline provide an objective assessment of teaching or professional service.

Librarians

| Advancement to full librarian | External independent peer review is required. A maximum of 2 peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible.

| Advancement to associate librarian | A maximum of 2 letters from campus faculty, librarians, or administrators external to the unit are acceptable; they should be solicited in the same careful way as external assessment letters to ensure independent review.

- When excellence in teaching or professional service is a basis for advancement, it is important to provide documentation that will enable external reviewers to make informed judgments.
  - For teaching, most divisions/schools/units have effectively sought external evaluation of course design and materials as part of their review of teaching accomplishments. This type of evaluation may be particularly helpful in considering materials prepared for use with new technologies (e.g., internet, multimedia, videos, computer simulations, databases, software) or for judging the incorporation of service learning as a part of courses.
  - For professional service, candidates should include sample reports, presentation materials or other items, illustrating their scholarship of service, as well as evaluation or impact data related to their work.
  - Without documented results and without external peer review, candidates for advancement based on excellence in teaching or professional service should not expect to succeed.
- Librarians should provide external reviewers with materials appropriate to their context, in addition to the standard information on responsibilities and publications and presentations documented in the vita and candidate’s statement.
- For further assistance with soliciting letters and for a solicitation template, please consult the appendices.
- When submitted to the IUPUI Dean of the Faculties through FAA, all dossiers will be given an initial administrative review to assess whether or not the external assessment appears to meet the requirements of these guidelines. If the dossier appears to be deficient in some way, it will be returned with the expectation that the deficiency can be addressed before the campus-level review begins (see Returned Dossiers).
INSTITUTIONAL PROCEDURES

Submission Deadlines

- Candidates submit dossiers for promotion and/or tenure to their divisions prior to the second Friday in August.
- For IUPUI campus level review, an original hard copy dossier and one electronic copy for each candidate must be submitted to the Dean of the Faculties through FAA no later than Friday, October 30, 2015.
- If extenuating circumstances exist, a request for a time extension should be sent by Friday, September 25, 2015 to the Assistant Dean of the Faculties for FAA. Within one week of the extension being approved, the following information for each candidate must be sent electronically to ofaa@iupui.edu:
  - First, Middle and Last name;
  - University ID Number;
  - Area of Excellence;
  - Type of Review (promotion, tenure or both); and
  - Title Sought (does not apply to tenure only candidates).

- Under no circumstances will the deadline extend beyond Wednesday, November 25, 2015. Dossiers submitted late (i.e., after November 25, 2015) or not submitted in accord with these guidelines may be returned and consideration deferred until the following year.

Here is an overview of the promotion and/or tenure review year at IUPUC:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time Frame</th>
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<tbody>
<tr>
<td>Candidates prepare dossiers</td>
<td>No later than spring of 5th year</td>
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<tr>
<td>Candidates submit dossiers to the primary division</td>
<td>Prior to the second Friday of August</td>
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<tr>
<td>Primary committee submits recommendations to the division head</td>
<td>At least one week prior to the last Friday of September</td>
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<tr>
<td>Division head submits dossiers to the associate dean for academic affairs to forward to the unit committee</td>
<td>Prior to the last Friday of September</td>
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<tr>
<td>Unit committee submits recommendations to the vice chancellor and dean</td>
<td>At least one week prior to the last Friday of October</td>
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<tr>
<td>IUPUC submits dossiers to Academic Affairs</td>
<td>The last Friday of October</td>
</tr>
<tr>
<td>IUPUI campus committee reviews and evaluates all dossiers</td>
<td>December, January and February – sometimes into early March</td>
</tr>
<tr>
<td>IUPUI campus committee recommendations are forwarded to the Dean of the Faculties and the Chancellor.</td>
<td>Immediately following all reviews; early to mid-March</td>
</tr>
<tr>
<td>Chief Academic Officer reviews cases, completes an independent evaluation and forwards recommendation to the Chancellor.</td>
<td>Mid-March</td>
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<tr>
<td>Chancellor review cases and confers with the IU and Purdue Presidents on the joint recommendations that are forwarded to the respective Boards of Trustees</td>
<td>Late March</td>
</tr>
<tr>
<td>Action by the Boards of Trustees</td>
<td>Mid-April</td>
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<tr>
<td>Promotion takes effect</td>
<td>July 1 (12 month faculty) or August 1 (10 month faculty) to coincide with start of academic year</td>
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<tr>
<td>Tenure takes effect</td>
<td>July 1 of the following academic year</td>
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Returned Dossiers

- Dossiers will immediately be checked to ensure that they are complete, prepared in accord with these guidelines (or an appropriate earlier version of the guidelines), and that letters of evaluation (especially external letters) meet the expectations set forth in these guidelines.
• If there are deficiencies or concerns as a result of this administrative review, dossiers will be returned to the vice chancellor and dean with a specific request for remedy and a date by which the dossier must be resubmitted (or corrected).
• Such requests will ordinarily be made within the first or second weeks of December to allow as much time as possible to address deficiencies.
• Dossiers may also be returned as a result of reviews by primary readers or by committee action. Since these actions will occur after the deliberative process is underway, there may be limited—even insufficient—time to address problems. Accordingly, candidates, division heads and deans are strongly encouraged to review dossiers to ensure that:
  o materials are in the proper format and order;
  o peer reviews of teaching, research and creative activity, and service have been included;
  o at least six external reviews meet the “arm’s length” or independent criteria (see External Assessment);
  o all dossier assertions can be validated by materials available in the appendices upon request; and
  o only required materials are forwarded to the Dean of the Faculties through FAA.

If there is uncertainty about what may be required, candidates or division heads should confer with the Senior Associate Vice Chancellor for Academic Affairs as soon as possible.

Time in Rank
• In most instances, the work being assessed as the basis for promotion or tenure will have been completed since either the initial appointment or last promotion. In many cases, it is understood that national reputation depends, in part, on foundational work that may have occurred earlier in the candidate’s career. For faculty, publications and presentations in rank at another institution prior to appointment at IUPUC will be considered part of the candidate’s record. The overall pattern of productivity over time will be scrutinized, with emphasis placed on recent work and scholarly trajectory.
• While the probationary period for untenured faculty ordinarily is seven years (with the tenure review occurring in the sixth year), special conditions may warrant earlier than normal consideration.
• For librarians, tenure is based on the entire professional career, including relevant professional positions held prior to coming to Indiana University.
• There is no defined period between associate and full rank, although most candidates seek full rank five to ten years after promotion to the associate rank. Occasionally, the period under consideration may vary due to: prior appointments at other institutions; the cumulative nature of some work that may build on earlier accomplishments; leaves that may have extended the probationary period; administrative roles; or earlier than normal consideration.
• When a case has special circumstances, candidates and division heads should provide an explanation for any unusual conditions that may affect the review of the candidates’ dossiers.
• Candidates who seek earlier than normal consideration must present evidence of achievements comparable to those who have served the full probationary period. Earlier-than-normal cases sometimes require special care to ensure equity of treatment.
• Some faculty may have a longer-than-normal probationary period. Because extensions are formally approved for important reasons, such as illness, childbirth or unavoidable delays in research infrastructure, candidates should not be held to higher expectations because of a longer-than-normal probationary period.
• Part-time faculty in eligible classifications may be considered for tenure and their probationary periods should be proportionate to those of full-time appointees. Agreements regarding the length of a probationary period for a part-time faculty member should be committed to writing in a MOU or letter of appointment.
• In considering candidates for tenure, where there are questions about time in rank, reviewers are reminded that tenure assumes an extended period of productivity and improvement. The purpose of the probationary period is to give candidates for tenure an opportunity to demonstrate their capacity for sustained excellence and an ability to adapt to changing conditions of their disciplines and the institution. In some cases, consideration of work completed elsewhere or prior to appointment to a tenure-track position may be appropriate. Regardless, the dossiers must present clear evidence of the candidate’s ability to contribute at the expected levels throughout his or her professional career.
Area of Excellence

- The Indiana University Academic Handbook requires that a candidate for promotion in a tenure-related classification excel in at least one area and be at least satisfactory in each of the other two.
  - Candidates determine their area of excellence within the academic norms and context of their primary division. It is not the role of any review committee to change the area of excellence declared by the candidate. Candidates should select just one area of excellence unless presenting a balanced case. Review committees may comment in their evaluation of the dossiers that one or more additional areas are also excellent.
  - Balanced case: In some circumstances, faculty may present a record of highly satisfactory performance across all three areas sufficient to demonstrate comparable long-term benefits to the University. If so, tenure-track faculty have the option of presenting a balanced case dossier. It is understood that peer reviewed scholarship is required for achieving a highly satisfactory rating in any area of performance in a balanced case. However, the promotion and/or tenure standards in many divisions/units encourage the choosing of one area of excellence. Faculty should be aware of the preferences of their division/unit.
  - Appropriate areas of excellence have been designated for faculty in all categories and are summarized in the Appendices’ chart “Summary of Areas of Excellence and Expectations for Various Faculty Categories.” High expectations for performance within areas defined for each kind of appointment are universal across faculty titles; however, the nature of the work performed by faculty varies and the ways in which faculty accomplish their work and document performance also varies, depending on the context of the work. Similarly, disciplinary expectations will influence the emphasis faculty place on different activities and types of accomplishments and the way in which they are documented.
  - In the case of tenure-track faculty, the evaluations of the vice chancellor and dean and the division head, as well as the evaluations of the primary and school/unit committees, must address the area the candidate advances as representing excellence: teaching, research and creative activity, or service. The area of excellence should be identified on the Routing and Action Form (see Appendices). Each evaluation should include a general assessment of each of the three categories (e.g., in terms of being excellent, satisfactory, or unsatisfactory). Sometimes faculty document excellence in more than one area. When an individual’s record warrants such a claim, reviewers are encouraged to note such an accomplishment.
  - Tenure requires performance commensurate with rank and promise of continued service with distinction. Accordingly, candidates for tenure at the rank of assistant professor should understand that such a decision on tenure will be made separate from promotion in only very rare situations, such as documentation of circumstances that make clear the imminent attainment of promotion.
  - In addition to having at least one area of excellence (or a balance of strengths at the highly satisfactory level in all three areas to be equivalent), all faculty in tenure-related ranks must be at least satisfactory in all areas of teaching, research and creative activity, and service to be eligible for promotion or tenure. A faculty member whose work in any one of these three areas is less than satisfactory will not be recommended for promotion or tenure. Faculty whose University service (often referred to as “academic citizenship”) is not at least satisfactory may not be advanced for this reason as well.
  - Maintaining high standards of professional conduct is a requirement for tenure and is expected across teaching, research and creative activity, and service.

- Librarians are obligated to maintain high standards of performance in the development of library services and in the communication of information and knowledge to others. Evaluations cover the areas of performance, professional development, and service. For tenure, performance must be excellent, and professional development and service must be satisfactory. Tenure is granted to those librarians whose professional characteristics indicate they will continue to serve with distinction. For promotion from assistant to associate librarian, performance must be excellent, and the candidate must demonstrate a level of achievement beyond satisfactory in one of the other two areas. The third area must be satisfactory. For promotion to full rank, the librarian must demonstrate superior performance and a continued significant contribution at the state, regional, national, or international level in either professional development or service. Performance in the third area must be satisfactory. Librarians must maintain high standards of professional conduct across all areas of responsibility.
• Clinical faculty are required to be excellent in either teaching or service and satisfactory in the other area. They have no formal research requirements for promotion although scholarship is required in their area of excellence.
• Lecturers are required to be excellent in teaching and satisfactory in service. They have no formal research requirements for promotion although scholarship is required in their area of excellence.
• Research professors, scientists, and scholars are required to be excellent in research or creative work.
• Expectations for University and professional service will vary by unit and must be articulated in unit policies or in explanatory materials from the vice chancellor and dean or division head contained within individual dossiers.

