### PURDUE SCHOOL OF ENGINEERING AND TECHNOLOGY IUPUI

**Promotion and Tenure Guidelines (Version 2020)**

Presented by the E&T Faculty Affairs Committee Approved by the E&T Senate May 8, 2012

Recommended by the E&T Faculty Affairs Committee: Debra Burns (Chair), Patrick Gee, Marjorie Rush Hovde, Paul Salama, James W. White, Hiroki Yokota, Jian Xie.

Endorsed by the E&T Unit Promotion and Tenure Board: Maher Rizkalla (Chair), Elaine Cooney, Hiroki Yokota, Fred Rees, Stanley Chien, David Peters, Ed Berbari

Changes Log:

Change in G1 Clinical Appointments – Approved by E& T Senate May 13, 2014

Change in Table A.1 Promotion and Tenure Schedule – Approved by E& T Senate November 4, 2014 Changes in G.1.1 and G.2 – Approved by E& T Senate November 10, 2015

Changes in Listing B.1, G.1 and G.1.1. – Approved by E& T Senate April 11, 2017 Changes in B.1, B.1.1, and B.1.2 – Approved by E&T Senate February 12. 2019

Change in F.2 Preparing the Dossier and Appendices – Approved by E&T Senate April 14, 2020

Contents

1. [Introduction 1](#_TOC_250037)
   1. [Promotion and Tenure Schedule 1](#_TOC_250036)
   2. [IUPUI Promotion and Tenure Expectations 3](#_TOC_250035)
   3. [The School of Engineering and Technology Standards and Expectations 3](#_TOC_250034)
   4. [General Criteria for Promotion. 4](#_TOC_250033)
   5. [General Criteria for Tenure 4](#_TOC_250032)
2. [Evaluation Criteria for Faculty Members Declaring Excellence in Teaching 4](#_TOC_250031)
   1. [Evaluation of Teaching and Teaching Scholarship 4](#_TOC_250030)
      1. [Instructional Delivery 5](#_TOC_250029)
      2. [Instructional Development and Teaching Scholarship 5](#_TOC_250028)
3. [Evaluation Criteria for Faculty Members Declaring Excellence in Research/Creative Activity 7](#_TOC_250027)
   1. [Evaluation of Research and/or Creative Activities 7](#_TOC_250026)
      1. [Publications/Performances 7](#_TOC_250025)
      2. [Funding 8](#_TOC_250024)
      3. [Research /creative activity-related Student Activities 8](#_TOC_250023)
4. [Evaluation Criteria for Faculty Members Declaring Excellence in Service 9](#_TOC_250022)
   1. [Professional Association Service 9](#_TOC_250021)
   2. [External Outreach Service 10](#_TOC_250020)
   3. [University Service 10](#_TOC_250019)
5. [Procedures for Tenure and Promotion 11](#_TOC_250018)
   1. [General Procedures 11](#_TOC_250017)
   2. [University Policies 13](#_TOC_250016)
6. [Preparing the Promotion/Tenure Materials 13](#_TOC_250015)
   1. [Preparing the Area of Excellence Portfolio for External Reviewers 13](#_TOC_250014)
      1. [Teaching Portfolio 13](#_TOC_250013)
      2. [Research/Creative Activity Portfolio 14](#_TOC_250012)
      3. [Service Portfolio 14](#_TOC_250011)
   2. [Preparing the Dossier and Appendices 14](#_TOC_250010)
      1. [Additional Notes on Dossier Preparation 14](#_TOC_250009)
      2. [Format and Style 14](#_TOC_250008)
      3. [Content 14](#_TOC_250007)
      4. [Caution on Redundancy 15](#_TOC_250006)
      5. [Dossier Appendices 15](#_TOC_250005)
7. [Considerations for Promotions for Faculty Members in Non-Tenure Track Appointments 15](#_TOC_250004)
   1. [Clinical Appointments 15](#_TOC_250003)
      1. [Review and Promotion Processes for Clinical Faculty Members 16](#_TOC_250002)
   2. [Lecturer Appointments 16](#_TOC_250001)
   3. [Research Appointments 16](#_TOC_250000)

## Introduction

Promotion, tenure, and reappointment decisions for faculty tenure-track, clinical, research and lecturer appointments are among the most important decisions made at Indiana University Purdue University Indianapolis (IUPUI) because they largely determine the future of the University and the School of Engineering and Technology (E&T). Each candidate for promotion and/or tenure should be treated fairly and be measured against these guidelines and criteria as objectively as possible.

In the early years of their appointments, faculty members will find this document useful in assessing their progress toward promotion/tenure. Periodic discussions with the department chair and other administrative officials may help clarify any questions or uncertainties and help to prevent misconceptions.

Department chairs must conduct annual reviews and provide faculty members with written assessments of performance. Each year, a probationary faculty member may also request an evaluation of his or her progress toward tenure/promotion by submitting a dossier to the Primary Board, as stated in the School bylaws.

This document supplements the IUPUI campus Promotion-and-Tenure Guidelines. Faculty members should consult this document frequently in the process of applying for promotion/tenure. The E&T Constitution and Bylaws can provide guidance, particularly concerning the promotion and tenure boards’ compositions.

Faculty members should use the E&T and Campus guidelines in planning their progress toward promotion/tenure. If guidelines change during a faculty member's probationary period, the faculty member may choose to be evaluated under the written standards in effect at the time of appointment (as stated in the Indiana University Academic Handbook).

The basic principle of promotion/tenure decisions is that of peer review*,* and thus decisions must be made substantively at the department level, where the faculty member's activities are best known and can best be evaluated. Departments are responsible to provide specific written criteria appropriate to their individual missions and consistent with school, campus, and university guidelines. At the department, or Primary Board level, the review and decision should be based upon the established criteria and what is in the best long-term interests of the department. Subsequent evaluations at higher levels will concentrate on whether the candidate has met stated criteria and whether procedures have been satisfactory. However, each evaluation at all levels is substantive in nature.

