**Indiana University School of Dentistry**

**Minimal Advancement Expectations While in Rank for Declared Area of Excellence Tenure Track Faculty**

*Revised and approve by IUSD Faculty Council January 16, 2024.*

**Candidate may choose a single area of excellence case, or a balanced case.**

**In the single area of excellence case, the candidate declares an area of excellence in research, teaching, or service with satisfactory performance in the other two areas. Determination of promotion from one rank to another rank depends on performance in rank, while tenure determinations require consideration of all previous and current performance and potential for future success with an upward performance trajectory. For promotion to associate professor all accomplishments while a full-time faculty member at the School of Dentistry counts as “in rank”. For promotion to full professor, the evidence would be accomplished since the promotion to associate professor.** **Major criteria are external funding and scholarship in the Area of Excellence.**

In evaluating the candidate's qualifications in teaching, scholarship, and service, a holistic approach shall be exercised.

There should be reasonable flexibility in considering the review of a balanced case based on the possibility that a candidate might have a heavier set of commitments or responsibilities in one area versus another." Within each of the categories of teaching, research, and service, the candidate must be evaluated in aggregate to determine rather she/he/they meet the standard of excellence. The candidate should be evaluated holistically for hers/his/their impact in each of the areas. The examples of documentation in each area are to provide acceptable evidence of excellence. The candidate does not have to have every piece of suggested documentation in order to make a sufficient case for excellence in a given area (refer to the rubric at the end of this document).

**Research**

At the School of Dentistry, excellence in research is demonstrated through superior scholarship in research and the achievement of national and/or international recognition for significant contributions to the discipline. The criteria for excellence for each rank are outlined below to serve as a guide to candidates seeking tenure and/or promotion in research.

# Promotion from Assistant to Associate Professor with Tenure

Excellence in **disciplinary research** can be documented by showing evidence of several activities that could include:

* An independent program of research, including serving as principal investigator on funded studies and leadership of a research agenda
* Acquisition of independent funding to support the identified research agenda
* An action plan for an ongoing program of research and research scholarship
* Development of intellectual property and filing of patents as applicable

Excellence in the **dissemination of scholarly work** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 publications per year)

Additional evidence of excellence in the **dissemination of scholarly work** can be documented by showing items that could include:

* Discussion of the impact of publications in the field
* Internal and/or external recognition of its quality
* Peer-reviewed presentations or conference papers at national and/or international meetings

Excellence in **grants and external support** can be documented by showing evidence of several activities that could include:

* Significant activity in obtaining internal and external grant support from competitive sources
* Independent funding acquisition

Excellence of the **impact of scholarship activities, including awards** can be documented by showing evidence of several activities that could include:

* An emerging national reputation for contributions to the field through external peer-review
* Awards or honors received in recognition of the scholarship of research

# Promotion from Associate Professor to Full Professor

Excellence in **disciplinary research** can be documented by showing evidence of several activities that could include:

* An independent program of research, including serving as principal investigator on funded studies and leadership of a research agenda
* Acquisition of independent funding to support the identified research agenda
* Progress on the action plan for an ongoing program of research and research scholarship
* Development of intellectual property and filing of patents as applicable
* National and/or international reputation through peer review and peer commentary
* National and/or international reputation through peer-reviewed dissemination of scholarship

Excellence in the **dissemination of scholarly work** must include documented evidence of:

* Peer-reviewed scholarship (an average of 3-5 publications per year)

Additional evidence of excellence in the **dissemination of scholarly work** can be documented by showing items that could include:

* Discussion of the impact of publications in the field
* Internal and/or external recognition of its quality
* Multiple peer-reviewed presentations or conference papers at national and/or international meetings

Excellence in **grants and external support** can be documented by showing evidence of several activities that could include:

* Consistent external grant support from competitive sources
* Participation in research panels and grant review process sponsored by national organizations, and similar entities

Excellence of the **impact of scholarship activities, including awards** can be documented by showing evidence of several activities that could include:

* A sustained national and/or international reputation for expertise in their field
* Significant ongoing contributions to the field through external peer-review
* Awards or honors received in recognition of the scholarship of research
* Impact of research through invited presentations, citations and impact factors, and journal quality
* Significant contributions to the knowledge base in the field that has improved the work of others

# Teaching

At the School of Dentistry, excellence in teaching is demonstrated through superior scholarship in teaching, advising and/or mentoring and the achievement of national and/or international recognition for significant contributions to the discipline. The criteria for excellence for each rank are outlined below to serve as a guide to candidates seeking tenure and/or promotion.

# Promotion from Assistant to Associate Professor with Tenure

Excellence in **teaching instruction** can be documented by showing evidence of several activities that could include:

* An established philosophy of teaching
* Curricular development and course improvements
* Innovation related to the scholarship of teaching
* Teaching and learning outcomes

Excellence in **course/curricular development** can be documented by showing evidence of several activities that could include:

* Course/curricular development that reflects innovation
* Expanding knowledge base
* Utilization of teaching outcomes to drive course revisions
* Teaching effectiveness data

Excellence in **mentoring and advising** can be documented by showing evidence of several activities that could include:

* Peer or student reviews that highlight mentoring/advising outcomes
* Collaborative presentations or publications with students
* Teaching impact data
* Student achievement data

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 per year)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Invited conference lectures/presentations at national and/or international meetings
* Teaching impact data
* Significant contributions to the knowledge base in the field
* Teaching awards or other honors received in recognition of the scholarship of teaching, advising, or mentoring contributions

Excellence of **professional development efforts in teaching** can be documented by showing evidence of several activities that could include:

* An emerging national reputation for contributions to the field through external, peer evaluations
* Application for internal or external funding to support innovation or experimentation in teaching pedagogy
* An action plan for continued professional development and an ongoing program of scholarship in teaching, advising, or mentoring