Addition of Materials/Comments
Although new information may be added at any level, once the dossier reaches the IUPUI campus level, neither the vita nor the candidate’s personal statement may be updated. A candidate may add a note, either about new information or in response to a level of review, for inclusion in the dossier.

If additional materials are submitted during the review process for inclusion and consideration in the dossier:
• The party providing these materials should present them to the division head, vice chancellor and dean, or Faculty Appointments and Advancement depending on the level at which the dossier is being considered.
• In turn, the administrative officer will ensure that all prior reviewers have an opportunity to consider the added materials.
• All prior reviewers have the right to comment on additional material, but these comments need to be forwarded through the same review process, beginning with the primary committee. Prior reviewers need not take any action as a consequence of reviewing added material; however, they must have an opportunity to reconsider their original recommendations. In the case of factual information (e.g., acceptance of a journal article listed as under review), these additions are routine and ordinarily require no comment.
• Committees at prior levels may elect to re-vote on the case if circumstances warrant this action.
• In instances where a committee or administrative officer seeks additional information or material, this material must be provided to both the candidate and persons who have already reviewed the dossier, all of whom must have an opportunity to comment.
  o It is the responsibility of the persons seeking additional materials to provide such material to all concerned parties.
  o These comments then become a part of the dossier. Such additions must be made only when clearly necessary.
  o Ordinarily there will be very little time allowed for comment, and concerned parties must act within specified deadlines.
• All additions must be submitted electronically as searchable PDFs.
  o If including copies of e-mails, the best practice is to print the original e-mail to PDF and send as an attachment, preserving the authenticity of the communication.
The new PDF file is added to the candidate’s existing PDF portfolio as a new section so subsequent reviewers will know the addition was made during the review process. This does not apply to reconsideration documents (See next section.)

Annual and three-year reviews will not be part of the dossier, but may be consulted by any of the reviewing bodies without violating the obligation to notify the candidate or earlier reviewers.

Reconsideration
• Under special circumstances, Indiana University policy allows for reconsideration. This policy applies only to tenure cases where a candidate receives a negative recommendation.
• In instances where a candidate wishes to add comments or materials that are relevant to the recommendations of a review, this addition of materials constitutes a request for reconsideration. Candidates should consult the "Policies Governing Reappointment and Non-Reappointment during Probationary Period" statement in the Indiana University Academic Handbook. This policy states in part that the faculty member or librarian who believes that a recommendation or a decision that he or she not
be granted tenure has resulted from inadequate consideration of professional competence or erroneous information, may offer factual corrections and request reconsideration at the level at which the decision not to recommend tenure was first made.

- The request for reconsideration must be made within two weeks after the faculty member or librarian receives notification of the negative recommendation and before the review at the next level is completed.
- Reconsideration is not an appeals process but an opportunity to correct the record while review is still underway.
- Under unusual circumstances, reconsideration of promotion decisions may be permitted with the approval of the IUPUI Dean of the Faculties. The procedures noted above will be followed in such a situation.
- Nothing in the act of requesting reconsideration or being reconsidered precludes a candidate’s later seeking a Faculty Board of Review.
- Reconsideration documents should be included in the dossier section for the level of review at which the request was made. Documents should be in chronological order. When adding pages to an existing PDF file, please make sure the new pages are searchable.

IUPUI Campus Level Reviews and Notification

The IUPUI promotion and/or tenure committee uses a primary and secondary reader system.

- Readers use a summary report form (see Appendices) to present their evaluation/assessment of cases assigned to them for review in advance of the meeting when a particular case is considered.
- All members of the committee read the full dossier when there have been divided votes at earlier levels of review, where fewer than 75% of eligible reviewers approve of promotion or tenure, or when the primary or secondary reader makes such a request.
- Following consideration of the reviews of the primary and secondary reader, members of the campus promotion and/or tenure committee discuss the case and vote. Candidates receive the final vote from the campus committee.
- The IUPUI Dean of the Faculties or a designee attends all meetings, listens to the discussion of each case, and reads the readers' reports.
- Subsequently, the IUPUI Dean of the Faculties and Chancellor read each dossier, review all prior evaluations, and provide an independent recommendation to the next level:
  - For Purdue faculty, recommendations regarding promotion are made to the President and Trustees of Purdue University while recommendations regarding tenure are made to the President and Trustees of Indiana University.
  - For Indiana University faculty and librarians, promotion and/or tenure recommendations are made to the President and Trustees of Indiana University.
- A formal notice of final action is provided to faculty and librarians after the Trustees act on the President’s recommendations.
  - In instances where a candidate is not being recommended for promotion, this notification will ordinarily be the only notice of a negative decision.
  - Probationary faculty not recommended for tenure will also receive a notice of non-reappointment from the Chancellor in addition to this notification.

INSTITUTIONAL VALUES

This section addresses the foundational values of IUPUI and IUPUC that are emphasized and rewarded as part of the annual review, three-year review, reappointment, and promotion and/or tenure processes.

Civic Engagement

- IUPUC has a committed relationship to the local, regional, state, and global community.
- Civic engagement is consequently a significant part of our mission and our intellectual activity.
- Faculty work that contributes to our role as a civically engaged institution, including participation in service learning projects and mentored internships is highly valued and should be acknowledged and rewarded in the review process.
- The nature of the scholarship and the evidence used to support it may differ from traditional forms of scholarship. Non-traditional dissemination outlets and alternative metrics should be acknowledged as acceptable forms of documentation.
Collaboration

- The work of the academy is often advanced through collaboration and joint work, especially in new or interdisciplinary areas where the expertise and experience of more than one colleague may be required.
- Results of this work—whether teaching, research and creative activity, or service—are frequently disseminated through publications with joint authorship.
- Collaborative work is valued, but candidates should make clear their individual role in such collective activity, preferably as specified by colleagues involved in the joint work.

Diversity, Equity, and Inclusion

- IUPUC is committed to providing, nurturing and enhancing a diverse community of learners and scholars in an environment of equity and inclusion.
- Faculty work that contributes to the diversity of learners and scholars at IUPUC and that enhances our environment of equity and inclusion is highly valued and should be acknowledged and rewarded in the review process.

Economic Development of Indiana

- IUPUC is committed to enhancing the economic development of Indiana and in particular, south-central Indiana.
- Faculty work that contributes to enhancing the economic development of south-central Indiana and the state should be acknowledged and rewarded in the review process.

Entrepreneurial Work and Innovation

- IUPUC is a comparatively new institution and has had an opportunity to develop policies, procedures and programs that build on the experiences of others, adapting best practices and creating innovative new approaches to teaching, research and creative activity, and service.
- This opportunity has led many faculty to be entrepreneurial in their University duties, after leading their own disciplines into new areas of inquiry or seeking collaboration with other disciplines.
- While there is no criterion specifying entrepreneurial work or innovation, these qualities have long been appreciated and valued within the more traditional criteria ordinarily used to assess faculty achievement.
- Documentation of the impact of this work will help reviewers of the dossier understand its significance.

Honors Program

- As IUPUC continues to attract high-caliber undergraduate students, the Honors Program offers an intellectual home to many of the brightest students on campus.
- Faculty engagement in teaching honors courses, mentoring honors students and further contributing to the attraction of the best students serves the campus and schools where such students’ majors reside and faculty should have that work acknowledged and rewarded in the review process.

Interdisciplinary Work and Publication

- In the instance of candidates who work in interdisciplinary fields that transcend the intellectual authority of any single division or unit/school, special arrangements for primary and unit committee reviews may be necessary.
- The division or unit/school that serves as administrative host for such a program should assume responsibility for preparing and transmitting files while making accommodations for participation of faculty from other divisions or units/schools in a primary committee and for an alternative unit committee.
- The special or ad hoc arrangements should be stipulated in advance, be known to the candidate, the program administrators (division head), and the vice chancellor and dean of IUPUC.
- In instances where there is not agreement on procedures among the concerned parties, the vice chancellor and dean will determine the process and procedures for reviewing candidates.
- The same high standards of achievement and of documentation for traditional disciplinary work apply to interdisciplinary work.
  - Journals that publish interdisciplinary work may not be as well-recognized or widely-known to the reviewers as other journals, but these may be the most appropriate places to publish.
  - Care must be taken to consider the nature and quality of journals or other media where interdisciplinary work appears.
Holding formulaic expectations for work appearing in “top tier” journals is not likely to serve either institutional or individual interests well in every case.

Candidates should help their division heads to document and establish the quality of such journals—including those in electronic formats—but reviewers have a reciprocal obligation to evaluate the quality of the work on its merits and not solely on the reputation of the journal within a discipline.

In some instances, external assessments of outlets for publication may be useful and such information may be included within the dossier.

International Work and Publication

- Scholarship and professional work are now often international in terms of their impact and application; collaborators are sometimes based in other countries; and appropriate journals, conferences, and other forums for dissemination may be international in scope and/or published outside the U.S. and in languages other than English.
- Such international work and outreach are encouraged.
- In most cases, they may be evaluated using standard procedures. Sometimes, however, they may require special forms of review and assessment, even—in some cases—the provision of translations.
- Review committees should demonstrate the same flexibility in assessing such international work as they do for interdisciplinary work.
  - International variations in rankings, modes of inquiry, and forms of dissemination must be acknowledged.
  - Candidates and division heads should take special care to explain the quality, audience, impact, and value of such international work and to solicit external evaluation by international peers, when appropriate.

Principles of Undergraduate Learning and Principles of Graduate and Professional Learning (PGPLs)

- The intellectual foundation of our general education and baccalaureate programs is articulated through the Principles of Undergraduate Learning (PULs).
- The Principles of Graduate and Professional Learning (PGPLs), likewise provide the intellectual foundation of our graduate programs.
- Faculty work that integrates these Principles into the curriculum, improves student understanding of these intellectual skills and ways of knowing, and documents student achievement of these Principles in relation to the discipline, whether through ePort or any other means, should be acknowledged and rewarded in the review process.

Research and Creative Activity in a Regional Environment

- Applied research or creative activity that integrates various applications into improved practices, is often as essential or as valuable as theoretical research.
- IUPUC has made interdisciplinary research a particular focus for its mission and its strategic objectives as a result of combining in one place the traditionally differentiated missions of Indiana University and Purdue University.
- IUPUC has specific opportunities and responsibilities to engage in research that draws on and supports its region.

Service

- The distinction between professional service and service to the University requires some elaboration.
  - Faculty and librarian service to the University through committees and administration is important and required. The community of scholars depends on the mutual responsibility of individuals to support and develop the institution that sustains them.
  - Service must be a factor in these considerations, because unsatisfactory service to the University may preclude successful application for promotion and/or tenure.
  - Administrative service that uses disciplinary expertise for innovative or successful achievements reviewed by peers may be offered as evidence of achievement of professional service when such work:
    - has been planned and stipulated in advance;
    - when it is derived from the mission of the unit;
when it is disseminated to a broader audience; and
- when it is peer reviewed.
- Not all committee service is equal.
  - Some committees, such as an Institutional Review Board, the Committee on Ethics in Research, or a Faculty Board of Review, may require extensive time commitments and may address principles or issues fundamental to the continued effectiveness of the campus. These special features need to be recognized.
  - The primary committee, division head, unit committee, and vice chancellor and dean are best able to assess the degree of performance of University service.
  - If it is deemed inadequate or unsatisfactory, this fact should be noted and an evaluation based on the documented record of performance should be included in the dossier when it is forwarded to the campus level for review. The candidate must be informed and be provided an opportunity to respond prior to a final recommendation at the primary and unit levels.

Translational Research
- As a university with a commitment to the local and global community, IUPUC values research that can be translated and applied to the needs of the local and global community.
- Faculty engaged in translational research should have that work acknowledged and rewarded in the review process.

RISE to the Challenge
- Experiential learning plays a powerful role in engaging and retaining students, enhancing the likelihood of their persistence to graduation.
- Faculty who mentor students in undergraduate research, international, service learning and work-related experiential learning should have that work acknowledged and rewarded in the review process.