Criteria stated in this document are intended to make the evaluation process as objective as possible. Evaluators at every level will use their own experience, judgment, and expectations to decide whether criteria have been met.

## Promotion and Tenure Schedule

|  |  |  |
| --- | --- | --- |
| **Due Date\*+** | **Responsibility** | **Action** |
| First Monday in April | Department Chair | Appoint P & T Committee. (For committee composition and election of chair see Bylaws Section III.B.1.a) |
| First Monday in April | Candidate | Notify Department Chair of intent to apply for Promotion and/or Tenure |
| Second Friday in April | Department Chair | Develop a list of potential external reviewers |
| Second Monday in May | Department Chair | In consultation with P&T Primary Committee Chair, finalize list of reviewers and solicit their agreement to review the candidate’s materials |
| Third Friday in May | Candidate | Provide examples of scholarly work and updated vitae to submit to external reviewers |
| Fourth Friday in May | Department Chair | Send cover letter, candidate’s materials, and Department P&T Guidelines to reviewers (include external referee form with cover letter) |

|  |  |  |
| --- | --- | --- |
| Second Monday in August | Candidate | Submit a final dossier to the Primary Board to be checked for completeness. The Primary Board chair notifies the candidate in writing of missing material or needed corrections.  Candidate returns the dossier within 10 working days. |
| First Monday in September | Candidate | Complete dossier and supporting materials (following current campus P&T Guidelines)  Submit dossier to Department Chair |
| Second Monday in September | Department Chair | Collect all materials (candidate’s dossier, external review letters, and external referee form)  Submit dossier to P&T Primary Committee |
| Third Friday in September | P&T Primary Committee Chair | Schedule and lead P&T Primary Committee review meetings Draft committee recommendation for member review and finalize  Submit Committee recommendation with all materials to  Department Chair |
| Last Friday in September | Department Chair | Review candidate’s dossier, and write recommendation. Meet with the candidate to discuss the results of the Primary Committee’s deliberation and the chair’s recommendation. Have the candidate sign for receipt of the documents.  In a tenure case, explain the candidate’s right for reconsideration in the event of a negative tenure recommendation at any level.  Provide recommendation and completed dossier to Dean’s  Office, who will forward to School’s Unit P&T Committee |
| Immediately after primary committee results review with Chair | Candidate | For tenure cases: If needed, request reconsideration and prepare written documentation to correct the record. This documentation will be included in the record and must be completed prior to completion of Unit Review. See IUPUI  Faculty Guide for details.) |
| Second Friday in October | Unit P&T Committee Chair | Schedule and lead Unit P&T Committee review meetings Draft committee recommendation for member review Finalize and submit Unit Committee recommendation with all materials to Dean |
| Last Friday in October | Dean | Notify candidate of the Unit Committee’s recommendation Prepare candidate’s recommendation letter  Notify candidate of recommendation  Forward dossier and all recommendations to Dean of  Faculties |
| Immediately after notification of committee results review with Dean | Candidate | For tenure cases: If needed, request reconsideration and prepare written documentation to correct the record, this documentation will be included in the record; must be completed prior to completion of  Campus Review. (See IUPUI Faculty Guide for details) |
| Dec., Jan. and Feb. – Sometimes into March | Campus Committee | Review and evaluate dossiers |
| Early to mid March | Campus Committee | Forward recommendations to Dean of Faculties and Chancellor |
| Late March | Dean of Faculties and Chancellor | Review cases and make recommendations to IU and Purdue Presidents and Board of Trustees |
| April | Board of Trustees | Take action on all cases |

|  |  |  |
| --- | --- | --- |
| Late April/early May | Official Announcement | Announce decisions |

**\***Note: Monday will be the due date for dates that fall on weekends.

**+**Note: The next business day will be the due dates falling on holidays.

## IUPUI Promotion and Tenure Expectations

The IUPUI P&T guidelines provide expectations for advancement according to various faculty types. Campus guidelines provide minimal expectations applicable to E&T faculty. The purpose of this document is to expand on the campus guidelines to provide information that is E&T specific.

## The School of Engineering and Technology Standards and Expectations

The ultimate objective of the promotion/tenure procedures is to retain and to reward faculty who have made significant contributions to the department, school, and university and whose performance is expected to continue and grow. Thus, each individual is evaluated with this primary objective in mind, recognizing the multiplicity of ways in which faculty can contribute.

Consistent with campus guidelines, E&T requires that for promotion to any rank, a tenure-line candidate's performance shall be excellent in at least one of the three categories of

1. *teaching,*
2. *research/creative activity, and*
3. *professional service,*

and to be at least satisfactory in the other two categories. Marginal or unsatisfactory performance in any category precludes promotion or receipt of tenure.

The balanced case cited in the IU Handbook is not applicable to E&T faculty except for faculty members in the Music and Arts Technology Department who have appointments with IU.

The following statements express the position of the E&T in regard to tenure-line faculty members:

* Promotion to associate professor is based on achievements in the area of excellence reflecting a level of performance that brings documented national recognition to the individual and promise of continued professional growth and recognition.
* Promotion to professor is based on achievement beyond the level required for an associate professor. Accomplishments in the area of excellence should reflect documented sustained national and/or international recognition as an authority in the field of specialization. S/he should also have documented contributions to the departmental, school, and campus missions.

Faculty members in Lecturer appointments who wish to be promoted must demonstrate excellence in teaching and satisfactory performance in service. (For more information, refer to the Campus guidelines and the IUPUI Faculty Guide.).

Faculty members in Clinical appointments who wish to be promoted may declare excellence in teaching or in service with satisfactory performance in the other area. More information on clinical appointments can be found in the Campus guidelines and in Section G.1 of this document.