# Promotion from Associate Professor to Full Professor

Excellence in **teaching instruction** can be documented by showing evidence of several activities that could include:

* A comprehensive and sophisticated philosophy of teaching
* Curricular development and course improvements
* Innovation related to the scholarship of teaching
* A national and/or international reputation for contributions to the field through external peer-reviews

Excellence in **course/curricular development** can be documented by showing evidence of several activities that could include:

* Course/curricular development that reflects innovation
* Expanding knowledge base
* Utilization of teaching outcomes to drive course revisions
* Evidence of teaching effectiveness

Excellence in **mentoring and advising** can be documented by showing evidence of several activities that could include:

* Peer or student reviews that highlight evidence of superior, longitudinal mentoring/advising outcomes
* Collaborative presentations or publications with students
* Effective student mentorship culminating in collaborative publications, presentations, or other accolades
* Student mentored clinical care that yields documented outcomes (publications, presentations, awards, etc.)

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 2-3 publications per year, within the past 5 years)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Discussion of the impact of publications
* Recognition of published work
* Peer-reviewed presentations or conference papers at national and/or international venues

Professional Development Efforts in Teaching

* A sustained national and/or international reputation for expertise in the field and significant ongoing contributions through peer-review by external evaluators.
* Evidence of participation in teaching or best practice panels, conferences or projects sponsored by national organizations.
* Evidence of internal and/or external grant support to fund innovations or experimentation in teaching pedagogy is expected.

**Service**

At the School of Dentistry, excellence in service is demonstrated through superior scholarship in service and the achievement of national and/or international recognition for significant contributions to the field. The criteria for excellence for each rank are outlined below to serve as a guide to candidates seeking tenure and/or promotion.

# Promotion from Assistant to Associate Professor with Tenure

Excellence in **university/campus service** can be documented by showing evidence of several activities that could include:

* University/campus service that includes information about the quality and impact of the service as it relates to the scholarship of service
* Major contributions that supported campus or unit goals, including the significant, role, and impact

Excellence in **service to the School of Dentistry (SoD) or department** can be documented by showing evidence of several activities that could include:

* Participation in SoD and/or department service that includes information about the quality and impact of the contributions as it relates to the scholarship of service
* Major contributions that supported SoD or department goals, including the significant, role, and impact

Excellence in **service to Discipline** can be documented by showing evidence of several activities that could include:

* Independent service success and impact of contributions
* Major sustained contributions that supported a discipline’s or organization’s goals, including the significance, role, and impact
* National peer-reviewed dissemination of scholarship

Excellence in **service to Community** can be documented by showing evidence of several activities that could include:

* Independent service success and impact of contributions
* Major contributions that supported a campus or unit’s goals, including the significant, role, and impact
* Participation with community-based service that demonstrates the quality and impact of the service as it relates to the scholarship of service

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 publications per year)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Peer-reviewed presentations or conference papers at national and/or international venues
* Service work products adopted by others
* Service awards and/or other honors received in recognition of scholarship of service
* Reflective, scholarly approach to service activities and contribution
* Emerging national reputation for contributions to the field through external evaluators
* Internal and/or external grant support for service innovations or ongoing service initiatives

Excellence with **Impact of Scholarship activities** can be documented by showing evidence of several items that could include:

* Peer-reviewed presentations or conference papers at national and/or international venues
* High-quality service outcomes
* Impact of service data
* Service awards and other honors in recognition for scholarship of service
* Emerging national reputation for contributions to the field by external peer evaluations

# Promotion from Associate to Full Professor with Tenure

Excellence in **university/campus service** can be documented by showing evidence of several activities that could include:

* Sustained national and/or international reputation for contributions to the field
* Appointment to national and/or international committees, advisory bodies, or commissions
* University service that includes information about the quality and impact of the service as it relates to the scholarship of service

Excellence in **service to the School of Dentistry (SoD) or department discipline** can be documented by showing evidence of several activities that could include:

* Sustained contributions to the department service mission
* Appointment to departmental committees, advisory bodies, or commissions
* Participation in discipline-based service that includes information about the quality and impact of the contributions as it relates to the scholarship of service

Excellence in **service to Discipline** can be documented by showing evidence of several activities that could include:

* Sustained national and/or international reputation for contributions to the field
* Appointment to discipline committees, advisory bodies, or commissions
* Participation in discipline-based service that includes information about the quality and impact of the contributions as it relates to the scholarship of service

Excellence in **service to Community** can be documented by showing evidence of several activities that could include:

* Sustained national and/or international reputation for contributions to the field
* Appointment to discipline committees, advisory bodies, or commissions
* Participation in community-based service that includes information about the quality and impact of the contributions as it relates to the scholarship of service

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 3-5 publications per year)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Peer-reviewed presentations or conference papers at national and/or international venues
* Service work products adopted by others
* Service awards and/or other honors received in recognition of scholarship of service
* Reflective, scholarly approach to service activities and contribution
* National and/or international reputation for contributions to the field through external evaluators
* Internal and/or external grant support for service innovations or ongoing service initiatives

Excellence with **Impact of Scholarship activities** can be documented by showing evidence of several items that could include:

* Peer-reviewed presentations or conference papers at national and/or international venues
* High-quality service outcomes
* Impact of service data
* Service awards and other honors in recognition for scholarship of service
* National and/or international reputation for contributions to the field by external peer evaluations

# Balanced Case

Faculty members determine their area of excellence within the academic norms and context of their primary unit. Faculty should select just one area of excellence unless presenting a balanced case. “A candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university.” (ACA-38 Faculty and Librarian Promotions).

This category is to be used when a faculty member’s work is highly integrated with documented scholarship in all three areas of endeavor. Letters of solicitation to external reviewers for candidates choosing to present a balanced case must include an explanation of Indiana University’s policy on the balanced case.