Retention
- Faculty involved with important retention-focused initiatives should have that work acknowledged and rewarded in the review process.

Public Scholars
- The University and campus recognize the appointment of public scholars and embrace their unique relationships and contributions to the community. Public scholarship is conducted in partnership with identified “publics” to address their needs and concerns. As such, public scholarship tends to be highly collaborative, outcomes-focused and results in final products that benefit and are valued by the community. Scholarly outcomes may include exhibits, curricular products, community projects and websites.
- The nature of public scholarship is diverse and the evidence used to support it may differ from traditional forms of scholarship. Non-traditional dissemination outlets and alternative metrics should be acknowledged as acceptable forms of documentation.
## Summary of Areas of Excellence and Expectations for Various Faculty Categories

<table>
<thead>
<tr>
<th>Advancement to</th>
<th>Area of Excellence</th>
<th>Other Areas of Performance</th>
<th>Expectation for External Peer Review of Case</th>
<th>Standard for Excellence (over and above record of quantity, quality, and impact of internal work)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Associate Professor Tenure Track²</td>
<td>Teaching, Research and Creative Activity, or Professional Service</td>
<td>Satisfactory in areas not chosen for excellence as well as University Service as specified by the school. Highly satisfactory in all three areas for a balanced case.</td>
<td>Letters from independent⁵ peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship. Emerging national reputation.</td>
</tr>
<tr>
<td>Professor Tenure Track²</td>
<td>Teaching, Research and Creative Activity, or Professional Service</td>
<td>Satisfactory in areas not chosen for excellence as well as University Service as specified by the school. Highly satisfactory in all three areas for a balanced case.</td>
<td>Letters from independent⁵ peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship. A sustained national reputation as demonstrated by a well-established and cumulative body of work in rank. Special circumstances where scholarly productivity has been interrupted can be considered.</td>
</tr>
<tr>
<td>Associate Librarian³</td>
<td>Performance</td>
<td>Beyond satisfactory in either Professional Development, Research and/or Creativity or in Service and satisfactory in other area</td>
<td>Letters from independent⁵ peers outside unit on IUPUC campus</td>
<td>(No Additional requirements)</td>
</tr>
<tr>
<td>Librarian⁴,⁶</td>
<td>Performance</td>
<td>Excellence in either Professional Development, Research and/or Creativity or in Service and at least satisfactory in other area</td>
<td>Letters from independent⁵ peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of superior performance as an associate librarian and attainment of state, regional, or national recognition in the library profession. (<em>Indiana University Academic Handbook</em>, UFC, 1978) Record of exceptional achievements in performance and a record of distinguished contributions to the university, profession, or community in the secondary area of excellence. Quality is considered more important than mere quantity. (<em>Library Faculty Handbook</em>, Promotion and Tenure Criteria for Librarians, 2004)</td>
</tr>
</tbody>
</table>

¹ Balanced case expectations are defined by the *Indiana University Academic Handbook* as: “balanced strengths that promise excellent overall performance of comparable benefit [to excellence in one area and satisfactory in the others] to the University.” This category applies to only tenure-track faculty and is to be used in exceptional cases.

² For tenure decisions, tenure expectations are for performance commensurate with rank and evidence of continued service with distinction.

³ For tenure decisions, performance must be excellent, and professional development and service must be satisfactory. Tenure is granted to those librarians whose professional characteristics indicate they will continue to serve with distinction.

⁴ Balanced case exceptions for librarians only apply to the secondary criteria (to professional development, research and/or creativity and to service).

⁵ Independent is defined in the section on *External Assessment*.

⁶ For more detailed information regarding evaluating librarian performance, please review the “*Suggested Standards for Evaluating Librarian Performance.*

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2013-2014 IUPUC Promotion and/or Tenure Guidelines
<table>
<thead>
<tr>
<th>Advancement to</th>
<th>Area of Excellence</th>
<th>Other Areas of Performance</th>
<th>Expectation for External Peer Review of Case</th>
<th>Standard for Excellence (over and above record of quantity, quality, and impact of internal work)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Associate Professor</td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service</td>
<td>Independent peers external to IUPUC or division</td>
<td>Record of publicly disseminated and peer reviewed scholarship in area of excellence</td>
</tr>
<tr>
<td>Clinical Professor</td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service</td>
<td>Independent peers external to IUPUC</td>
<td>Record of sustained, nationally and/or internationally disseminated and peer reviewed scholarship in area of excellence. Special circumstances where scholarly productivity has been interrupted can be considered.</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>Teaching</td>
<td>Satisfactory in University and Professional Service</td>
<td>Independent peers external to IUPUC or division</td>
<td>Record of publicly disseminated and peer reviewed scholarship in teaching</td>
</tr>
<tr>
<td>Associate Research Professor, Associate Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent peers external to IUPUC</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship and/or grants in research; evidence of substantial research contributions to the discipline</td>
</tr>
<tr>
<td>Senior Research Professor, Senior Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent peers external to IUPUC</td>
<td>Record of sustained, nationally and/or internationally disseminated and peer reviewed scholarship and/or grants in research; evidence of independent work; evidence of substantial research contributions to the discipline</td>
</tr>
<tr>
<td>Associate Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent peers external to IUPUC</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship in research; evidence of substantial research contributions to the discipline</td>
</tr>
<tr>
<td>Senior Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent peers external to IUPUC</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship in research; evidence of substantial research contributions to the discipline</td>
</tr>
</tbody>
</table>

1 Balanced case expectations are defined by the *Indiana University Academic Handbook* as: “balanced strengths that promise excellent overall performance of comparable benefit [to excellence in one area and satisfactory in the others] to the University.” This category applies to only tenure-track faculty and is to be used in exceptional cases.

2 Independent is defined in the section on [External Assessment](#).
<table>
<thead>
<tr>
<th>Dimensions of teaching performance</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section I: CV</td>
<td>Section II: Candidate's Statement</td>
</tr>
<tr>
<td>Teaching load</td>
<td>Details on students mentored, advised, etc.</td>
</tr>
<tr>
<td>Teaching goals</td>
<td>Expansion of explanation in statement, if desired</td>
</tr>
<tr>
<td>Continuing professional development</td>
<td>Details of workshops attended, study, reading, etc and their significance</td>
</tr>
<tr>
<td>Use of exemplary teaching methods</td>
<td>Details, on specific methods such as teaching with technology, use of PBL, service learning, or other innovative methods, inclusive teaching</td>
</tr>
<tr>
<td>Quality of teaching</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Evidence of student learning</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Ethics</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Scholarship of teaching and national leadership</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Course and curriculum development</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Recognition (grants, awards)</td>
<td>Reflective comments</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Peer Review (may be part of Sections I, VC&amp;D(^5), Chair Comment, or III, internal and external peers)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comment on relative size of load</td>
</tr>
<tr>
<td>Comment on fit with IUPUC and unit goals</td>
</tr>
<tr>
<td>Comment on efforts undertaken</td>
</tr>
<tr>
<td>Local peer review, external if knowledgeable</td>
</tr>
<tr>
<td>Local peer review, external if knowledgeable</td>
</tr>
<tr>
<td>Local administrative and peer comments</td>
</tr>
<tr>
<td>Local or external peer review</td>
</tr>
<tr>
<td>Local peer review, external if knowledgeable</td>
</tr>
<tr>
<td>Commentary on stature of awards</td>
</tr>
</tbody>
</table>

\(^5\) VC&D refers to the IUPUC vice chancellor and dean
# Suggested Standards for Evaluating Teaching Performance

<table>
<thead>
<tr>
<th>Type</th>
<th>Unsatisfactory</th>
<th>Satisfactory</th>
<th>Highly Satisfactory</th>
<th>Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Instruction</strong></td>
<td>Incomplete lists of formal instruction</td>
<td>Quantitative and qualitative information from the candidate, students, and peers indicating that instruction has been satisfactory in fostering appropriate learning outcomes</td>
<td>Quantitative and qualitative information on teaching and learning outcomes that make the case for effective and innovative instruction</td>
<td>Documentation of extraordinarily successful teaching and learning outcomes; The case for teaching excellence is grounded in a sophisticated teaching philosophy; Evidence of innovative and reflective teaching practice.</td>
</tr>
<tr>
<td></td>
<td>Incomplete evidence to interpret load</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Incomplete information about goals of instruction</td>
<td></td>
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<tr>
<td></td>
<td>Incomplete or only raw student evaluation data with no interpretation of their meaning, either absolute or comparative</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Incomplete information on learning outcomes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Absence of peer review evidence or superficial peer commentary not based on systematic review</td>
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<tr>
<td></td>
<td>Poor performance on many of the above measures</td>
<td></td>
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</tr>
<tr>
<td><strong>Course or Curricular Development</strong></td>
<td>Incomplete evidence of nature of activities or results</td>
<td>Evidence of new course development or significant course revision (e.g., use of technology, service learning) presented with evidence on effectiveness</td>
<td>Nature of course or curricular development clearly reflects an informed knowledge base, clear instructional goals, and assessment of the outcomes</td>
<td>In addition to producing effective course and curricular products, shows evidence of having disseminated ideas within the profession or generally through publication, presentation or other means. Evidence that the work has been adopted by others (locally and nationally) indicates excellence</td>
</tr>
<tr>
<td></td>
<td>Incomplete evidence of individual role in outcomes</td>
<td></td>
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<td></td>
<td>No review by others</td>
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<tr>
<td></td>
<td>No evidence on how work is connected with division or campus goals</td>
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<tr>
<td></td>
<td>Poor course or curricular design products</td>
<td></td>
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</tr>
<tr>
<td><strong>Mentoring and Advising</strong></td>
<td>Numbers of students mentored or advised and details of interaction not provided</td>
<td>Mentoring and advising load is clearly documented and contextualized student satisfaction indicated by evidence</td>
<td>Important impact and student achievement documented</td>
<td>Mentoring and advising characterized by scholarly approach High accomplishments of students mentored or advised consistently linked to influence of mentor Scholarly and reflective approach to mentoring and advising documented Demonstrated impact on accomplishments of mentored and advised students External peer review clearly demonstrates the attributes of scholarly work associated with mentoring or advising, including peer refereed presentations and publications and national recognition of the quality of work</td>
</tr>
<tr>
<td></td>
<td>Comparative load for unit not indicated</td>
<td></td>
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<tr>
<td></td>
<td>Information on impact of mentoring and advising not presented</td>
<td></td>
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<tr>
<td></td>
<td>Poor performance indicated by data</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scholarly Activities, including Awards</td>
<td>Professional Development Efforts in Teaching</td>
<td></td>
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<td>--------------------------------------</td>
<td>-----------------------------------------------</td>
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<td></td>
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</tr>
<tr>
<td>No teaching awards or other recognition of successful teaching and learning No evidence of dissemination of good practice or scholarship of teaching and learning (SoTL)</td>
<td>No information about teaching development efforts given Poor record of performance in pursuing growth in teaching expertise No mentoring of colleagues Evidence of ineffective performance in this area</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence of some local dissemination of good practice and/or SoTL Some recognition of teaching efforts</td>
<td>Record of some activity, such as conference or workshop attendance, personal experimentation, or reading Record of mentoring other teachers Reflective commentary on candidate’s own teaching Peer assessment on effectiveness of efforts toward personal growth or mentoring of others</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence of regular and significant local/regional peer reviewed dissemination of good practice Recognition of high quality of teaching Grants or awards at the division or campus level (For the lecturer category, this level constitutes excellence)</td>
<td>High level of activity in examining practice, seeking new ideas, obtaining feedback, and engaging in dialogue on teaching with campus or disciplinary peers Indications of substantial positive impact on colleagues Positive peer assessment of these teaching experiments (For clinical and lecturer categories, this level constitutes excellence)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation of a program of scholarly work that has contributed to knowledge base and improved the work of others through appropriate dissemination channels Positive divisional evaluations of the stature of the published work (e.g., journals) Peer review supporting the quality of the publications, presentations or other dissemination methods National or international teaching awards or significant funding for teaching projects Some level of national peer-reviewed dissemination of scholarship is required to document excellence for clinical and tenure track faculty.</td>
<td>Extensive record of participation in experimentation, reflection, pursuit of conceptual and practical knowledge of teaching and learning Membership in communities of practice on the campus, national, or international level Participation in dissemination of good practice Peer review of efforts and impact of candidate’s work in this area</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Documenting Research and Creative Activities in the Dossier