Faculty members in Research appointments who wish to be promoted will declare excellence in research. In accordance with IUPUI guidelines, they may also be expected to demonstrate satisfactory performance in service if the department requires it. More information on research appointments can be found in the Campus guidelines.

The promotion/ tenure guidelines for any of the categories of teaching, scholarship, and professional service must be interpreted within the appropriate context. Evaluators should consider whether the category under consideration (research/creative activity, teaching, or service) is the primary category, whether the candidate is applying for promotion to the associate professor or professor level, and whether the candidate is seeking tenure.

## General Criteria for Promotion

Within E&T, some tenure-line faculty members have primary responsibilities for teaching while others have primary responsibilities for research/creative activities. Because of these differing areas of responsibility, the following criteria take into account the varying standards for excellence in each area. Candidates who apply for promotion with excellence in one area will also demonstrate satisfactory performance in the other areas of 1) teaching and teaching scholarship, 2) research/creative activities, 3) professional service and scholarship of application, and 4) university service and citizenship. Candidates in Clinical, Lecturer, and Research lines will consult the relevant areas in order to make cases for excellence in teaching, service, and/or research.

## General Criteria for Tenure

The expectations for achievement of tenure in E&T are similar to those for academic promotion. Tenure is a distinctly different and separate consideration and issue from promotion to an advanced academic rank.

Under some circumstances, it is warranted to grant tenure to newly-appointed, highly-experienced faculty members who are hired at an advanced rank (e.g., associate professor or professor). In that case, the Primary Board of the faculty member's prospective department shall provide a recommendation regarding tenure at the time of appointment.

Achieving tenure in rank is an exception rather than normal practice, and the awarding of tenure at the rank of assistant professor occurs only in exceptional cases. Primary boards must explain in their reports the rationale for a tenure-only recommendation.

## Evaluation Criteria for Faculty Members Declaring Excellence in Teaching

## Evaluation of Teaching and Teaching Scholarship

Instruction is the primary mission of many E&T faculty members; a candidate requesting promotion/tenure based on teaching should demonstrate an excellent teaching record.

A teaching-focused faculty member’s achievements in service and research/creative activity generally reinforce the teaching mission through advancing the individual’s breadth and depth of knowledge of the discipline and through involvement with the department, school, university, and community.

Teaching excellence requires accomplishments in both instructional delivery and instructional development, as discussed in section B.1.1 and B.1.2.

Achievement of excellence in teaching is judged by several measures, which may include but are not limited to:

* Accomplishments as a teacher such as course improvement, program development, and instructional development.
* Demonstrable evidence such as developed material, teaching awards, internal and external peer reviews, student evaluations, graduate reviews, and widespread recognition.
* Documented student learning outcomes.
* Scholarly publications about teaching.
* Awards of external grants for teaching and laboratory equipment.

Although helpful, teaching awards are neither necessary nor sufficient to demonstrate excellence in teaching.

To demonstrate excellence in teaching, candidates should prepare a teaching portfolio, which is a collection of annotated syllabi, case studies, instructional innovations, related publications, homework assignments, tests, and quizzes. Recognized authorities should evaluate this portfolio as a basis for establishing an individual’s recognition in teaching.

## Instructional Delivery

Faculty members may document teaching excellence in several ways. All candidates whose declared area of excellence is teaching should have peer reviews of classroom instruction by qualified reviewers, and should include written reports of the reviews in the dossier (see Section F.5 for information on the area of excellence portfolios.) Peer evaluations may be completed by class visits, interviews, and/or videotapes.

Student evaluation scores and comments will be considered; the scores may be compared to those of the department and/or the school; the scores may be accompanied by the statistics of the grades assigned to the respective class. Student course evaluations are a limited metric, however, and should not be given more weight than necessary.

The teaching load of the faculty member is a significant factor and should be documented in order to build a case for excellence in teaching.

Evidence of excellence in the delivery of instruction may include but is not limited to items in Listing B.1.

# Listing B.1 Evidence of excellence in instructional delivery.

* + - * Peer reviews of teaching. (Required)
      * Evidence of having improved courses based on peer review and student evaluation suggestions.
      * Positive evaluations from students who have graduated.
      * Teaching awards (department, school, regional, and/or national).
      * Evidence of technical currency in the area of specialization.
      * Positive student evaluations from courses taught during the past three or more years.
      * Documentation of effective senior project advising.
      * A notable breadth of courses taught at many levels.
      * Documentation of successful student mentorships.
      * Documentation of effective student advising.
      * Documentation of effective delivery of instruction.
      * Evidence of instructional work above and beyond the usual assignment.
      * Evidence of developing and teaching new or challenging courses.
      * Evidence of regular updating of course materials.
      * Evidence of notable student learning.
      * Evidence of effective course coordination.
      * Evidence of noteworthy teaching scholarship. (May be to a lesser extent for non-tenure track faculty.)
      * Arranging and/or supervising applied student work in the community
      * Serving as a member of Ph.D. dissertation committees.
      * Serving as a member of M.S. thesis committees.
      * Serving as a member of M.S. directed project committees.
      * Documentation of effective mentorship of graduate students.

## Instructional Development and Teaching Scholarship

Evidence of instructional development is also necessary to demonstrate excellence in teaching. Instructional development activities precede and support instructional delivery, including activities that keep the faculty member current in his/her field. Instructional development can also be the foundation of a secondary strength in research/creative activity or service. The elements of instructional development consist of:

* + - * Development as a teacher.
      * Creativity as a teacher.
      * Contribution to improvements in teaching.

To demonstrate excellence, faculty members are encouraged to share their instructional innovations with other institutions and peer groups through scholarly works such as conference presentations and journal publications. A faculty member may develop textbooks, laboratory manuals, casebooks, workbooks, and software that may ultimately evolve into published or presented scholarly works that disseminate instructional concepts and techniques.