The balanced case category includes each of these types:

* **Balanced-binned**: accomplishments distributed among areas, but not necessarily integrated among themselves. Each area must achieve a level of highly satisfactory.
* **Balanced-integrative Diversity, Equity, and Inclusion** (DEI): an integration among accomplishments and an overall philosophy and achievement towards DEI.
* **Balanced-integrative-Thematic**: an integration among accomplishments according to a specified philosophy or focus.

**Balanced-Binned tenure track cases**

The Balanced-Binned Case is a variant of the balanced case and is the traditional version of the balanced case**.** The candidate must be ranked at least highly satisfactory in each of the three areas. Of importance is that the candidate must demonstrate scholarship in each of the three areas. This scholarship is interpreted so that the total number of publications across the three areas count toward the numerical guideline goal stated for highly satisfactory in the IUSD P&T Ranking Rubrics. The criteria to be examine in the three areas are noted above for each of the areas and in the IUSD P&T Ranking rubric. The distinction between highly satisfactory and excellent is identified in the IUSD P&T Ranking Rubrics. The determination of tenure must include the demonstration of comparable long-term benefits to the University in all three areas.

**Balanced-Integrative DEI tenure track cases**

The Balanced-Integrative DEI Case is a variant of the balanced case**.** The candidate must demonstrate excellence across an array of integrated scholarly activities aligned with diversity, equity, and inclusion.

The Integrative DEI candidate must present integrative evidence that amounts to excellence in value to the university. It is important to note that Integrative DEI cases are reviewed holistically and represent a marked departure from making clear distinctions among research, teaching, and service as separate areas of review. Cases present a comprehensive argument for excellence across an integrated array of scholarly activities aligned with diversity, equity, and inclusion. Normally, such cases would emphasize efforts across teaching, research and service activities. However, in the case that only two of three areas are the focus for DEI-related work, candidates must demonstrate at least satisfactory performance in the third area.

**Excellence:** The candidate demonstrates excellence across an array of integrated scholarly activities aligned with diversity, equity, and inclusion. The candidate achieves “excellent overall performance of comparable benefit to the university.” All of the following should be evident, using multiple sources of information:

**Diversity, Equity, and Inclusion:** The candidate articulates a philosophy of diversity, equity, and inclusion, including if appropriate any specifically targeted aspect.

**Integrated Activity:** The candidate has interrelated activities and accomplishments as an IUSD faculty member in teaching, research and service which demonstrably support and advance diversity, equity, and inclusion.

**Independence, Innovation, and Initiative**: The candidate articulates their personal role as an essential and generative actor within diversity initiatives.

**Interdependence and teamwork** are valued as well as contributions to group achievements; the candidate needs to describe their own roles and responsibilities.

**Scholarly impact:** The candidate should demonstrate the impact of their scholarly work. This is often but not exclusively facilitated by peer-reviewed dissemination; a variety of venues for dissemination is accepted.

**Local (Direct) Impact:** Effective evaluation of diversity, equity, and inclusion initiatives should demonstrate distinct outcomes. Tying to unit (program, department, school, campus, or university) missions strengthens the importance of the impact (e.g., contributing to local communities using professional expertise, recruiting diverse students to undergraduate or graduate programs, diversifying curricula, etc.).

**Future Plans**: A candidate’s statement should describe plans for future development.

# Promotion from Assistant to Associate Professor with Tenure

The candidate’s personal statement must clearly define one key element or aspect of DEI that is their focus and how the DEI in teaching, research and service are interrelated.

Excellence in the balanced case is defined as “overall benefit” to the university, consisting of high quality with distinct impact. Candidate will have led or been an essential part of endeavors with distinct and demonstrable local outcomes. Local refers to either or both of campus/university and local community. National or international dissemination is also expected as a reflection of the quality of work.

The criteria for excellence in integrative DEI for research, teaching and service for each rank are outlined below to serve as a guide to candidates seeking tenure and/or promotion in research. The candidate should be evaluated holistically for their impact in each of the areas. The examples of documentation in each area are to provide guidance of acceptable documentation of excellence and it is not intended to suggest that that the candidate must have every piece of suggested documentation.

## Research component:

At the School of Dentistry, excellence in integrative DEI for research is demonstrated through research which integrates DEI that is recognized for its achievement at the national and/or international level.

Excellence in **disciplinary research** can be documented by showing evidence of several activities that could include:

* An independent program of research pertaining to DEI, including serving as principal investigator on funded studies and leadership of a research agenda
* Acquisition of independent funding to support DEI focused research agenda
* An action plan for an ongoing program of research and research scholarship surrounding DEI
* Development of intellectual property and filing of patents as applicable that connect with DEI and the support of underrepresented and/or marginalized groups
* Scholarship, research, and/or creative activity focused on minoritized and diverse communities
* Data demonstrating any effort of “diversifying” (e.g., collections, newly created programs; innovations/interventions) related to DEI within research endeavors
* Elevation of collection/data development practices to be more inclusive and equitable in an effort to better represent a diverse range of voices and perspectives
* Diverse research team development
* Recruitment and retention of diverse research teams/personnel

Excellence in the **dissemination of scholarly work** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 publications per year) that connect with DEI
* Two-four high-quality, peer-reviewed publications in top tier journals in the P&T dossier

Additional evidence of excellence in the **dissemination of scholarly work** can be documented by showing items that could include:

* Discussion of the impact of publications in the area of DEI
* Internal and/or external recognition of scholarship quality
* Peer-reviewed presentations or conference papers at national meetings related to research incorporating DEI
* Sharing of scholarship in openly accessible journals, platforms, and repositories to support knowledge of equity
* Data indicating the adoption of scholarly work by others
* Policy work related to DEI

Excellence in **grants and external support** can be documented by showing evidence of several activities that could include:

* Significant activity in obtaining internal and external DEI related grant support from competitive sources
* Acquisition of independent funding to support efforts related to DEI
* Grants serving communities of color or other marginalized communities

Excellence of the **impact of scholarship activities, including awards** can be documented by showing evidence of several activities that could include:

* An emerging national reputation for contributions to the field of DEI through external peer-review
* Awards or honors received in recognition of the scholarship of DEI related research
* Information highlighting significant contributions to the DEI knowledge base that has improved the work of others

## Teaching component:

At the School of Dentistry, excellence in integrative DEI teaching is demonstrated through integration of DEI in teaching, advising and/or mentoring of underrepresented groups, and the achievement of national and/or international recognition for significant contributions to curricular or program development focusing on DEI.