<table>
<thead>
<tr>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Three to five most significant publications or creative activities which reflect major research accomplishments</td>
<td>Three to five most significant publications or creative activities which reflect major research accomplishments. May be included in CV, personal statement, committee reports, or letters from VC&amp;D or division head. May contain a more thorough discussion of the most significant published research or creative activities and the status of the journals, other publications, or venues for creative activities.</td>
</tr>
<tr>
<td>Evaluation of stature of journals in which articles appear</td>
<td>Evaluation of stature of journals in which articles appear. May include information about the stature of the journals, such as the name of the publisher, age of the journal title, and whether it is refereed or non-refereed.</td>
</tr>
<tr>
<td>Evaluation of stature of galleries where works appear or stature of performance venues</td>
<td>Evaluation of stature of galleries where works appear or stature of performance venues. May include information about the stature of the galleries or performance venues, such as the name of the gallery or performance venue, city, and potential size of audience.</td>
</tr>
<tr>
<td>Research Expectations</td>
<td>Research Expectations. This may also be commented on in the personal statement (but seek confirmation from other documents in the dossier). May be more detailed comments on this, particularly where load is considered heavy in school or division.</td>
</tr>
<tr>
<td>Research goals/program of research or creative activities</td>
<td>Letters from division head and VC&amp;D may comment, as may committee reports. List of goals and candidate's description of continuing program of research, scholarship or creative activities. May include a more thorough discussion of the research projects in progress and/or future research plans; may include listing of manuscripts or creative activities submitted for publication or performance and their status.</td>
</tr>
<tr>
<td>Quality of research or creative activities</td>
<td>Primary and unit committee reports, letters from division head and VC&amp;D</td>
</tr>
<tr>
<td>Assessment of contributions when more than one author or collaborator or performer</td>
<td>Divisional evaluation, committee reports</td>
</tr>
<tr>
<td>Contributions to interdisciplinary research or creative activities</td>
<td>Divisional evaluation, committee reports, letters from division head and VC&amp;D</td>
</tr>
<tr>
<td>Grants and awards (Review the candidate’s funding in light of the present context for funding in the field)</td>
<td>Committee reports, letters from division head and VC&amp;D</td>
</tr>
<tr>
<td>Stature of grants and other awards</td>
<td>Divisional evaluation, committee reports, letters from VC&amp;D and division head</td>
</tr>
<tr>
<td>Continuing efforts to enhance research, scholarship and creative activities</td>
<td>Primary and unit committee reports, letters from division head and VC&amp;D</td>
</tr>
<tr>
<td>Type</td>
<td>Unsatisfactory</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Disciplinary or Professional Research</td>
<td>Research has not been regularly conducted or there is no evidence of dissemination. Evidence comes only from colleagues, collaborators, or ex-students Individual role and level of collaborative work is unspecified Research is of poor quality No research program has been presented</td>
</tr>
<tr>
<td>Grants and external support (Review the candidate’s funding in light of the present context for funding in the field)</td>
<td>No evidence of attempts to seek support</td>
</tr>
<tr>
<td>Peer review</td>
<td>Local and external peer reviews have evaluated the work as unsatisfactory. [Procedures require internal and external reviews.]</td>
</tr>
<tr>
<td>Scholarly activities, including awards</td>
<td>None are documented</td>
</tr>
</tbody>
</table>
Documenting Professional Service

<table>
<thead>
<tr>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section I: CV</td>
<td>Section I: Reference Letters &amp; Reports</td>
</tr>
<tr>
<td>Satisfactory University Service*</td>
<td>Relevance to professional development and goals as well as evidence of impact</td>
</tr>
<tr>
<td>Significance and impact of professional service</td>
<td>Evidence of impact on constituencies and intellectual contribution from and to the discipline or profession</td>
</tr>
<tr>
<td>Description of activity and individual’s responsibility</td>
<td>Evidence of candidate’s contribution</td>
</tr>
<tr>
<td>Growth and leadership</td>
<td>Specific details on activity and roles, responsibilities, and intellectual contributions</td>
</tr>
<tr>
<td>Publications related to service</td>
<td>Relevance to significance as intellectual work</td>
</tr>
<tr>
<td>Dissemination of results of service</td>
<td>Annotation of nature of dissemination as appropriate and effective</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Locations</th>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section II: Candidate’s Statement</td>
<td>Relevance to professional development and goals as well as evidence of impact</td>
<td></td>
</tr>
<tr>
<td>Section III: Evaluation of Professional Service</td>
<td>Annotation of roles, contributions, and impact</td>
<td></td>
</tr>
<tr>
<td>External Peer Review</td>
<td>Evidence of impact on constituencies and intellectual contribution from and to the discipline or profession</td>
<td></td>
</tr>
</tbody>
</table>

*University service is necessary for promotion and/or tenure. It qualifies as professional if it is documented as intellectual work that relates to the discipline or to the mission of the university. For example, the economist on the task force charged with revising university revenue distribution policies may be performing professional service but the English professor would be engaged in university citizenship.
<table>
<thead>
<tr>
<th>Type</th>
<th>Unsatisfactory</th>
<th>Satisfactory</th>
<th>Highly Satisfactory</th>
<th>Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>University Service</strong></td>
<td>No evidence of activities or results Evidence on outcomes of collaborative work, but no evidence of individual contribution No review by others No evidence on how service work is consistent with professional development or goals Poor performance on service activities</td>
<td>Citizenship: Routine division expectations Division head’s determination that service is more than mere participation Noted in CV, but not in promotion and tenure document</td>
<td>Accompanied by independent testimony of value of work (e.g., letter from the committee chair; acceptance by Faculty Council) “wrote a policy that was approved by committee” “not required or expected” Played a major role in initiative over a period of time that contributed to campus or unit goals, with independent evidence of significance, role, impact, and effective communication to others</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
<tr>
<td><strong>Service to Discipline</strong></td>
<td>No evidence of activities or results Evidence on outcomes, but no evidence of individual contribution No review by others No evidence on how service work is consistent with professional development or goals Poor performance on service activities</td>
<td><strong>Activities:</strong> routine, required, or expected</td>
<td>Accompanied by independent evidence of success, impact (e.g., ratings by participants) “organized a workshop series for conference that was successfully offered” Played a major role in an initiative over a period of time that contributed to discipline’s goals or organization’s mission, with independent evidence of significance, impact, role, and effective communication to others Some level of national peer reviewed dissemination of scholarship is required</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
<tr>
<td><strong>Service to Community</strong></td>
<td>No evidence of activities or results Evidence on outcomes, but no evidence of individual contribution No review by others No evidence on how service work is consistent with professional development or goals Poor performance on service activities</td>
<td><strong>Professional Activities:</strong> routine, required, or expected</td>
<td>Accompanied by independent evidence of impact “chaired a subcommittee of the board that accomplished X, Y, &amp; Z” “played a leadership role in developing the capacity of a community-based organization” Played a major role in an initiative over a period of time that contributed to community goals, with independent evidence of significance, role, impact, and effective communication to others</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
</tbody>
</table>
## Documenting Performance in IUPUC Librarian Dossiers

<table>
<thead>
<tr>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Section I: CV</strong></td>
<td>List of positions in CV</td>
</tr>
<tr>
<td><strong>Section I: Reference Letters &amp; Reports</strong></td>
<td>Description in personal statement</td>
</tr>
<tr>
<td><strong>Section II: Candidate’s Statement</strong></td>
<td>May be more fully described in personal statements (changes in job responsibilities and major projects may be highlighted by series of position descriptions)</td>
</tr>
<tr>
<td><strong>External Peer Review</strong></td>
<td>May be referenced in letters from peers, unsolicited testimonials from library users and from external solicited letters</td>
</tr>
<tr>
<td><strong>Listing of major performance achievements and positions held</strong></td>
<td>All of the above sources may contain evidence of the effectiveness of the librarian’s performance</td>
</tr>
<tr>
<td></td>
<td>Self-reflective comments on performance may certainly appear in personal statement, especially achievements of significance or patterns of professional growth</td>
</tr>
<tr>
<td></td>
<td>Written compilation of performance activities, including summary of annual review statements; supervisor’s statements from annual review (with permission from supervisor)</td>
</tr>
<tr>
<td></td>
<td>Letters and testimonials from those familiar with the librarian’s work, but external letters may also be useful</td>
</tr>
<tr>
<td><strong>Evaluation of performance</strong></td>
<td>Indication in the materials submitted above (use to cross-check against materials supplied by candidate)</td>
</tr>
<tr>
<td></td>
<td>Referenced in personal statement (# of hours at reference desk compared to others)</td>
</tr>
<tr>
<td></td>
<td>Additional detail, particularly in position descriptions</td>
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<tr>
<td></td>
<td>Additional evidence of this, particularly in solicited external assessment letters (i.e., candidate’s performance is particularly noteworthy since he/she is on the reference desk # hours per week)</td>
</tr>
<tr>
<td><strong>Performance Expectation</strong></td>
<td>All of the above; include a copy of the library’s mission statement</td>
</tr>
<tr>
<td></td>
<td>CV notations, particularly if publications or presentations given as part of job responsibilities</td>
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<td></td>
<td>Reflective comments</td>
</tr>
<tr>
<td></td>
<td>Supporting materials on any grants received that relate to library services and their impact on the library or materials prepared (bibliographies, research aids, etc.)</td>
</tr>
<tr>
<td></td>
<td>Letters solicited through school procedures from peers or students, faculty, staff and others who have benefited from the librarian’s expertise and contribution in this area</td>
</tr>
<tr>
<td><strong>Contribution of librarian’s performance to library operations quality of services</strong></td>
<td>Specific notations in all of the above</td>
</tr>
<tr>
<td></td>
<td>List in CV using citing conventions appropriate to the library</td>
</tr>
<tr>
<td></td>
<td>Reference to contribution</td>
</tr>
<tr>
<td></td>
<td>Additional detail</td>
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<tr>
<td></td>
<td>Joint statements or letters when librarian served as part of a team</td>
</tr>
<tr>
<td><strong>Assessment of contributions when more than one librarian is involved in a project</strong></td>
<td>See grid for Teaching</td>
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<td>See grid for Teaching</td>
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<td>See grid for Teaching</td>
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<td>See grid for Teaching</td>
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<tr>
<td><strong>Evaluation of teaching when teaching is part of job assignments</strong></td>
<td>See grid for Teaching</td>
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<tr>
<td></td>
<td>See grid for Teaching</td>
</tr>
<tr>
<td></td>
<td>See grid for Teaching</td>
</tr>
<tr>
<td><strong>Continuing efforts to enhance performance</strong></td>
<td>List of professional development activities related to performance</td>
</tr>
<tr>
<td></td>
<td>Description of significant continuing education and training activities undertaken to improve performance</td>
</tr>
<tr>
<td></td>
<td>Highlights in Summary of Performance Activities</td>
</tr>
<tr>
<td></td>
<td>Letters on the significance of these activities in enhancing the librarian’s performance</td>
</tr>
</tbody>
</table>

2013-2014 IUPUC Promotion and/or Tenure Guidelines -45-
At the unit/school level, a person well-informed about requirements for promotion and/or tenure dossiers should:

- review the candidate’s full dossier;
- ensure that all required materials are included;
- place materials in the proper order;
- remove unnecessary items;
- complete this checklist; and
- provide his or her contact information in case campus-level reviewers have questions about the content or form of the dossier.