Additionally, a faculty member may participate in continuing education and professional association activities that inspire or support growth in technical expertise and improved teaching. Course syllabi, lecture notes, and ordinary visual aids are expected products of normal class preparation and by themselves are not usually distinctive enough to demonstrate excellence in instructional development. However, development of special instructional materials, e.g., study guides, laboratory manuals, laboratory equipment, case studies, software tools, textbooks, coursework, formative mid-term assessments (of courses and/or student learning), and laboratories are considered to be distinctive and significant, whether or not the materials have been published.

Contributions to transportability and compatibility of courses to other campuses and sites are marks of excellence in instructional development. Adoption of courses elsewhere is important in the area of instructional development. Contributions to the internationalization of curricula and courses are also considered distinctive and significant. Evidence of external adoption of innovative instructional techniques or materials developed by the candidate is especially important for promotion to full professor.

Excellence in instructional development is recognized for faculty who conceive, create, and maintain teaching laboratories. The securing of grants and gifts or donated equipment (hardware or software) is considered distinctive and significant. A candidate's laboratory development accomplishments are evaluated for distinctive contributions as related to the teaching mission as well as to the needs of industry.

Innovation and experimentation in course development, instructional materials, and instructional delivery are considered especially distinctive. Evidence of experiments and documentation of results are important for evaluation of significance.

Publication of textbooks, workbooks, casebooks, tutorials, reference manuals, laboratory books, and software involve sustained effort and time. Consequently, for promotion to associate professor, it is not mandatory that such works be in print prior to the time the candidate is considered for promotion. A candidate's works may be evaluated on evidence such as publisher agreements to publish the work, contribution (for team projects), status, percentage completed, peer reviews, publication schedules, and the like. For promotion to the rank of professor, such works should be published and demonstrably well received by their intended audiences and/or reviewers. Reviews, adoption lists, market share, number of editions, and similar criteria can demonstrate this reception.

Also for promotion to the rank of professor, significant accomplishments, national recognition, and external adoption of innovations provide evidence of excellence in this area.

Publication of refereed and non-refereed articles in sources such as educational journals, educational conference proceedings, magazines, and trade publications that target others teaching in the candidate's technical or professional field are also expected for achieving excellence in teaching. Such activities often affect both those teaching the content and those who are practitioners of the discipline involved.

For faculty members specializing in teaching, opportunities to participate in funded research projects may be limited. Faculty members declaring excellence in teaching may demonstrate that excellence in ways other than nationally competitive externally funded grants.

Faculty members are, however, encouraged to maintain technical competence through some combination of applied research, creative activity, professional association, consulting, international activities, summer employment, continuing education, or other professional and scholarly activities to update their technical knowledge and teaching skills. Candidates are expected to demonstrate a history of professional growth and development. In addition, they should demonstrate a documented impact or positive evaluations of the work.

Examples of evidence for excellence in instructional development are given in Listing B.2. This list may include but is not limited to:

# Listing B.2 Evidence of excellence in instructional development.

* Scholarly publications in refereed journals that disseminate results of research and/or scholarly work on educational methods. (may be to a lesser extent for non-tenure track faculty)
* Scholarly publications and/or presentations at national meetings that disseminate results of research and/or scholarly work on educational methods. (may be to a lesser extent for non-tenure track faculty)
* Publication of textbooks and/or web-related materials.
* Development of new courses and/or significant revision of existing courses.
* Adoption of textbooks published.
* Adoption of courses developed.
* Development of instructional innovations that are the result of competitive acquisition of external and internal funding, equipment, and/or software. (external funding less relevant for non-tenure track faculty)
* Development of international student/faculty exchange programs.
* Development of instructional manuals, instructional innovations, computer-aided instruction, interactive videos and/or supplemental instructional computer software.
* Evidence of active pursuit of instructional funding with documented reviews.
* Competitive external funding for instructional innovations, laboratory equipment, and course development. (external funding less relevant for non-tenure track faculty)
* Invited speaker, organizer, or chair of major conferences, workshops and short courses related to instructional development.
* Other publications related to instructional methods.
* Participation and/or attendance at conferences, seminars, or short courses on teaching methods.
* Evidence of being a recognized authority in the pedagogy in his/her field.

## Evaluation Criteria for Faculty Members Declaring Excellence in Research/Creative Activity

## Evaluation of Research and/or Creative Activities

For faculty members applying for tenure/promotion based on research and/or creative activities, accomplishments and progress are evaluated in three sub-categories:

publications/performances, funding, and

research-related or creative activity-related student activities.

To achieve excellence in research/creative activity, the candidate must demonstrate accomplishments in some or all of these sub-categories. A consistent history of accomplishments is essential for achieving excellence. Activities for each sub-category are described in the following sections.

## Publications/Performances

Progress in engineering and technology is achieved primarily through publication of discoveries and their applications in refereed, widely available journals. The refereeing process tells much about the quality of the research. The comments of peers, through the refereeing process and through citations to the published work, establish the significance of the work. It is important to obtain feedback from knowledgeable researchers and to recognize the importance of their citations to the faculty member's published work.

For excellence in research, candidates should demonstrate their ability to publish their work in reputable journals and conference proceedings. Candidates should demonstrate the impact of their research through references that others in the field have made to their work. Although papers presented at technical conferences are useful for establishing a professional reputation, they are not a substitute for refereed papers in quality journals. Papers published in refereed journals are more valuable than conference proceedings because conference proceedings papers do not go through the same kind of refereeing process as those that are submitted to a quality journal.

Talks accepted by abstract only are of less significance.

Evidence of research activities involving students, interdisciplinary research, and collaboration with faculty and students in other departments may also demonstrate noteworthy research accomplishments.