Excellence in **teaching instruction** can be documented by showing evidence of several activities that could include:

* An evolving philosophy of teaching as related to DEI
* Curricular development and course improvements related to DEI
* Innovation related to the scholarship of teaching
* Development of inclusive teaching practices
* Data on DEI related teaching and learning outcomes

Excellence in **course/curricular development** can be documented by showing evidence of several activities that could include:

* Course/curricular development that reflects innovation a focus on DEI
* Expanding knowledge base in the integration of DEI into teaching
* Utilization of teaching outcomes to drive course revisions
* Data on DEI related teaching effectiveness

Excellence in **mentoring and advising** can be documented by showing evidence of several activities that could include:

* Peer or student reviews that highlight DEI related mentoring/advising outcomes
* Collaborative presentations or publications with students from underrepresented and/or marginalized groups
* Data showing support of faculty/staff from underrepresented groups
* Serving as an advisor to a student group related to marginalized/minoritized groups (e.g, Black Student Union, Alliance for Immigrant Justice, Latino Student Association, African Student Association, etc.)
* Supporting faculty engaged in community-based research/programs
* Facilitate programs that explore marginalized populations, global injustices
* Program development and leadership that targets underrepresented student populations
* Impact of DEI related teaching and its adoption by others
* Data on DEI related student achievement
* Awards and honors in recognition of advising or mentoring of underrepresented or marginalized groups

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 per year) that connect with DEI

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Invited conference lectures/presentations at national meetings related to DEI pedagogy or best practices
* Data highlighting impact of DEI related teaching
* Significant contributions to the knowledge base in areas associated with DEI
* Teaching awards or other honors received in recognition of the scholarship of DEI related teaching, advising, or mentoring contributions

Excellence of **professional development efforts in teaching** can be documented by showing evidence of several activities that could include:

* An emerging national reputation for contributions to the field of DEI through external, peer evaluations
* Application for internal or external funding to support innovation or experimentation in DEI teaching pedagogy
* An action plan for continued professional development and an ongoing program of integration of DEI in teaching, advising, or mentoring

## Service component:

At the School of Dentistry, excellence in integrative DEI service is demonstrated through integration of DEI into service and the achievement of national and/or international recognition for significant contributions for service activities related to and incorporating DEI.

Excellence in **university/campus service** can be documented by showing evidence of several activities that could include:

* University/campus service that includes information about the quality and impact of the service as it relates to DEI
* Major contributions that supported campus or unit DEI goals, including the significant, role, and impact
* Consulting work (paid or unpaid) related to DEI
* Service on campus committees pertaining to DEI work
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Leading/delivering DEI professional development programming
* Creating and/or leading programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* Chairing the department/school/unit diversity committee
* DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Active recruitment of diverse students

Excellence in **service to the School of Dentistry (SoD) or department** can be documented by showing evidence of several activities that could include:

* Participation in SoD and/or department service that includes information about the quality and impact of the contributions as it relates to DEI
* Major contributions that supported SoD or department DEI goals, including the significant, role, and impact
* Consulting work (paid or unpaid) related to DEI
* Service on department and/or school committees pertaining to DEI work
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Leading/delivering DEI professional development programming
* Creating and/or leading programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* Chairing the department/school/unit diversity committee
* DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Active recruitment of diverse students

Excellence in **service to Discipline** can be documented by showing evidence of several activities that could include:

* Independent service success and impact of contributions related to DEI
* Major sustained contributions that supported a discipline’s or organization’s DEI goals, including the significance, role, and impact
* National peer-reviewed dissemination of DEI focused scholarship
* National service to the discipline related to DEI (e.g., elected position in national organization)
* Consulting work (paid or unpaid) related to DEI.
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Leading/delivering DEI professional development programming
* Creating and/or leading programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* DEI professional development (e.g., trainings, workshops, certification, reading groups)

Excellence in **service to Community** can be documented by showing evidence of several activities that could include:

* Independent service success and impact of contributions related to DEI
* Community board service linked to DEI
* Community-based outreach to minoritized communities (e.g., programming for K-12 students, community organizations, international non-governmental organizations (NGOs), religious institutions).
* Leading community engaged research
* Consulting work (paid or unpaid) related to DEI
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Participation with community-based service that demonstrates the quality and impact of the service as it relates to the scholarship of DEI related service
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Leading/delivering DEI professional development programming
* Creating and/or leading programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* DEI professional development (e.g., trainings, workshops, certification, reading groups)

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 1-2 publications per year)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Peer-reviewed presentations or conference papers focused on DEI at national and/or international venues
* DEI service work products adopted by others
* Publication such as textbooks, book chapters, best practice guidelines or web documents providing additional evidence of DEI
* Service awards and/or other honors received in recognition of scholarship of service related to DEI
* Reflective, scholarly approach to DEI related service activities and contributions
* Emerging national reputation for contributions to the field of DEI through external evaluators
* Internal and/or external grant support for DEI innovations or ongoing service initiatives
* Providing exposure to the research produced by underrepresented groups in open knowledge environments
* Dissemination of DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Providing exposure to the research produced by underrepresented groups in open knowledge environments
* Scholarship creation and/or management
* Disseminated DEI policy work

Excellence with **Impact of Scholarship activities** can be documented by showing evidence of several items that could include:

* Peer-reviewed presentations or conference papers at national and/or international venues related to the integration of DEI in service
* DEI policy work impact data
* DEI related service impact data
* Service awards and other honors in recognition for scholarship in DEI
* Emerging national reputation for contributions to DEI by external peer evaluations
* National, international, local (campus), and/or community-based awards and/or recognitions for DEI work
* IU Faculty Academy on Excellence in Teaching (FACET) membership based on DEI work

# Promotion from Associate Professor to Full Professor

The candidate’s personal statement must clearly define one key element or aspect of DEI is their focus and how the DEI in teaching, research and service are interrelated.