The well-informed, unit/school level person may be an administrative assistant, designated faculty member, or other person specified by the vice chancellor and dean. This person is required to sign the bottom of this checklist indicating that to the best of his or her ability the requirements for dossier preparation have been met. This person should refer to the Dossier Format section (page 10) for explicit rules about dossier contents.

CHECKLIST:

Note: Not every item is required in every case, but most items are required in most cases.

☐ Submit electronic copy of the dossier in PDF Portfolio format to the Dean of Faculties office:
  - Each section constitutes one separate, searchable PDF file.
  - Each PDF file shall be labeled with the Candidate’s Last Name, the dossier section number and section title, for example:
    - o Smith 01 Transaction Forms
    - o Smith 02 Review Level 2
    - o Smith 03 Review Level 1
  - Each PDF Portfolio has be labeled with the Candidate’s Name and the School’s HRMS Code, for example:
    - o Smith, John – IN-COLU
  - Coversheets, section tabs and tables of contents are not necessary. If a table of contents is included, it should be its own section and the PDF file labeled accordingly. (For example, “Smith Table of Contents.”)

SECTION 01: Transaction Forms
☐ *Completed School/Unit Review Form and Checklist
☐ *Routing and Action Form

SECTION 02: Review Level Two (Unit/School)
☐ *Vice chancellor and dean’s recommendation and summary evaluation of candidate’s work
☐ If a candidate has an adjunct or joint appointment in another school, letter of recommendation from that unit/school’s dean or an appropriate representative
☐ *Unit/School Committee’s recommendation and evaluation of candidate's work
☐ If a candidate has an adjunct or joint appointment in another school, recommendation from that school’s committee (optional—decided by that school)

SECTION 03: Review Level One (Primary/Division)
☐ *Division head’s recommendation and evaluation of candidate’s work
☐ *Primary/Division Committee's recommendation and evaluation (including statement concerning candidate's potential for continued development)

SECTION 04: External Assessments
☐ *A sample external assessment solicitation letter
☐ *A list containing brief statements on expertise of referees (see External Referee List for format)
☐ *Completed External Referee Forms and external assessment letters in the order they appear on the list

SECTION 05: Internal Reference Letters
☐ *A sample reference solicitation letter sent for candidate
☐ *All letters received
SECTION 06: Candidate’s Statement
☐ *Candidate’s own statement on work (a narrative assessing accomplishments and including plans for future work in all areas, a maximum of 5 single-spaced pages)

SECTION 07: Teaching
☐ Teaching Statement (a narrative that analyzes the teaching area and is only to be included if this is your area of excellence, a maximum of 2 single-spaced pages)
☐ Teaching load information; graduate committees served on or chaired
☐ Peer evaluation of teaching
☐ Student evaluation of teaching (in aggregated format)
☐ Evidence of student learning and match with unit and IUPUC student outcome goals
☐ Evidence of scholarly dissemination of work and leadership on teaching
☐ Evidence of undergraduate or graduate student research or mentoring
☐ Evidence of quality of course development or innovation efforts
☐ Evidence of teaching development efforts

SECTION 08: Research or Creative Activity
☐ Research and Creative Activity Statement (a narrative that analyzes the research or creative activity area and is to only be included if this is candidate’s area of excellence, a maximum of 2 single-spaced pages)
☐ Peer evaluation of research or creative activity
☐ Evidence of scholarly products and presentations
☐ Research load information; amount of time devoted to research
☐ Documentation of individual contributions to collaborative work

SECTION 09: Professional and University Service
☐ Service Statement (a narrative that analyzes the service area and is to only be included if this is candidate’s area of excellence, a maximum of 2 single-spaced pages)
☐ Summary of professional service activities and service load information
☐ Peer evaluation of quality as well as quantity of professional service as intellectual work
☐ Evidence of scholarly publications, presentations, or other means of dissemination
☐ Evaluation by division head of quality and quantity of professional service
☐ Evaluation by division head of the adequacy of University service

SECTION 10: Assessment/Curriculum Vitae
☐ Assessment of dissemination outlets, such as the quality of journals, peer-reviewed conferences, and venues of presentation or performance by division head (or division head designee)
☐ *Copy of candidate’s curriculum vita

SECTION 11: Appendices
☐ As determined by candidate and division/unit

Do NOT forward Appendices to Dean of the Faculties Office unless specifically requested

*These materials will be retained by Dean of the Faculties Office for permanent file.

The following certification may not be provided by the candidate.
I have reviewed this candidate’s dossier and certify that the materials checked off above are included. To the best of my knowledge, this candidate’s dossier meets all the requirements for dossier preparation.

__________________________________________________________  ________________________________________________
Reviewer’s Signature                                      Reviewer’s Title

__________________________________________________________  ____________________________  ____________________________
Telephone                                                E-mail                                     Date
At the unit/school level, a person well-informed about requirements for promotion and/or tenure dossiers should:
- review the candidate’s full dossier;
- ensure that all required materials are included;
- place materials in the proper order;
- remove unnecessary items;
- complete this checklist; and
- provide his or her contact information in case campus-level reviewers have questions about the content or form of the dossier.

The well-informed, unit/school level person may be an administrative assistant, designated faculty member, librarian, or other person specified by the vice chancellor and dean. This person is required to sign the bottom of this checklist indicating that to the best of his or her ability the requirements for dossier preparation have been met. This person should refer to Dossier Format section (page 10) for explicit rules about dossier contents.

CHECKLIST:
Note: Not every item is required in every case, but most items are required in most cases.

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    o Smith 01 Transaction Forms
    o Smith 02 Review Level 2
    o Smith 03 Review Level 1
    o Smith 04 External Assessments
    o Smith 05 Reference Letters
    o Smith 06 Candidate’s Statement (etc.)
  ▪ Each PDF Portfolio has be labeled with the Candidate’s Name and the School’s HRMS Code, for example:
    o Smith, John – IN-COLU
  ▪ Coversheets, section tabs and tables of contents are not necessary. If a table of contents is included, it should be its own section and the PDF file labeled accordingly. (For example, “Smith Table of Contents.”)

SECTION 01: Transaction Forms
☐ *Completed School/Unit Review Form and Checklist
☐ *Routing and Action Form

SECTION 02: Review Level Two (Unit/School)
☐ *Dean's recommendation and summary evaluation of candidate's work (the dean of IUPUI University Library and/or the vice chancellor and dean of IUPUC, as appropriate)
☐ If a candidate has an adjunct or joint appointment, letter of recommendation from that unit/school's dean or appropriate representative
☐ * IUPUI Librarians Promotion and/or Tenure Committee's recommendation and evaluation of candidate’s work

SECTION 03: Review Level One (Primary/Division)
☐ *Library Director's or Team Leader's recommendation and evaluation of candidate's work
☐ *Primary Peer Review Committee's recommendation and evaluation (including statement concerning candidate’s potential for continued development)
☐ If a candidate has a joint appointments, recommendation from those Peer Review Committees (optional)

SECTION 04: External Assessments
☐ *A sample external assessment solicitation letter
☐ *A list containing brief statements on expertise of referees (see External Referee List for format)
☐ *Completed External Referee Forms and external assessment letters in the order they appear on the list
SECTION 05: Reference Letters
☐ *A sample reference solicitation letter sent for candidate
☐ *All letters received

SECTION 06: Candidate’s Statement
☐ *Candidate’s own statement on work (a narrative assessing accomplishments and including plans for future work in all areas, a maximum of 5 single-spaced pages)

SECTION 07: Performance
☐ Narrative statement describing performance activities and their cumulative impact on repeated activities, a maximum of 2 single-spaced pages
☐ Position description(s) detailing performance responsibilities
☐ Evidence of quality or impact by patrons, faculty or other recipients of librarian performance.
☐ Other documentation addressing the quality of performance

SECTION 08: Professional Development
☐ If selected as your secondary area, a narrative statement describing the impact of activities on professional development, a maximum of 2 single-spaced pages

SECTION 09: Service
☐ If selected as your secondary area, a narrative statement describing the impact of activities on service, a maximum of 2 single-spaced pages
☐ Evaluation by supervisor of the adequacy of University service

SECTION 10: Assessment/Curriculum Vitae
☐ Assessment of dissemination outlets, such as the quality of journal, peer-reviewed conferences, and venues of presentations or performance by Library Director or Team Leader (or Designee)
☐ *Copy of candidate’s curriculum vita

SECTION 11: Appendices
☐ Supporting documents for performance
☐ Supporting documents for professional development
☐ Supporting documents for service
Do NOT forward Appendices to Dean of the Faculties Office unless specifically requested

*These materials will be retained by Dean of the Faculties Office for permanent file.

The following certification may not be provided by the candidate.
I have reviewed this candidate’s dossier and certify that the materials checked off above are included. To the best of my knowledge, this candidate’s dossier meets all the requirements for dossier preparation.

__________________________________________  ___________________________________________
Reviewer’s Signature                          Reviewer’s Title

__________________________  ____________________________  ____________________________
Telephone                        E-mail                                      Date
**FACULTY ROUTING AND ACTION FORM**  
**FOR PROMOTION AND/OR TENURE REVIEW**  
**INDIANA UNIVERSITY-PURDUE UNIVERSITY COLUMBUS**  
**2014-15 ACADEMIC YEAR**

<table>
<thead>
<tr>
<th>Full Name</th>
<th>University ID#</th>
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<tr>
<td>School:</td>
<td>Division(s):</td>
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<tr>
<td>Dean(s):</td>
<td>Division Head(s):</td>
</tr>
<tr>
<td>Title Sought:</td>
<td>Year Initially Appointed at IUPUC:</td>
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**Faculty Service at IUPUC:** (Please list your current position(s) first.)

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<tr>
<th>Rank/Title</th>
<th>Year</th>
<th>School/Division</th>
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**If Going Up for Tenure, Year Begun on Tenure Track:**

**Years Credit Toward Tenure (if any):**

| Degrees: (Please rank degrees from the highest degree achieved to the lowest.) |
| Degree | Year | Institution | Field |

**Doctoral Dissertation Title (if any):**

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**Candidate's Review of Dossier**

I have reviewed the contents of the dossier and have had an opportunity to provide necessary information in accord with the guidelines for preparing dossiers issued by the Dean of the Faculties as adapted for IUPUC and in accord with unit/school and primary/division guidelines.

Signature of Candidate ___________________________ Date ___________________________

***The upper portion of this routing form should be completed before the dossier is evaluated at the primary/division or unit/school level.***

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**Review Process**

As applicable, the Primary Committee, Division Head and/or Executive Associate Dean, Unit/School Committee, Dean, and Vice Chancellor and Dean should attach supporting statements for their recommendation. The final vote in each committee should be recorded below; if there are abstentions, this fact may be explained, but an abstention is neither negative nor positive. If new materials were added, please indicate at what level and certify that earlier reviewers and the candidate have received copies of the new materials.

**A. Promotion Recommendation** *(record actual committee votes)*:

<table>
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<tr>
<th>Committee</th>
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<td>Core School Dean</td>
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Date Candidate Notified: ___________________________

**B. Tenure Recommendation** *(record actual committee votes)*:

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UNIVERSITY LIBRARY LIBRARIAN ROUTING AND ACTION FORM
FOR PROMOTION AND/OR TENURE REVIEW
INDIANA UNIVERSITY-PURDUE UNIVERSITY COLUMBUS
2014-15 ACADEMIC YEAR

Full Name ___________________________ University ID#: ___________________________

School: ___________________________ Division(s): ___________________________

Dean(s): ___________________________ Division Head(s): ___________________________

Title Sought: ___________________________ Year Initially Appointed at IUPUC: ___________________________

Faculty Service at IUPUC: (Please list your current position(s) first.)

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If Going Up for Tenure, Year Begun on Tenure Track: ___________________________

Years Credit Toward Tenure (if any): ___________________________

Degrees: (Please rank degrees from the highest degree achieved to the lowest.)