Evidence of creative activity relevant to the candidate’s specialization that has been peer reviewed is also appropriate in this category.

Examples of activities related to research/creative activity are given in Listing C.1. This list may include but is not limited to:

# Listing C.1 Forms of research/creative activity publications.

* Refereed research articles, published or accepted.
* Research papers presented at technical conferences and/or published in the proceedings.
* Books or book chapters of research findings.
* Generation of patents or software copyrights.
* Invited lectures or workshops presented at regional, national or international meetings related to research/creative activity.
* Reports, monograms, or manuals based on research, and review articles.
* Review of others' papers, books, and proposals.
* Creative activities such as compositions and/or public performances of a musical or dramatic work. Exhibits of creative works: e.g., refereed and/or invited competitions and exhibitions of art illustrations and graphics in the candidate's technical field.
* International scholarship, research, or development.

## Funding

One of the best ways of establishing a national reputation is through obtaining research grants. Outside grants benefit both the school and an individual’s professional development. Internal grants supported by IU, Purdue, and/or IUPUI are useful for new investigators to establish themselves and to enable them to write external grant proposals. For a faculty member who has been awarded one of these internal grants, further achievements, preferably a successful proposal to an external agency, will be considered more important than the original internal grant. Even if a grant proposal is not funded, the candidate may wish to present the proposal as evidence of effort in research endeavors, particularly if grant reviewer’s comments and rankings of the proposal were favorable.

Forms of evidence for funding are given in Listing C.2. This list may include but is not limited to:

# Listing C.2 Forms of research/creative activity funding.

* External research/creative activity funding.
* Internal research/creative activity funding. The candidate should demonstrate that "seed" funding resulted in proposals for external funding and/or funded proposals.
* Income from patents or software copyrights spent to promote the University's educational mission.
* Proposal writing for research/creative activity funding.
* Documentation for unfunded proposals.

## Research /creative activity-related Student Activities

Research-oriented faculty members are expected to have students actively involved in their research/creative activity and are encouraged to provide financial support for graduate student stipends and research/creative activity work.

The major forms of research/creative activities related to students are given in Listing C.5. This may list include but is not limited to:

# Listing C.5 Evidence of student activities related to research/creative activity

* Supervisor or co-supervisor of Ph.D. dissertation students.
* Supervisor or co-supervisor of M.S. thesis students.
* Supervisor or co-supervisor of M.S. directed projects.
* Co-authorship with students on publications, especially refereed journals.
* Documentation of supervising undergraduate research projects such as in the MURI program.
* Documentation of collaboration on creative activities.

## Evaluation Criteria for Faculty Members Declaring Excellence in Service

Although it is unusual for a tenure-line candidate to seek promotion/tenure with service as the declared area of excellence, in some cases, it is possible to do so. Furthermore, as discussed in Section G, clinical faculty members may wish to base their cases for promotion on excellence in service with satisfactory performance in teaching.

Excellence in service needs to be recognized by peers and professionals outside of the school who will evaluate the significance, quality, and impact of the service. The candidate should establish a record of peer review of service and in their scholarship of service, as appropriate.

Professional service is required of all faculty members. Included are those services for which there can be monetary or other material compensation, providing there is also some benefit to the university. While some faculty members donate their time and expertise to various groups, organizations, and agencies, those who act as paid consultants are also engaging in public service. Excluded from the service category are nonprofessional activities such as memberships in civic, religious, or business organizations or activities not relevant to the faculty member’s area of professional expertise.

Although a candidate may achieve excellence in service, attaining promotion/tenure with excellence solely in this area will only occur under exceptional cases. For excellence in service, the candidates must demonstrate accomplishments in at least one of these three sub-categories. The criteria for evaluating professional service for all candidates for promotion/tenure fall into three sub-categories: *professional association*, *external outreach activities,* and *university service and citizenship*.

## Professional Association Service

In order to remain current and establish national recognition, candidates should demonstrate a history of professional association activity. Every faculty member should be active in professional organizations related to his/her technical field. A history of contributions to the organization(s), e.g., regular attendance/participation, committee membership, or elected/appointed office, is expected. Such activities assist in documenting national professional recognition for faculty and the university.

Examples of evidence of Professional Association Service activities are given in Listing D.1. This list may include but is not limited to:

# Listing D.1 Professional activities.

* Officer of a major national professional organization, including ABET.
* Organizer of regional, national, and/or international research-related or creative activity-related conferences or symposia.
* Officer in a regional professional organization.
* Organizer of regional, national, and/or international professional development-related seminars or workshops.
* ABET evaluator.
* Participant in professional organizations, including trade shows, product seminars, company site visits, and enrollment in short courses.
* Evidence of local, regional, national, and/or international recognition of the candidate’s service contributions
* Peer-refereed publications relating to the candidate’s innovations and impact in service.
* Awards and recognition that reflect on the significance and academic nature of the work.
* Reviewer for national and/or international funding agencies’ grant proposals.
* Serving on the editorial board of a national and/or international journal.

## External Outreach Service

External outreach activities support the outreach mission of the University in a variety of ways. Examples of possible outreach activities are given in Listing D.2. This list may include but is not limited to:

# Listing D.2 External outreach activities.

* Professional work or consulting for government and industry that does not interfere with primary responsibilities to the School.
* Public speaker on technical policy issues.
* Participation in local, regional, state, national, and international economic or educational development activities.
* Teacher of IUPUI continuing education courses.
* Registered professional engineer certification/license recognized by faculty member's technical discipline.
* Presentations to schools, industries and other organizations.
* Effective media interviews.
* Consultation to other educational institutions.
* Participation in accreditation committees, visits, or reviews.
* Contributions to expand the international dimensions of the University.
* Student recruitment and graduate placement activities.
* Offering community engagement in notable and/or innovative ways.
* Peer-refereed publications relating to the candidate’s innovations and impact in service.
* Awards and recognition that reflect on the significance and academic nature of the work.