Excellence in the balanced case is defined as “overall benefit” to the university, consisting of high quality with distinct impact. The candidate will be seen as a local leader and will also have achieved a national or international reputation through their work.

The criteria for excellence in integrative DEI for research, teaching and service are outlined below to serve as a guide to candidates seeking tenure and/or promotion in research. The candidate should be evaluated holistically for their impact in each of the areas. The examples of documentation in each area are to provide guidance of acceptable documentation of excellence and it is not intended to suggest that that the candidate must have every piece of suggested documentation.

## Research component:

Excellence in **disciplinary research** can be documented by showing evidence of several activities that could include:

* A sustained national and/or international reputation for expertise in their field of DEI
* Significant ongoing contributions through peer-review by external evaluators
* An independent research agenda pertaining to DEI, including serving as principal investigator on funded studies and leadership of a research agenda
* Acquisition of independent funding to support DEI focused research agenda
* An action plan for an ongoing program of research and research scholarship surrounding DEI
* Development of intellectual property and filing of patents as applicable that connect with DEI and the support of underrepresented and/or marginalized groups
* Data demonstrating any effort of “diversifying” (e.g., collections, newly created programs; innovations/interventions) related to DEI within research endeavors
* Elevation of collection/data development practices to be more inclusive and equitable in an effort to better represent a diverse range of voices and perspectives
* Diverse research team development
* Recruitment and retention of diverse research teams/personnel
* Scholarship/research/creative activity focused on minoritized and diverse communities (e.g., community engaged research) in the United States or internationally.
* Participation in research panels and grant review processes, sponsored by national organizations and like contributions, which focused around DEI

Excellence in the **dissemination of scholarly work** must include documented evidence of:

* Peer-reviewed scholarship (an average of 3-5 publications per year) that connect with DEI
* Substantial body of published work with the candidate serving as first, senior, or corresponding author
* Three-five high-quality, peer-reviewed publications in top tier journals in the P&T dossier related to DEI (If the specific research topics are not DEI related, the work in teaching and service must be strengthened by the research)

Additional evidence of excellence in the **dissemination of scholarly work** can be documented by showing items that could include:

* Discussion of the impact of publications in the area of DEI
* Internal and/or external recognition of scholarship quality
* Peer-reviewed presentations or conference papers at national and/or international meetings related to research incorporating DEI
* Data indicating the adoption of scholarly work by others
* Policy work related to DEI and its impact at a national and/or international level

Excellence in **grants and external support** can be documented by showing evidence of several activities that could include:

* Consistent external DEI related grant support from competitive sources including federal funding to support independent program of research
* Acquisition of independent funding to support efforts related to DEI
* Grants serving communities of color or other marginalized communities

Excellence of the **impact of scholarship activities, including awards** can be documented by showing evidence of several activities that could include:

* A sustained national and/or international reputation for expertise in the field of DEI through external peer-review
* Impact of research through invited presentations, citations and impact factors, journal quality
* Information highlighting significant contributions to the DEI knowledge base that has improved the work of others
* Outcomes of mentored student research (e.g., co-authored publications, presentations, or other recognition)
* Awards or honors received in recognition of the scholarship of DEI related research
* Intellectual property development at Indiana University by filing patents as applicable

## Teaching component:

Excellence in **teaching instruction** can be documented by showing evidence of several activities that could include:

* Development of a sophisticated teaching philosophy
* Curricular development and course improvements related to DEI
* Innovation related to the scholarship of DEI focused teaching
* Development of inclusive teaching practices
* Data on DEI related teaching and learning outcomes
* DEI teaching outcomes documented by peer and student evaluations over time and/or collaborative presentations or publications with students
* Impact of DEI integrated into teaching and recognition of its quality

Excellence in **course/curricular development** can be documented by showing evidence of several activities that could include:

* Course/curricular development that reflects innovation and a focus on DEI
* Expanding knowledge base in the integration of DEI into teaching that has improved the work of others
* Leading curriculum development and/or revision related to DEI
* Utilization of teaching outcomes to drive course revisions
* Data on DEI related teaching effectiveness

Excellence in **mentoring and advising** can be documented by showing evidence of several activities that could include:

* Peer or student reviews that highlight DEI related mentoring/advising outcomes
* Collaborative presentations or publications with students from underrepresented and/or marginalized groups
* Advising and/or mentoring underrepresented and/or international students (undergrad, graduate, professional students)
* Serving as an advisor to a student group related to marginalized/minoritized groups (e.g, Black Student Union, Alliance for Immigrant Justice, Latino Student Association, African Student Association, etc.)
* Mentoring faculty/staff from underrepresented groups
* Data showing support of faculty/staff from underrepresented groups
* Supporting faculty engaged in community-based research/programs
* Leading study abroad programs that explore marginalized populations and global injustices and/or that are specifically designed for underrepresented student populations
* Facilitate programs that explore marginalized populations and global injustices
* Program development and leadership that targets underrepresented student populations
* Impact of DEI related teaching and its adoption by others
* Data on DEI related student achievement
* Participation in teaching or best practice panels, conferences or projects sponsored by national organizations
* Mentored student research (or other accomplishments) with outcomes such as co-authored publications, presentations, or other recognition
* Awards and honors in recognition of advising or mentoring of underrepresented or marginalized groups