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Doctoral Dissertation Title (if any):

Candidate's Review of Dossier
I have reviewed the contents of the dossier and have had an opportunity to provide necessary information in accord with the guidelines for preparing dossiers issued by the Dean of the Faculties as adapted for IUPUC and in accord with unit/school and primary/division guidelines.

Signature of Candidate ___________________________ Date ___________________________

***The upper portion of this routing form should be completed before the dossier is evaluated at the primary/division or unit/school level.***

Review Process
As applicable, the Primary Peer Review Committee, Team Leader, IUPUC Unit Committee, IUPUI Librarians Promotion and Tenure Committee, Dean of University Libraries, and Vice Chancellor and Dean should attach supporting statements for their recommendation. The final vote in each committee should be recorded below; if there are abstentions, this fact may be explained, but an abstention is neither negative nor positive. If new materials were added, please indicate at what level and certify that earlier reviewers and the candidate have received copies of the new materials.

A. Promotion Recommendation (record actual committee votes):

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B. Tenure Recommendation (record actual committee votes):

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Date Candidate Notified: ___________________________
IUPUC CURRICULUM VITAE FORMAT
FOR PROMOTION AND TENURE DOSSIERS

PREAMBLE: Preferably, all entries should be listed in reverse chronology with the most recent entries listed first. If your discipline’s convention is for chronological listing, that is acceptable but please be consistent. For tenure and promotion dossiers, the candidate’s complete career history should be included. In rank activities and accomplishments should be indicated by using an asterisk *. Omit headings that do not apply to your career. If you have additional categories, place them in the most logical area, consistent with this vita format. Adherence to the following format will foster consistency as well as facilitate effective and efficient dossier review.

As long as you include all the requested information in the order presented on this sample, you are not required to use the tabbed or tabled format provided on the Resources page of our website.

Name and Contact Information

EDUCATION:
POSTDOCTORAL
Institution
Degree
Date Awarded

GRADUATE
Institution
Degree
Date Awarded

UNDERGRADUATE
Institution
Degree
Date Awarded

FURTHER EDUCATION: (Advanced and Specialty Training, Fellowships, Institutes)
Institution
Credential
Date Awarded

APPOINTMENTS:
ACADEMIC (i.e. academic appointments, including academic administrative roles)
Institution
Rank/Title
Inclusive Dates

NON-ACADEMIC (i.e. administrative, hospital or corporate appointments, consultantships)
Institution/Entity
Title
Inclusive Dates

LICENSURE, CERTIFICATION, SPECIALTY BOARD STATUS (as applicable for discipline):
Credential
Number
Inclusive Dates

PROFESSIONAL ORGANIZATION MEMBERSHIPS:
Organization
Inclusive Dates

PROFESSIONAL HONORS AND AWARDS:
TEACHING
Award Name
Granted By
Date Awarded
RESEARCH
Award Name  Granted By  Date Awarded

SERVICE
Award Name  Granted By  Date Awarded

OVERALL/OTHER
Award Name  Granted By  Date Awarded

PROFESSIONAL DEVELOPMENT: List courses, workshops or training programs attended to enhance your performance in any area of academic work.
Course/Workshop Title  Provider  Date

LIBRARIAN PERFORMANCE:
Provide a composite description of your professional experience and activities in your current position at IUPUI and, where applicable, prior to coming to IUPUI.

TEACHING:

TEACHING ASSIGNMENTS: List the course number, brief title, format (i.e. lecture, lab, clinic, online); your role (course director, lecturer), year and term, enrollment and other information that specifically pertains to your discipline (i.e. contact hours, hours of lab instruction, time instructing students on wards or clinics, course-related advising.) Mean teaching evaluation scores may be included.
UNDERGRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

GRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

POSTGRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

CONTINUING EDUCATION
Course #  Short Title  Format  Role  Term  Enrollment

MENTORING: List mentoring activities that pertain to your discipline such as thesis or advisory committees, students on research rotations, postdoctoral fellows and visiting scholars, advisor to graduating students, mentor for peer and self-assessment review, faculty mentoring committees. Name the individual, identify your role and provide inclusive dates.
Individual  Role  Inclusive Dates

TEACHING ADMINISTRATION AND CURRICULUM DEVELOPMENT: List activities focused on enhancing the teaching and learning environment.
**GRANTS/FELLOWSHIPS IN TEACHING:** Organize grants to differentiate active from pending/under review. Include your history of past grant support. If a record of effort to obtain funding is expected in your discipline and/or rank, include proposal submitted but not funded.

**ACTIVE TEACHING GRANTS/FELLOWSHIPS**

<table>
<thead>
<tr>
<th>Title</th>
<th>Granting Agency</th>
<th>Role</th>
<th>% Effort</th>
<th>Amount</th>
<th>Dates</th>
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</table>

**COMPLETED TEACHING GRANTS/FELLOWSHIPS**

<table>
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<tr>
<th>Title</th>
<th>Granting Agency</th>
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<th>Dates</th>
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**PENDING TEACHING GRANTS AND FELLOWSHIPS**

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<th>Title</th>
<th>Granting Agency</th>
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<th>% Effort</th>
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<th>Dates</th>
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**SUBMITTED BUT NOT FUNDED TEACHING GRANTS/FELLOWSHIPS**

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<thead>
<tr>
<th>Title</th>
<th>Granting Agency</th>
<th>Role</th>
<th>% Effort</th>
<th>Amount</th>
<th>Dates</th>
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**COMPETITIVE (PEER REVIEWED) AND INVITED PRESENTATIONS – TEACHING**

**LOCAL**

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<tr>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
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**REGIONAL**

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**NATIONAL**

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**INTERNATIONAL**

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<th>Title</th>
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**RESEARCH/CREATIVE ACTIVITY:**

**GRANTS/FELLOWSHIPS IN RESEARCH:** Organize grants to differentiate active from pending/under review. Include your history of past grant support. If a record of effort to obtain funding is expected in your discipline and/or rank, include proposal submitted but not funded.

**ACTIVE RESEARCH GRANTS/FELLOWSHIPS**

<table>
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<tr>
<th>Title</th>
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<th>Role</th>
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**SUBMITTED BUT NOT FUNDED RESEARCH GRANTS/FELLOWSHIPS**

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<th>Amount</th>
<th>Dates</th>
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### COMPETITIVE (PEER-REVIEWED) AND INVITED PRESENTATIONS – RESEARCH

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<td>INTERNATIONAL</td>
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### SERVICE:

Distinguish between service to the University and service to your professional discipline. If a service activity spans academic levels (i.e. Division, School, Campus, University) list it once. Identify your role in leadership (i.e. member, co-chair, chair).

#### UNIVERSITY SERVICE:

<table>
<thead>
<tr>
<th>Department</th>
<th>Activity</th>
<th>Role</th>
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#### PROFESSIONAL SERVICE:

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</table>
PATIENT CARE/CLINICAL SERVICE: List activities in service to patients, indicating position, clinical venue and inclusive dates. Include role in administrative, organizational and team activities that improve the environment for clinical care. If the activities extend beyond the local level, indicate the sphere or extent of impact (i.e. regional, national, international).

GRANTS/FELLOWSHIPS IN SERVICE: Organize grants to differentiate active from pending/under review. Include your history of past grant support. If a record of effort to obtain funding is expected in your discipline and/or rank, include proposal submitted but not funded.

ACTIVE SERVICE GRANTS/FELLOWSHIPS
Title                                      Granting Agency                Role           % Effort    Amount          Dates

COMPLETED SERVICE GRANTS/FELLOWSHIPS
Title  Granting Agency  Role  % Effort  Amount  Dates

PENDING SERVICE GRANTS AND FELLOWSHIPS
Title  Granting Agency  Role  % Effort  Amount  Dates

SUBMITTED BUT NOT FUNDED SERVICE GRANTS/FELLOWSHIPS
Title  Granting Agency  Role  % Effort  Amount  Dates

COMPETITIVE (PEER-REVIEWED) AND INVITED PRESENTATIONS – SERVICE
LOCAL
Title  Organization  Date

REGIONAL
Title  Organization  Date

NATIONAL
Title  Organization  Date

INTERNATIONAL
Title  Organization  Date

PUBLICATIONS: List all publications in a format consistent with your disciplinary style standards (e.g. APA), listing all authors in the order in which they appear in the publication. **Bold your name in citations where multiple authors are listed.** All works must be retrievable. Sort publications by the following categories: Teaching, Research/Creative Activity, Service and also by refereed and non-refereed. Separate articles, proceedings papers, books, book chapters, invited reviews, letters to the editor, editorials, book reviews, invited commentaries and abstracts (including professional standards, protocols, software, multimedia presentations, films or videos and other scholarly/creative works designed for electronic technologies). **Mark in-rank publications with an asterisk * and those as a mentor with a dagger †.** The nature and extent of your contribution should be presented in the candidate’s statement or in the documentation of teaching, research/creative activity or service and not in the CV. List only works that are published, accepted or “in-press.” Work submitted, under editorial review or in preparation should not be listed but rather may be reported in the candidate’s statement. Candidates for the Three-Year Review and for promotion to Associate Professor should briefly annotate entries to explain the nature and extent of their contribution. If additional explanatory information is needed, include this in an appendix to the dossier.

2014-2015 IUPUC Promotion and/or Tenure Guidelines -56
TEACHING
Refereed

Non-refereed

RESEARCH/CREATIVE ACTIVITY
Refereed

Non-refereed

SERVICE
Refereed

Non-refereed

(Date) (Signature of Candidate)
INDIANA UNIVERSITY-PURDUE UNIVERSITY AT INDIANAPOLIS
Dean of the Faculties’ Comments Regarding Outside Letters
(EDITED FOR IUPUC FACULTY)

Practices and procedures for obtaining outside letters of review vary among the divisions and schools. External assessment letters are required for all promotion and/or tenure cases, and are expected to address teaching or performance, research and creative activities, and service, with particular attention to the candidate’s chosen area of excellence. In all instances, the relationship between the candidate and the external reviewer should be as independent as possible.

Ordinarily, division heads should solicit outside letters. However, division heads may delegate this responsibility to another member of the division, such as the chair of the primary committee, in accord with established divisional or school procedures. In most instances, the candidate should not be involved in the process of identifying external evaluators, with two exceptions: 1) the candidate should be allowed to list those he or she would definitely not want to serve as an external reviewer, and 2) the candidate may provide a list of key scholars in the field if these are not known to the division head or the division head’s designee. Generally, the candidate should not provide any outside letters. If outside letters are added by the candidate, these must be clearly designated as such and candidates should recognize that letters solicited by them do not have the same value as letters solicited by the division head or dean; candidate-solicited letters should be placed in an appendix to the dossier and they should not be forwarded for campus-level review unless they offer support for specific claims that otherwise would not be adequately documented. The value of external assessment letters is greatly enhanced by the objectivity and credibility of the author. Care should be taken to avoid relying on persons closely affiliated with the candidate.

Please consider these points:

1. The division head (primary or unit committee chair, dean, or other person specified by division or school procedures) should request and receive these letters.

2. The solicitor should use identical letters of solicitation for all referees, and a copy of the letter that was used should be included in the dossier. If circumstances require different letters (e.g., reviewing different areas of the candidate’s work), then copies of all letters used should be included.

3. All letters should be solicited at the same time; specifically, additional letters should not be requested following receipt of a negative evaluation. If additional letters must be sought because a referee declines, the reason should be explained.

4. Letters of solicitation must explicitly mention the candidate’s area(s) of excellence. Letters of solicitation for candidates choosing to present a balanced case must include an explanation of Indiana University’s policy on the balanced case. It is extremely important that the proper area of excellence is reflected in the letter. If the wrong area is indicated, this could result in procedural challenges.

5. Individual letters must be sent for each candidate; it is inappropriate to solicit external reviews for more than one candidate from a particular external reviewer in the same letter.