## University Service

Internal service activities directly support the department, school, and university. These activities represent the participation of faculty in the administration of the university. Each faculty member will carry her/his fair share of service.

This service typically includes membership on departmental committees and school committees, including chairing committees. Other service includes student advising and recruiting, administrative responsibility for a department or school program or special event, and representation of the department or school to other units or levels in the University.

Candidates will be evaluated for their accomplishments in internal service activities found in Listing D.3. This list may include but is not limited to:

# Listing D.3 Internal service activities.

* Documentation of outstanding performance as committee chair with demonstrated leadership.
* Documentation of outstanding performance as member of department, school, and/or university committees. Activity in department committees has primary importance.
* Participation in activities to promote diversity/minority involvement.
* Participation and contribution to recruiting and retention activities or marketing educational programs to high schools and industry.
* Documentation of effective assistance in student job placement or advising student organizations.
* Participation in professional and educational accreditation reviews.
* Documentation of outstanding performance in student counseling.
* Establishing new programs and/or significant contributions to existing programs by the development of new or unique administrative contributions.
* Providing an essential administration within a program.
* Peer-refereed publications relating to the candidate’s innovations and impact in service.
* Awards and recognition that reflect on the significance and academic nature of the work.
* Establishing and/or directing a graduate program.

## Procedures for Tenure and Promotion

## General Procedures

The promotion and tenure process is a lengthy and crucial peer review process during which a faculty member documents his/her credentials and accomplishments, and the Primary Board, the department chair, the Unit Board, and the dean review these items. A suggested timeline for preparing for promotion and/or tenure is included in the campus guidelines from the Dean of Faculties.

At the time of appointment, a new faculty member should establish a personal plan for scholarly endeavor, teaching and its scholarship, and professional development. Each new faculty member is urged to prepare a promotion/tenure document during his/her early years of employment and update it annually.

Membership and consistent volunteer activity in national professional organizations are strongly recommended in order to network with prominent peers who can write knowledgeably about a candidate's accomplishments and potential.

The department chair and/or senior faculty members should provide encouragement, guidance, and assistance during the probationary period.

The general procedures and policies of the promotion/tenure review process for engineering and technology faculty are outlined here. The timetable is provided in Section A. 1.

1. Candidates inform the department chairs in writing of their intention for promotion and/or tenure consideration early in the year prior to their promotion/tenure review. (See TIME IN RANK of the IUPUI guidelines for details.)
2. The department chair acknowledges the written request and initiates the formation of the Primary Board (see the School's Constitution and Bylaws). The Primary Board elects the Primary Board chair, as stated in the School’s Constitution and Bylaws (Bylaws Section III.B.1 Primary Promotion and Tenure Boards).
3. The candidate works with the department chair in preparing the dossier according to the Schedule presented in A.1
4. The Primary Board chair or a designee will contact persons to conduct external evaluations of the candidate in order to establish evidence of recognition. The candidate submits the names, titles, addresses, email addresses, telephone numbers, and brief (one paragraph) resumes of at least six persons to the Primary Board chair in the spring to allow a sufficient time for the chair to receive written responses from the contacted persons.

The candidate will work with the chair to select references from distinguished and appropriate persons who can attest to the significance of creativity and innovation associated with the candidate’s accomplishments; adoption by others in whole or in part of creative or innovative work; work in progress; potential; and national/international recognition, as documented in the dossier. In selecting reviewers, candidates and chairs should exclude the candidate’s friends, former/current mentors, former/current advisors, or former/current collaborators. Candidates should be able to reject the names of the candidates that they judge as not suitable for conducting an impartial and expert peer review.

Candidates should not solicit their own letters.

In order to evaluate the quality of the candidate's research/creative activity, it is important that letters of recommendation be solicited from knowledgeable experts in higher ranks in the faculty member's area. It is recommended that the majority of the references be from academia.

Individuals who provide industry references should hold senior staff positions commensurate with the higher ranks in academia. Soliciting letters of recommendation from present students, present employees, or personal friends is not appropriate; a disinterested evaluation is the goal.

A sample request letter from the Primary Board chair is included in the IUPUI guidelines, and department- specific sample letters are also available. The chair sends the candidate's vitae and copies of major publications to external reviewers by the 4th Friday in May.

In accordance with IUPUI guidelines, at least six letters should be solicited; chairs may wish to solicit more in case some individuals are not able to complete the evaluation.

All letters received must be included in the dossier that is evaluated in the fall. A brief (two or three sentences) statement of the expertise of each external letter writer will be provided by the department; these statements may be collected on a single sheet. If a letter writer is acquainted with the candidate personally, this circumstance should be noted and explained.

The other contents of the promotion and/or tenure dossier and its organization are described in the IUPUI guidelines, found at [http://academicaffairs.iupui.edu/promotion-tenure/.](http://academicaffairs.iupui.edu/promotion-tenure/)

A candidate should be given help to create and review his/her promotion/tenure documentation. The candidate should receive a copy of any document (with confidential statements omitted) that will be submitted to the Primary Board, Unit Board, and IUPUI Committee.