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 3-5 per year) that connect with DEI

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Multiple peer-reviewed presentations or conference papers at national and/or international meetings related to DEI pedagogy, research or best practices
* Impact of teaching through invited presentations, adoption of work products by others, journal quality, and/or evidence of significant contributions to the knowledge base in the integration of DEI into teaching that has improved the work of others
* Data highlighting impact of DEI related teaching
* Significant contributions to the knowledge base in areas associated with DEI
* Teaching awards or other honors received in recognition of the scholarship of DEI related teaching, advising, or mentoring contributions

Excellence of **professional development efforts in teaching** can be documented by showing evidence of several activities that could include:

* A sustained national and/or international reputation for expertise in the field of DEI through external, peer evaluations
* Internal and/or external grant support to fund innovations or experimentation in teaching pedagogy focused on DEI
* An action plan for continued professional development and an ongoing program of integration of DEI in teaching, advising, or mentoring

## Service component:

Excellence in **university/campus service** can be documented by showing evidence of several activities that could include:

* University/campus service that includes information about the quality and impact of the service as it relates to DEI
* Major contributions that supported campus or unit DEI goals, including the significant, role, and impact
* Appointments to committee, advisory bodies and/or commissions in service relevant to DEI
* Participation in University service with discussion of the quality and impact of the service, leadership role or nature of significant contribution as related to the DEI service (University service may include client and/or community service; involvement in institutional societies or organizations; as well as departmental, school or campus committee, task force and other service work)
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Consulting work (paid or unpaid) related to DEI
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Creating , leading, or delivering professional development programs related to DEI on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Service on campus committees pertaining to DEI work
* Serving on search committees when diverse membership is requested
* Chairing a department/school/unit diversity committee
* DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Active recruitment of diverse students

Excellence in **service to the School of Dentistry (SoD) or department** can be documented by showing evidence of several activities that could include:

* Participation in SoD and/or department service that includes information about the quality and impact of the contributions as it relates to DEI (may include patient, client and/or community service; involvement in institutional societies or organizations; as well as departmental, school or campus committee, task force and other service work)
* Major contributions that supported SoD or department DEI goals, including the significance, role, and impact
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Consulting work (paid or unpaid) related to DEI
* Service on department and/or school committees pertaining to DEI work
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Creating, leading, and/or delivering professional development programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* Chairing a department/school/unit diversity committee
* DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Active recruitment of diverse students

Excellence in **service to Discipline** can be documented by showing evidence of several activities that could include:

* Appointments to committee, advisory bodies and/or commissions in service relevant to DEI
* Independent service success and impact of contributions related to DEI
* Major sustained contributions that supported a discipline’s or organization’s DEI goals, including the significance, role, and impact
* Participation in professional service with discussion of the quality and impact of the service, leadership role or nature of significant contribution as related to the DEI service (Professional service may include patient, client and/or community service; involvement in professional societies or organizations)
* National peer-reviewed dissemination of DEI focused scholarship
* National service to the discipline related to DEI (e.g., elected position in national organization)
* Consulting work (paid or unpaid) related to DEI.
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Creating, delivering, and/or leading professional development programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* DEI professional development (e.g., trainings, workshops, certification, reading groups)

Excellence in **service to Community** can be documented by showing evidence of several activities that could include:

* Appointments to committee, advisory bodies and/or commissions in service relevant to DEI
* Independent service success and impact of contributions related to DEI
* Impact of Community engaged research
* Community board service linked to DEI
* Community-based outreach to minoritized communities (e.g., programming for K-12 students, community organizations, international non-governmental organizations (NGOs), religious institutions).
* Leading community engaged research
* Consulting work (paid or unpaid) related to DEI
* Successful efforts to increase the presence of underrepresented groups and communities in open platforms
* Participation with community-based service that demonstrates the quality and impact of the service as it relates to the scholarship of DEI related service
* Coaching and providing support to community engaged researchers; engaging communities (e.g., building capacity)
* Creating, delivering and/or leading professional development programs related to DEI, on campus (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff)
* Serving on search committees when diverse membership is requested
* DEI professional development (e.g., trainings, workshops, certification, reading groups)

Excellence in **scholarly activities** must include documented evidence of:

* Peer-reviewed scholarship (an average of 3-5 publications per year)

Additional evidence of excellence in **scholarly activities** can be documented by showing items that could include:

* Publication such as textbooks, book chapters, best practice guidelines or web documents providing additional evidence of DEI
* Peer-reviewed presentations or conference papers focused on DEI at national and/or international venues
* Emerging national and/or international reputation for contributions to the field of DEI through external evaluators
* Reflective, scholarly approach to DEI related service activities and contributions
* DEI service work products adopted by others
* Scholarship creation and/or management
* Disseminated DEI policy work
* Dissemination of DEI professional development (e.g., trainings, workshops, certification, reading groups)
* Providing exposure to the research produced by underrepresented groups in open knowledge environments
* Internal and/or external grant support for DEI innovations or ongoing service initiatives
* Service awards and/or other honors received in recognition of scholarship of service related to DEI

Excellence with **Impact of Scholarship activities** can be documented by showing evidence of several items that could include:

* Sustained national reputation for contributions to DEI by external peer evaluations
* Discussion of the impact of DEI integrated into service and recognition of its quality
* Peer-reviewed presentations or conference papers at national and/or international venues related to the integration of DEI in service
* Impact of service through invited presentations, adoption of approach by others, journal quality, and/or evidence of significant contributions to the knowledge base that has improved the work of others
* High-quality service outcomes documented by publication, presentation, treatment success or data that demonstrates the impact of the service
* Impact of Community engaged research
* Impact data for DEI policy work
* Impact data for DEI related service
* Service awards and other honors in recognition for scholarship in DEI
* National, international, local (campus), and/or community-based awards and/or recognitions for DEI work
* IU Faculty Academy on Excellence in Teaching (FACET) membership based on DEI work