6. All letters solicited and received must be included in the dossier; neither the candidate nor subsequent reviewers may exclude letters.

7. Referees should be selected on the basis of their ability to comment on the candidate’s professional accomplishments.

8. Referees for professional service, teaching, and some other areas of creative or scholarly work may not necessarily hold academic appointments, but they should be selected on the basis of having an established expertise to evaluate the evidence presented to them. Letters from former students, of course, constitute a special category and should not be used. Academic referees are expected to hold at least the rank for which the candidate is being considered.
9. The dossier should contain a brief statement of professional qualifications for each referee sufficient to establish the authority of the referee in relation to the specific case under review; ordinarily, two or three sentences should suffice. The candidate should not be the person to write the statements of qualification of external reviewers. Academic referees are expected to hold at least the rank to which the candidate aspires.

10. When writing to referees, include the vita, candidate’s statement, and copies of publications, including books, unless you are certain they are available to the referee. In instances in which a referee is asked to read a book-length manuscript, an honorarium should be provided. Include the External Referee Forms in your request for referees and ask that they complete the form to assure that reviewers meet our “arm’s length” criteria.

11. Evaluators should not be asked to make a recommendation on promotion or tenure; they should be asked to evaluate the candidate's work or activities. They should not be asked to speculate on whether the candidate would receive promotion or tenure at their own institutions. The purpose for seeking these letters is to obtain an objective peer review of the work, and, hence, they should be phrased in a neutral fashion without any suggestion about the division's likely eventual recommendation.

12. To provide useful information for review beyond the division level, avoid using abbreviations that are not likely to be known to colleagues outside the field.

13. Special considerations must be given to evaluating creative work (especially when performances or exhibitions are available for a short period of time). The same degree of objectivity should be maintained in evaluating creative works as in evaluating research. In some cases, it may be necessary to invite external evaluators to campus to view works or performances even though the promotion or tenure review may be several years away.

14. Results of teaching, research and creative activity, or service disseminated through electronic media are as valuable as results published in print media. The same care and concern for objective peer assessment should be observed when reviewing such electronic publications, especially in light of the move toward more on-line publication venues.

15. While collaborators should ordinarily not be asked to evaluate the quality and importance of shared work, they may be asked to document the extent and nature of the candidate’s individual contributions to a team effort. Such letters should be specific about this purpose and not be confused with external assessment letters from peers asked to evaluate the quality and impact of teaching, research and creative activity, and service.

16. Electronic letters of reference are acceptable if they have been verified; however, they should still be signed, dated and on letterhead.
External Referee List for [Candidate’s Name]

Name of External Referee 1
Rank of External Referee 1
Institution External Referee 1
  Brief bio about External Referee 1’s qualifications

Name of External Referee 2
Rank of External Referee 2
Institution External Referee 2
  Brief bio about External Referee 2’s qualifications

Name of External Referee 3
Rank of External Referee 3
Institution External Referee 3
  Brief bio about External Referee 3’s qualifications

Name of External Referee 4
Rank of External Referee 4
Institution External Referee 4
  Brief bio about External Referee 4’s qualifications

Name of External Referee 5
Rank of External Referee 5
Institution External Referee 5
  Brief bio about External Referee 5’s qualifications

Name of External Referee 6
Rank of External Referee 6
Institution External Referee 6
  Brief bio about External Referee 6’s qualifications

Please use the format above when creating a candidate’s External Referee List. This is the minimum amount of information required by IUPUI and the IU President’s Office.
EXTERNAL REFEREE FORM

TO:
FROM:

SUBJECT: Relationship to Candidate

CANDIDATE:

Relationship to the candidate and his/her work:
1. Past and/or present student, trainee or colleague at same institution at which you had a direct or significant role in their development
   - Yes
   - No
2. Family or close friendship
   - Yes
   - No
3. Co-authored scholarly work/grants in the last 5 years (with the exception of very large national clinical trials where multiple authors have a very distant relationship in the case of serving on national research or service panels).
   - Yes
   - No
4. Other, please specify:

_________________________________________________________________________________

Knowledge of candidate’s work primarily based on:
1. His/her publications and CV
   - Yes
   - No
2. Scholarly presentations
   - Yes
   - No
3. Personal knowledge and discussions
   - Yes
   - No
4. Participated on review panels (study section, advisory boards, etc.)
   - Yes
   - No

_________________________________________________________________________________

External Reviewer’s Signature      Date

Please return this form with your letter.
Sample Letter to Request an External Evaluation for Faculty

(Schools may develop their own letters, but they should use the same format and general content to contact all persons asked to provide evaluations. Pay special attention that the letter asks the reviewers to comment on the appropriate area of excellence being sought by each specific candidate.)

Dear ____________________:

Professor _______________ is being considered for (promotion and/or tenure) at the rank of ________________ in the Division of _______________ within the School of ___________ at Indiana University-Purdue University Columbus (IUPUC). We would be particularly grateful for your comments on the depth and significance of Professor __________’s work and its impact in your field. To assist in this evaluation, we are providing a packet of relevant materials, including (his/her) curriculum vitae; a copy of (his/her) personal statement; copies of selected recent publications and teaching materials; and our criteria for (promotion and/or tenure).

Professor ______________ has identified (research/creative activity, teaching, service) as (his/her) area of excellence and therefore this is the area where evaluation by peers is most important. [OR: Professor __________ has indicated a balanced case, which should be supported by evidence of highly satisfactory performance in all three areas, research, teaching and service, in keeping with Indiana University’s policy on balanced cases.]

Please comment on Professor ____________’s research as well as other scholarly work in __________________ (the area of excellence). We welcome your evaluation of the quality of the publications and journals that have been listed, as well as comments on any creative work or exhibition media. IUPUC is dedicated to multidisciplinary research. Please keep this in mind as you review this candidate’s scholarship. Comments on teaching might include your evaluations of course syllabi, examinations, other teaching materials, and publications on teaching, as well as any personal experience you may have of (his/her) teaching. For excellence in service, please comment on both service activities and the candidate’s scholarship of service. We would also appreciate any comments you might care to make concerning Professor ____________’s contributions to professional organizations or to (his/her) discipline through professional service activities or publications.

Please focus your review on the quality and impact of the candidate’s work. We are not asking you to recommend for or against promotion or tenure, nor are we asking if the candidate might receive promotion or tenure at your institution.

The IUPUC Promotion and Tenure Guidelines require that requested references come from individuals with no close connections to the candidate (i.e., former or current mentors, students, co-authors, research partners). Therefore, if such a conflict exists, please let us know as soon as possible that you will not be able to serve as a reviewer in this case. If you are able to serve as a reviewer, please complete the External Referee Form and return it with your review summary. Also, please include a copy of your vita or a brief biography to provide reviewers at all campus levels with a context for your comments.

We hope you understand how much we appreciate your assistance as we consider Professor ____________’s candidacy. It is important for us to understand (his/her) contributions from a perspective beyond our campus. We are aware of the time a review such as this takes, and understand it can be a difficult commitment to make, but we assure you that your help with this process is invaluable.

Your letter will be seen by a group of faculty members serving in a promotion and/or tenure advisory capacity. The candidate may request access to, and the University is legally compelled to give access to, the entire dossier. (This paragraph is mandatory language for all letters requesting external peer evaluation for promotion and/or tenure and may not be altered.)

In order to complete Professor ________________’s dossier for review, we would appreciate receiving your comments by _______________________. I do hope you will be able to assist us.

Sincerely,

2014-2015 IUPUC Promotion and/or Tenure Guidelines
(Divisions may develop their own letters, but they should use the same format and general content to contact all persons asked to provide evaluations. Pay special attention that the letter asks the reviewers to comment on the appropriate area of excellence being sought by each specific candidate.)

Dear ____________:

____________________ is being considered for promotion to the rank of Librarian at Indiana University-Purdue University Columbus (IUPUC). We would be particularly grateful for your evaluation of _________’s contribution to and standing in the profession. To assist in this evaluation, we are providing a packet of relevant materials, including (his/her) curriculum vitae; a copy of (his/her) personal statement; other pertinent materials; and our criteria for (promotion and/or tenure).

For promotion to the rank of Librarian from Associate Librarian at IUPUC, the candidate must meet established university criteria.

Primarily: Superior performance – the candidate must show evidence of performance that is achieved by few others at IUPUC.

Secondarily: Either –
 Excellence in professional development – the candidate must show a continued significant contribution at the state, regional, national, or international level.

Or –
 Excellence in service – the candidate must show a continued significant contribution at the community, state, regional, national, or international level.

Tertiary: For either area not chosen as secondary, performance must be at least satisfactory.

In order to evaluate objectively the criterion of state, regional, or national recognition in the library profession, we depend heavily upon the opinions of prominent colleagues outside IUPUC who are knowledgeable in the field of specialization of the candidate. Your frank appraisal of the candidate’s contributions to the profession is very important. We are aware of the time a review such as this takes, and understand it can be a difficult commitment to make, but we assure you that your help with this process is invaluable.

The IUPUC Promotion and Tenure Guidelines require that requested references come from individuals with no close connections to the candidate (i.e., former or current mentors, students, co-authors, research partners). Therefore, if such a conflict exists, please let us know as soon as possible that you will not be able to serve as a reviewer in this case. If you are able to serve as a reviewer, please complete the External Referee Form and return it with your review summary. Also, please include a copy of your vita or a brief biography to provide reviewers at all campus levels with a context for your comments.

Your letter will be seen by a group of faculty members serving in a promotion and/or tenure advisory capacity. The candidate may request access to, and the University is legally compelled to give access to, the entire dossier. (This paragraph is mandatory language for all letters requesting external peer evaluation for promotion and/or tenure and may not be altered.)

In order to complete _________________’s dossier for review, we would appreciate receiving your comments by ________________. I do hope you will be able to assist us.

Sincerely,
Please review the “Candidate Profile” below, review the dossier, and complete the “Review Form” section.

**CANDIDATE PROFILE SUMMARY**

<table>
<thead>
<tr>
<th>Candidate Name:</th>
<th>Primary Reviewer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Division:</td>
<td>Secondary Reviewer:</td>
</tr>
<tr>
<td>School:</td>
<td>Highest Degree:</td>
</tr>
<tr>
<td>Initial IUPUC Appointment Year:</td>
<td>Year Highest Degree Achieved:</td>
</tr>
<tr>
<td>Current Rank:</td>
<td>Institution:</td>
</tr>
<tr>
<td>Year Current Rank Achieved:</td>
<td>Rank Sought:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Candidate for Promotion:</th>
<th>Candidate for Tenure:</th>
</tr>
</thead>
</table>

Area of Excellence Declared by Candidate:

**Prior Actions for Tenure**

<table>
<thead>
<tr>
<th>Primary:</th>
<th>Dean:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit:</td>
<td>Division Head:</td>
</tr>
</tbody>
</table>

**Prior Actions for Promotion**

<table>
<thead>
<tr>
<th>Primary:</th>
<th>Dean:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit:</td>
<td>Division Head:</td>
</tr>
</tbody>
</table>

**REVIEW SECTION**

Please indicate your overall rating of the candidate for each area of service and make your recommendation for promotion and/or tenure. **Note:** Areas of service differ for librarians. “Performance,” for librarians, is the equivalent of “Teaching,” and “Professional Development” is the equivalent of “Research or Creative Activity.” For “All Read” cases, please omit this rating.

**Summary Global Rank**

<table>
<thead>
<tr>
<th>Teaching:</th>
<th>Research or Creative Activity:</th>
<th>Professional Service:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent</td>
<td>Excellent</td>
<td>Excellent</td>
</tr>
<tr>
<td>Highly Satisfactory</td>
<td>Highly Satisfactory</td>
<td>Highly Satisfactory</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>Satisfactory</td>
<td>Satisfactory</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>Unsatisfactory</td>
<td>Unsatisfactory</td>
</tr>
</tbody>
</table>

**Reviewer’s Recommendations**

For Tenure: Yes [ ] No [ ]

For Promotion: Yes [ ] No [ ]
REVIEWER’S SUMMARY EVALUATION

Check the corresponding boxes below to indicate the aspects of teaching/performance, research and creative activity/professional development, and service about which the dossier did not contain sufficient documentation.