1. The candidate supplies the heading information of the IUPUI Tenure and Promotion Dossier Checklist Form, and completes and signs the IUPUI Routing and Action Form for Tenure and/or Promotion Review as part of the promotion and/or tenure dossier.
2. Following review of the dossier and due deliberation, the voting members of the Primary Board vote on each nomination by secret ballot with separate votes taken on promotion nominations and on tenure nominations. At the time of review, the Primary Board Chair designates the member responsible for preparing the Primary Board's report. The Primary Board chair or the Board’s designee may inform the candidate only about recommendations of the Board regarding the dossier, but all review discussion, voting information, and other comments regarding the review shall be confidential and not shared with the candidate or anyone else. (The Dean informs each candidate in writing regarding the Primary Board’s recommendations.) The department chair shall not cast a vote in the Primary Board; his/her recommendation will appear separately from the Primary Board's recommendation in the promotion/tenure document.
3. The department chair completes relevant parts of the Dossier Checklist and forwards this form and the dossier to the dean of the school for consideration by the Unit Promotion and Tenure Board. The dossier includes the Primary Board's and the department chair's recommendations as well as the materials submitted by the candidate and the originals of the letters of recommendation.
4. The Unit Promotion and Tenure Board will elect a chair. The Unit Board will consider and discuss each nomination individually, after which a secret ballot will be taken on each. The Unit Board chair will designate the member responsible for preparing the Unit Board report. The dean will not cast a vote in the Unit Board; the dean's recommendation will appear separately from the Unit Board's recommendation in the promotion/tenure document. The Dean informs each candidate in writing regarding the Unit Board's recommendations. No vote count information is given.
5. The IUPUI Promotion and Tenure Committee will consider and vote on each case after the Unit Board votes on it.
6. Recommendations of the IUPUI Promotion and Tenure Committee are forwarded to IUPUI Dean of the Faculties, the IUPUI Chancellor, and the Purdue University Provost for their recommendations. The IUPUI Dean of the Faculties or the chair of the IUPUI committee informs the candidate in writing about the status of promotion and/or tenure at this stage.
7. The promotion/tenure process concludes with the action of Indiana University and Purdue University Boards of Trustees, after which the President of Indiana University informs the candidate in writing regarding the action taken.

After the Unit Board review, the IUPUI P&T Committee will vote on the case, and it will be forwarded to the IUPUI Dean of Faculties and the Chancellor for their recommendations. Finally, the president and the trustees will decide on each case. Typically, this process is completed in the spring of the academic year.

Candidates will be informed in writing of each vote in the process.

## University Policies

The following four points describe university-wide promotion and tenure policies that affect faculty members in the Purdue School of Engineering and Technology who hold Purdue appointments:

* Academic advancement in rank is conferred by Purdue University, except for faculty in departments granting Indiana University degrees.
* Tenure is granted by Indiana University.
* Two separate votes are required at the Primary and Unit levels: one for promotion, one for tenure.
* In the event that a faculty member elects to declare his/her candidacy for promotion only, Indiana University will not automatically grant tenure on advancement to the rank of associate or full professor.

## Preparing the Promotion/Tenure Materials

In preparation for making a case for promotion/tenure, a candidate will prepare extensive materials documenting his/her case. A mentioned in Section E, during the spring before the case is presented to the Primary Board, the candidate will prepare an Area of Excellence Portfolio to send to external reviewers to consider during the summer.

The candidate should also complete the Promotion/Tenure Dossier and the Appendices to submit to the reviewing bodies in the fall, as discussed in Section E.

## Preparing the Area of Excellence Portfolio for External Reviewers

As mentioned in section E, candidates will prepare a portfolio of evidence of their achievements in their chosen area of excellence for external peers to review in preparation for writing letters of recommendation to include in the dossier. Although the portfolio will focus mainly on the candidate’s area of excellence, material from the other two areas may be included in order to show overall achievement and promise. These portfolios may be similar to the dossier and appendices, but they will not necessarily be identical.

## Teaching Portfolio

Candidates whose area of excellence is teaching and teaching scholarship will prepare a portfolio that peers outside the university will review. The teaching portfolio should include information on courses taught; pedagogical methods developed; student feedback received; assessment methods used; and teaching-related papers published in journals and conferences while in rank. Electronic format is acceptable. Candidates are encouraged to consult with the Center for Teaching and Learning for assistance in preparation of this portfolio.

## Research/Creative Activity Portfolio

Candidates whose area of excellence is research and/or creative activity will prepare a portfolio that peers outside the university will review. This portfolio should include information on the research/creative activity program(s) established, research papers published in journals and shared at conferences, creative activities completed, and impact made in this area while in rank. An electronic format is acceptable.

## Service Portfolio

Candidates whose area of excellence is service will prepare a service portfolio that peers outside the university will review. The service portfolio should include information on professional and university services performed; impact made; intellectual achievements reached; and service-related papers published in journals and conferences while in rank. An electronic format is acceptable.

## Preparing the Dossier and Appendices

Candidates should follow the campus guidelines section titled Dossier Format when preparing and formatting the dossier. Because the Campus guidelines are usually updated each year along with the school-specific information on tenure and promotion. The formatting requirements should be followed in all cases (promotion, tenure, or both). The candidate is responsible for preparing the

Checklist/Routing and Action Form (Section 00), Candidate’s Statement, maximum 7 single-spaced pages (Section 05), Statement of Excellence in identified area (Sections 06-08 as applicable), Curriculum Vitae (Section 09), Appendices (Section 10).

## Additional Notes on Dossier Preparation

In order for a candidate's achievements and potential to be communicated effectively to the decision makers at all levels, a comprehensive document must present an accurate, thorough, and full profile of a candidate including professional preparation, as well as achievements in teaching, research and/or creative endeavor, scholarly activities and professional service, as required by his/her appointment. Candidates should work with Department Chairs closely in preparation of their dossier. The candidate as well as the chair is responsible for the accuracy of the information provided in the dossier.

## Format and Style

The official school name of “Purdue School of Engineering and Technology” should be used to designate the school; after the first occurrence, the school’s shorter name of “E&T” may be used.

Within each category, each item should be listed in chronological order.