**Balanced-Integrative Case-Thematic tenure track cases**

The Balanced-Integrative Case-Thematic type is a variant of the balanced case**.** In this case type, the candidate’s activities and accomplishments are interrelated, around a chosen theme. Individual items need not be labelled or separated as belonging exclusively to teaching, research, or service. However, the candidate should demonstrate how teaching, research, and service are expressed by the items: for example, a particular grant may have both teaching and research aspects, or a publication may advance disciplinary knowledge (research) and but also be a result of collaboration with practitioners (service). Candidates will state their integrative philosophy and show how their most important accomplishments demonstrate peer-evaluated impact and quality. During the review process, candidates will be assessed holistically, and the overall “cumulatively excellence” of the candidate’s dossier will be considered through the Satisfactory, Highly Satisfactory, and Excellence areas denoted in the rubric. Types of evidence are as detailed above in the DEI case, but relevant to the chosen theme, e.g., community-engaged work.

Balanced Integrative cases will demonstrate that the candidate possesses these characteristics:

• Evidence of at least satisfactory performance in teaching, research/creative activity, and service.

• A clearly articulated philosophy / defined theme which is reflected in the interrelated activities across teaching, research/creative activity, and service.

• Independence, innovation, and initiative: Interdependence and teamwork are valued as well as contributions to group achievements; the candidates need to describe their own roles and responsibilities.

* Scholarly and direct impact and demonstrated quality. Academic peer review is required as a component of assessing scholarly (research, creative activity) impact; professional or academic peer review as well as other indicators of quality and impact would support assessments of teaching- and service- oriented activities.
* A cumulative record that supports an argument for overall excellent contribution to the unit and university.
* Increasing development over time. A candidate’s statement should describe plans for the future.

# Promotion from Assistant to Associate Professor with Tenure

Candidates should demonstrate how teaching, research, and service are expressed by the items and contribute to the Excellence in the balanced case as “overall benefit” to the university, consisting of high quality with distinct impact. Candidates will have led or been an essential part of endeavors with distinct and demonstrable local outcomes. Local refers to either or both of campus/university and local community. Regional or national dissemination is also expected as a reflection of the quality of work.

# Promotion from Associate Professor to Full Professor

Candidates should demonstrate how teaching, research, and service are expressed by the items and contribute to the Excellence in the balanced case as “overall benefit” to the university, consisting of high and sustained quality with distinct impact. Candidates will have led or been an essential part of endeavors with distinct and demonstrable local outcomes. Local refers to either or both of campus/university and local community. National or international dissemination is also expected as a reflection of the quality of work.

# Tenure

The criteria for promotion and tenure are closely related, but they are not identical. While both are based on performance commensurate with rank, tenure requires documented evidence of the promise of continued achievement with distinction. While promotion and tenure recommendations are made separately, most tenure-probationary faculty are considered for both at the same time **unless they already hold a rank of associate or full professor**. Tenure is based on a documented record of achievement that meets defined standards for the department, school, and campus, together with evidence and a plan that demonstrates that the level of achievement is likely to continue and grow. Tenure acknowledges achievement in light of its promise for the future. As with a promotion dossier, the candidate for tenure declares an area of excellence with satisfactory performance in the other two areas except in the instance of a balanced case. The documentation for tenure includes the entire body of the candidate’s academic work to date rather than only work in rank.

# APPENDIX

**Indiana University School of Dentistry**

**Minimal Advancement Expectations While in Rank for Declared Area of Excellence** **Tenure Track Faculty**

**Area of Excellence - Research**

* **Evidence of high-quality peer-reviewed research publications in top tier journals in the candidate’s area of research.**
  + Publication in the premier peer-reviewed, high impact general science, dental or medical journals (for example, *Science, Nature, Journal of Dental Research, Archives of Oral Biology, Caries Research, Journal of Periodontal Research, Cell, New England Journal of Medicine, Lancet*) is a clear demonstration of peer appreciation of the published work. More commonly, publication in the “top tier” journals of a candidate’s discipline, such as major society journals, is a significant indicator of the quality of a candidate’s work and an expectation of IUSD. It is also appreciated that valid and significant publications will appear in what are generally viewed as less important journals and credit will be accorded; however, publication in lesser journals will count less in the evaluation of the candidate’s publication record. For some departments and disciplines, there may be several top tier journals and it is important to appreciate that any given journal's reputation and importance may change with time.
  + Published abstracts are not generally accorded the weight of peer-reviewed papers.

Nonetheless, it is acknowledged that having abstracts accepted to certain large meetings is through a competitive process and is subject to significant peer review. Examples are the International/American Association for Dental, Oral, and Craniofacial Research meetings. The candidate should document whether any abstracts listed fall into this category. The candidate should also highlight abstracts in their curriculum vitae selected for oral or selected poster presentations at national or international meetings, as these are generally considered more prestigious.

* + Being senior or lead author is important. It is essential for establishing excellence in research to be the senior or lead author on a number of publications; yet it is understood that the relative importance of the position in the list of authors in multi- author papers may depend on the discipline. For example, in many clinical investigations, being first author is most important; although sometimes being last author also has significance. In the basic sciences, a mature researcher will often place students or post-doctoral fellows as first author, placing his or her name last or as corresponding author.
  + The value of middle authorship is often hard to evaluate. A key principle is that the candidate and the division chief or department chair should document the candidate’s role in important publications. This is particularly important in team science; thus candidates are advised to describe their role in such collaborative projects in the dossier in such places as annotations on their CV, descriptions in the personal statement, etc.

Including letters from collaborators, co-authors, or senior research team members can further clarify and strengthen the candidate’s role.