Summary Evaluation of Achievement: Provide a summary statement that addresses the principal accomplishment in the areas and evaluates strengths and weaknesses, commenting as appropriate on: clarity of goals, preparation, methodology, and self-reflection. Then, indicate whether the dossier contained adequate documentation regarding each area.

I.  TEACHING: SUMMARY EVALUATION OF ACHIEVEMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Peer Evaluations</td>
<td></td>
</tr>
<tr>
<td>1. Class visits by peers</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Peer review of materials</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>B. Scholarship</td>
<td></td>
</tr>
<tr>
<td>1. Scholarly Products</td>
<td></td>
</tr>
<tr>
<td>2. National/international presentations</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Course/curriculum/procedure development</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>C. Student Evaluation</td>
<td></td>
</tr>
<tr>
<td>1. Evidence over several terms</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Normed for division/school</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Mentee/alumni comments</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>D. Effective and Appropriate Methods</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>E. Student Learning</td>
<td></td>
</tr>
<tr>
<td>1. Student outcomes/results</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Clear course goals</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>F. Teaching Awards</td>
<td></td>
</tr>
<tr>
<td>1. State/national</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. University/campus</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. School/division</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>G. Plan for Increasing Future Teaching Effectiveness</td>
<td></td>
</tr>
<tr>
<td>H. Teaching Load</td>
<td></td>
</tr>
<tr>
<td>1. Appropriate for division/school</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Appropriate for emphasis</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>I. Was overall documentation adequate for forming a recommendation?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>J. Reviewer’s Comments on Teaching:</td>
<td></td>
</tr>
</tbody>
</table>

II. RESEARCH/CREATIVE ACTIVITY: SUMMARY EVALUATION OF ACHIEVEMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. External Peer Evaluations</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>B. Scholarly Products</td>
<td></td>
</tr>
<tr>
<td>1. Statute of journals/works/galleries</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Refereed</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Rate of productivity</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>C. Grants Received</td>
<td></td>
</tr>
<tr>
<td>1. Number in rank</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Total amount in rank</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Source of grants</td>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>
## D. Research Focus Goals

1. Progress towards goals
   - Yes [ ] No [ ]
2. Future plans
   - Yes [ ] No [ ]

## E. Research Load

1. Appropriate for division/school
   - Yes [ ] No [ ]
2. Appropriate for emphasis
   - Yes [ ] No [ ]

## F. Was overall documentation adequate for forming a recommendation?

- Yes [ ] No [ ]

## G. Reviewer’s Comments on Research/Creative Activity:

---

## III. PROFESSIONAL SERVICE: SUMMARY EVALUATION OF ACHIEVEMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Contributions/Scholarship</strong></td>
<td></td>
</tr>
<tr>
<td>1. Service to patients/clients/others</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Administrative: Hospitals/clinics/courts/others</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>3. Scholarly Products</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>B. Professional Service to Community</strong></td>
<td></td>
</tr>
<tr>
<td>1. Peer reviewed</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Other evidence</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>C. Regional/National/International Professional Organizations</strong></td>
<td></td>
</tr>
<tr>
<td>1. Offices held</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Other professional service</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>D. Professional Service Load</strong></td>
<td></td>
</tr>
<tr>
<td>1. Appropriate for division/school</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Appropriate for Emphasis</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>E. Was overall documentation adequate for forming a recommendation?</strong></td>
<td>Yes [ ] No [ ]</td>
</tr>
</tbody>
</table>

## IV. UNIVERSITY SERVICE

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Is there sufficient evidence of satisfactory University service?</strong></td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>B. Is there sufficient evidence of high standards of professional conduct across teaching, research and creative activity, and service?</strong></td>
<td>Yes [ ] No [ ]</td>
</tr>
</tbody>
</table>

## V. DOSSIER OVERALL

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Do you have any comments to go back to the chair or dean about issues raised in reviewing this dossier?</strong></td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td><strong>B. Comments to chair or dean:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>C. Overall Comments on Dossier Overall:</strong></td>
<td></td>
</tr>
</tbody>
</table>
Index

A

Addition of Materials · 7, 11, 28
Adjunct Appointments · 6, 12, 44, 46
Administrative Review · 24, 25
Advising · 15, 17, 36
Annual Reviews · 4, 19, 29, 43
Assessment, course-based · 16
Associate Dean for Academic Affairs · 1, 3, 6, 7, 8, 9, 10, 25
Awards · 17, 35, 37, 39, 42

B

Balanced Case · 2, 6, 14, 21, 27, 33

C

Campus Level Reviews · 29
Candidate's Statement · 3, 5, 12, 14, 16, 21, 24, 27, 35, 38, 39, 41, 43, 44, 45, 46, 47, 57, 60
Candidate's Responsibilities · 2, 3, 4
Center for Research and Learning (CRL) · 3, 4
Center for Service and Learning (CSL) · 3, 4
Center for Teaching and Learning (CTL) · 3, 4, 11
Chancellor · 25, 29
Checklist · 12, 44, 46
Civic Engagement · 29
Clinical Faculty · 10, 14, 15, 24, 27
Collaboration · 14, 18, 20, 23, 24, 29, 30, 39, 40, 42, 45
Committee
special · 6, 19
Community Service · 15, 19, 41, 42, 64, 67
Creative Activities · 2, 4, 5, 6, 9, 12, 13, 14, 15, 18, 21, 22, 26, 27, 29, 30, 31, 33, 38, 39, 40, 45, 55, 57, 58, 59, 60, 63, 65, 66, 67
Curriculum Development · 16, 35, 54, 66
Curriculum Vitae · 6, 11, 12, 21, 27, 45, 47, 53
content · 16, 17, 35, 38, 39, 41, 42, 43, 45, 57
format · 21, 53

D

Deadlines · 2, 6, 12, 25, 28
Dean of the Faculties · 1, 2, 4, 6, 7, 11, 12, 22, 23, 24, 25, 26, 28, 29, 44, 45, 46, 47, 48, 49, 59
assistant · 4, 24
associate · 22, 25, 28
through FAA · 1, 4, 7, 24, 25
Dissemination · 2, 3, 6, 16, 19, 20, 21, 22, 31, 37, 40, 41, 42, 45, 47

Diversity, Equity, and Inclusion · 29
Division Head's Responsibilities · 4, 5, 6, 7, 8, 9, 10, 13, 20, 21, 22, 23, 25, 26, 27, 28, 30, 31, 38, 39, 42, 59
Dossiers · 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 38, 43, 44, 45, 46, 47, 48, 49, 53, 57, 59
FAQ Document · 6
form · 11, 12
returned · 25

E

Economic Development of Indiana · 30
Evaluation
client · 19, 20
divergent · 8
student · 2, 7, 16, 35, 45
Excellence, areas of · 2, 5, 14, 26, 33
Expectations
department and school · 2, 4, 13, 14
Extension Requests · 25, 26
External Assessment/Review · 5, 6, 7, 11, 12, 13, 14, 20, 22, 23, 24, 26, 30, 33, 34, 38, 39, 41, 42, 43, 44, 45, 46, 59, 60
External Letters · 5, 11, 22, 25, 38, 43
Dean of the Faculties' comments · 59
sample letter to request · 60, 61
External Referee Form · 5, 14, 23, 47, 60, 62, 63 64
External Referee List · 14, 61

F

Faculty Appointments and Advancement (FAA) · 1, 2, 4, 7, 8, 24, 25
Faculty Board of Review · 28, 31

G

Grants · 2, 3, 7, 11, 14, 17, 21, 34, 35, 37, 39, 40, 43, 55, 57
Guidelines
school and department · 3, 4, 5

I

Indiana University Academic Handbook · 1, 2, 4, 10, 17, 26, 28, 33, 34
Interdisciplinary Work · 14, 17, 29, 30, 39
IUPUI Faculty Council policy and procedures · 42
J

Joint Appointments · 6, 12, 44, 46
Journals
  quality of · 6, 30, 45, 47
  stature of · 6, 18, 36, 38, 40

L

Leadership · 17, 20, 35, 41, 42, 45
Lecturers · 14, 16, 20, 24, 27, 34, 37, 54
Librarians · 1, 2, 4, 5, 6, 10, 11, 12, 13, 14, 15, 17, 18, 19, 21, 22, 24, 26, 27, 28, 29, 31, 33, 43, 46, 47, 49, 54, 64
Library Faculty Handbook · 1, 33

M

Mentoring · 2, 3, 4, 15, 16, 17, 23, 29, 30, 32, 35, 36, 37, 45, 54, 57
Minority Reports · 6, 8, 10

N

Negative Recommendation · 28
Negative Votes · 7, 8, 9, 10
Non-reappointment · 28, 29
Non-tenure Track · 2, 15

P

P&T Workshops · See Workshops
Peer Review · 2, 3, 4, 5, 6, 15, 16, 17, 18, 19, 20, 22, 24, 26, 27, 31, 33, 34, 35, 36, 37, 38, 40, 41, 42, 43, 46, 49, 60
President · 25, 29, 61
Primary Committee · 3, 4, 6, 7, 8, 9, 10, 11, 13, 14, 20, 21, 25, 28, 30, 31, 48, 49, 59
Principles of Graduate & Professional Learning (PGPLs) · 16, 31, 35
Principles of Undergraduate Learning (PULs) · 16, 31, 35
Probationary Period · 1, 2, 4, 26, 28
Professional Development · 12, 13, 14, 15, 17, 18, 19, 22, 27, 33, 35, 37, 41, 42, 43, 47
Professional Service · 5, 6, 15, 17, 19, 20, 21, 24, 28, 31, 33, 34, 41, 42, 43, 45, 56, 59
Promotion · 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 18, 19, 20, 21, 22, 24, 25, 26, 27, 29, 31, 41, 42, 44, 46, 53, 59, 60
definition of · 2
Publications · 5, 6, 7, 14, 16, 18, 19, 20, 21, 23, 24, 29, 30, 35, 36, 37, 38, 40, 41, 42, 43, 45, 57, 60
Purdue Faculty · 29

R

Reconsideration · 7, 10, 13, 28, 29
Research · 2, 4, 5, 6, 9, 12, 13, 14, 15, 16, 18, 19, 21, 22, 23, 26, 27, 29, 30, 31, 32, 33, 34, 38, 40, 45, 53, 54, 55, 56, 57, 58
Research Development
  office of · 4
Research Faculty · 14, 15, 18
Resubmission · 22, 25
Returned Dossiers · See Dossiers
Routing and Action Form · 4, 7, 8, 12, 27, 44, 46, 48, 49

S

Scholars · 14, 15, 18, 23, 27, 29, 30, 31, 54, 59
School responsibilities · 1, 11
Schools and Tenure · 2
Scientists · 14, 15, 18, 23, 27

T

Teaching Load · 17, 35, 45
Tenure · 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 31, 33, 37, 38, 41, 42, 44, 46, 48, 49, 53, 59, 60
definition of · 1
location of · 2
Tenure-probationary · 1, 2, 3, 4, 7, 16, 26
Tenure-track · 2, 9, 15, 16, 18, 26, 27, 33, 34
Three-year Review · 3, 4, 5, 28, 29, 57
Time in Rank · 26

U

University Service · 12, 19, 20, 27, 31, 33, 34, 41, 42, 45, 47, 56

V

Vice Chancellor and Dean · 1, 4, 6, 7, 8, 9, 10, 11, 12, 25, 27, 28, 30, 31, 35, 44, 46, 48, 49

W

Workshops · 2, 3, 4, 7, 35, 37, 41, 42, 54