For jointly authored papers, the contributions of the candidate should be clearly identified. The bibliographical references should include the author's name in the same order as in the original paper. The primary author or authors should be indicated by an asterisk\*. Students should be identified with a double asterisk\*\*. The page numbers should be given in the list of publications. For example:

S. Smith\*, H. C. Yee\*\*, V. Wesson, and Y.A. Jones\*, “Efficient Solvers for High-Speed Flows,” *Journal of Large- Scale Computing*, Vol. 10, No. 3, 1998, pp. 100-110.p

## Content

In the dossier, information about the area of excellence should be the most detailed.

Evaluations from solicited experts can provide evidence of the significance of research/creative activities. Comments by referees for papers and proposals are useful. Citations to papers written by the faculty member are important and should be provided when available.

Invited talks are a good way to indicate a national or international recognition.

Papers that have been submitted to journals should be identified. Status of the submission should be indicated. Papers in preparation but not yet submitted to a journal should not be included in the main part of the dossier but may be included in the appendices in a section on current research interests.

For grants and activities involving other faculty members, the candidate's specific accomplishments as a principal investigator, co-principal investigator or investigator and his or her share in the grants should be identified clearly in all listings. For all grants:

* Distinguish clearly external, internal, and equipment grants.
* Identify the faculty member’s status as Primary Investigator (PI), Co-Primary Investigator (Co-PI), or Co-Investigator (Co-I). Also, indicate the name of the PI if it is not the faculty member.
* Indicate the faculty member’s percent effort and percent of budget in the grants.
* Submit grant approval documents from the PI on grants and contracts outside the school for verification to the chair, including letter(s) noting the involvement of the faculty member.

## Caution on Redundancy

While the School recognizes that a specific accomplishment may fit into more than one area, it should be cited in only one section of the dossier and the CV. Duplicate entries can be misinterpreted as "padding the document,” and thus may influence reviewers to question the quantity or substance of the candidate's accomplishments. In such cases, the accomplishment should be cited in the section that contributes most to the candidate's case for promotion/tenure.

## Dossier Appendices

In the Appendices, candidates will submit additional supporting documentation of claims made in the main promotion/tenure dossier in a binder or an electronic medium. It should include information on the activities of the candidate in all three major areas (teaching, research/creative activity, and service). This supporting documentation will be available to the Primary Board for its deliberations, and to the Department Chair and the Dean for Unit Board and University Board.

## Considerations for Promotions for Faculty Members in Non-Tenure Track Appointments

Faculty members in non-tenure track appointments are eligible for promotion only. While they will follow the preceding guidelines in presenting their cases for promotion, the principles below will be used in order to take into account the specialized roles they fulfill within E&T.

All non-tenure-track faculty members applying for promotions will submit the materials listed in section F, except they may omit materials addressing areas that are not included in their job responsibilities.

## Clinical Appointments

The primary duties of faculty members holding clinical rank in the E & T are teaching, scholarship of teaching, community/civic engagement with students and providing professional service such as service to professional associations, external outreach activities, and service to students and the university. Appropriate teaching load and service requirements will be determined by the faculty member’s department chair with approval from the Dean in conformance with the school’s workload policy. Criteria for evaluating performance in teaching are similar to those for tenure-line faculty. Criteria for evaluating performance in service are also similar with one exception; at the time of promotion consideration, a peer review of service will be completed by members of the Center for Service Learning or other appropriate individuals. In both cases, criteria related to evaluating scholarship are provided below.

Continued appointment and advancement in rank is based on excellent performance in teaching and the scholarship of teaching or service with satisfactory performance in the other. Clinical faculty members may

contribute to the research/creative activity efforts of a unit through their clinical work, but they are not expected to conduct discipline-specific individual research/creative activity.

For promotion, the clinical faculty member must provide evidence of excellence in either the area of teaching or the area of service with satisfactory performance in the other area.

Criteria for evaluating scholarship:

### Promotion from Clinical Assistant to Clinical Associate Professor

Record of publicly disseminated and peer reviewed scholarship in area of excellence

## Promotion from Clinical Associate Professor to Clinical Full Professor

Record of sustained nationally and/or internationally disseminated and peer reviewed scholarship in the area of excellence

## Review and Promotion Processes for Clinical Faculty Members

All clinical assistant professors and clinical associate professors will be reviewed annually for reappointment by their department chair. The department chair may request this review be conducted by their primary committee. Clinical faculty members at the rank of full clinical professor are not subject to these reviews.

All clinical assistant professors and clinical associate professors may request a formative review for promotion by their primary committee at any time after their 3rd year in rank.

Promotion will go through the normal promotion and tenure procedures used in E&T, with review by their primary committee and the school’s unit committee before proceeding to the campus and university levels. After promotion to associate rank, 5-year reappointments will be the norm.

## Lecturer Appointments

Lecturers and Senior Lecturers are responsible primarily for teaching and the scholarship of teaching. They also provide service that supports the academic mission of IUPUI. Therefore, Lecturers will apply for promotion to Senior Lecturer based on evidence of excellence in teaching and the scholarship of teaching with satisfactory performance in service.

All Lecturers will be reviewed annually for reappointment by their department chair. The department chair may request this review be conducted by their primary committee.

All Lecturers may request a formative review for promotion by their primary committee at any time after their 3rd year in rank.

Promotion will go through the normal promotion and tenure procedures used in E&T. The primary and the unit committees will conduct these reviews before proceeding to the campus and university levels. After promotion to Senior Lecturer, five-year reappointments will be the norm.

## Research Appointments

Most individuals in Research appointments conduct their research based on limited-term grants and typically do not apply for promotion within E&T. However, in the event of a long-term or renewed grant, an individual may apply for promotion within the Research line based on the strength of his/her research.

Because of the variable nature of the research contracts, individuals and departments should negotiate appropriate timing for reviews and potential promotions.

Individuals in Research lines will confer with their departments on whether they are responsible for service in addition to their research. When considering the case for promotion, evaluators will consider service only if it was a stated part of the individual’s responsibilities.