* + Clear documentation of one’s role is essential for faculty whose research portfolio is mostly team science based. Junior faculty seeking to establish independence from senior faculty or mentors with whom they continue to publish should also document their specific role in the research project using similar letters.

# Demonstrate significant activity in obtaining internal and external grant support from competitive sources.

* + Peer-reviewed grants from national agencies (e.g., National Institutes of Health, National Science Foundation, Centers for Disease Control and Prevention, U.S. Department of Veterans Affairs, U.S. Department of Defense) have the greatest prestige. Individual projects that are components of large center or program project grants to these agencies are considered essentially equivalent to investigator-initiated grants, provided that the individual project has been funded (it is recognized that individual projects within the larger center/program projects are sometimes not funded, even though the center/program project is funded on the merits of other projects).
  + Grant support from national societies that offer a competitive grant program (such as the American Association of Endodontists, American Diabetes Association, Juvenile Diabetes Research Foundation, American Heart Association, American Cancer Society) is viewed very positively. Similarly, securing competitive grants from major foundations, Associations and Trusts are also noteworthy achievements.
  + For young investigators, career development awards represent a significant achievement.
  + Investigator-initiated awards from pharmaceutical companies are acknowledged as being significant although they do not rise to the level of prestige of peer-reviewed grants.
  + Playing a leading role as a coordinator of a multi-center trial is also viewed very positively.
  + A faculty member achieving excellence in research has historically been Principal Investigator (PI) on a substantial part of the candidate's funding. A possible exception is the case of center or program project grants, as noted in the preceding paragraph. Team science is important and the roleofthecandidate in the success oftheteam will beconsidered.

Being a Co-PI in a NIH multiple PD/PI model grant would be considered equivalent. Some credit will also be accorded for a role as co-investigator.

* + If funding from grants on which the candidate is not PI is to be considered in making the case for excellence in research (for example, if the candidate is an essential member of a collaborative research team), it is imperative that the nature and significance of the candidate's contribution be carefully documented by the candidate, collaborators and other evaluators.
  + As it is a service function, being the leader of a Core facility in a center or program project grant is meritorious but ordinarily not weighed heavily in establishing research excellence.
  + A listing of specific funding that was awarded to the candidate on grants that the candidate is not the PI should be provided.
  + As a principle, the School does not evaluate success in attracting external funding strictly in terms of the monetary value. It is also recognized that different types of research demand different levels of funding. Nonetheless, it is appreciated that small grants do not weigh as much as, for example, an NIH R01 grant.

# Intellectual property considerations:

* + A patent award is recognized as evidence of creative activity and the development of new knowledge. A patent has undergone stringent external review by the US patent office and is a form of retrievable output that requires a substantial investment of intellectual effort. A patent is therefore a potential indicator of a successful research program though it is recognized that, like publications, not all patents have equal weight. Some are never licensed and effectively used whereas others may generate revenue for the university, school and department. Also, as with traditional publications, an individual’s role in a patent application is important and the onus is placed on the applicant to document, if necessary through letters from co-inventors, his or her contribution. Minimally, the candidate must be listed as a co-inventor.
  + Licensing/Royalties - Intellectual resources deriving from a faculty member’s research, though not patentable, may be marketable. Included might be the licensing of materials available from the research program in exchange for a flat fee or for royalties based on sales. Another example would be royalties or professional acclaim from a successful text book. Licensing of products or the award of royalties does not have the weight of peer reviewed appreciation of a research program but does indicate recognition and value. Together with publications and external funding, however, licensing and royalties can support the cohesiveness and impact of a research program.

# Awards or honors received in recognition of the scholarship of research, research contributions or outcomes:

* + Editorial boards and manuscript review: It is likely that a faculty member with a mature and successful research program would be asked to review a significant number of manuscripts for journals. To be or to have been a member of editorial board(s) is considered very positively, obviously the more important the journal(s) the better. In some instances, documentation of meritorious editorial service in the form of a certificate, published list of the number of papers reviewed, or letter from senior editors can be used for documentation.
  + Study sections and grant review: Similar to requests for manuscript review, solicitations to review grant applications are viewed positively. Such activity can range from requests to review individual grants, through acting as an ad hoc reviewer on a study section or review panel, to full membership or chairing such review groups. Full membership of National Institutes of Health study sections is deemed especially meritorious.

Participation in national society or association review boards (e.g., American Heart Association, American Cancer Society, or American Diabetes Association) is highly valued.

* + Invited authorships: Invitations to contribute reviews, editorials, commentaries, or perspectives in significant journals or chapters in important books or textbooks are recognition of an individual's stature and visibility in the field.
  + Invited speaking engagements: Invitations to speak at symposia, congresses or scientific meetings are additional measures of the success of a research program. More prominent lectures at meetings carry more weight. For example, a plenary lecture at a major society meeting is more significant than having an abstract selected for a 15-minute oral presentation, but both have value. Presentation at a large national meeting has more weight than speaking at a small specialist meeting, though both are important. Chairing a session, organizing a session or organizing a meeting are further indicators of recognition. Invitations to present seminars or grand rounds at other major research institutions or universities are another index of scientific reputation.
  + Participation in affairs of professional societies: Appointments to office and committees in national professional societies, particularly if by election, are viewed positively. In some cases, election to membership of elite societies itself carries prestige (e.g., American Society of Clinical Investigation).
  + Honors and awards: Accolades for research achievement may also come in the form of honors, awards or prizes. These vary in prestige, depending on the scope, local versus national, and the stature of the awarding body. Included would be MERIT awards from the National Institutes of Health which represent high level peer recognition of an individual's research program.
  + Consultancies: In some research areas, consultancies for companies or other organizations may represent a positive judgment of an individual’s reputation.

*The Appendix was partially adapted from the Indiana University School of Medicine’s Standards of Excellence in Research document dated May 2014.*