2014-15 Chief Academic Officer’s Promotion and/or Tenure Guidelines
ADVICE REGARDING PREPARING FOR PROMOTION AND/OR TENURE
YEARS 4, 5, 6

Year 4:

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

Year 5:

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

Year 6:

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

Midway to Tenure
October 30, 2014

Melissa Lavitt, Senior Associate Vice Chancellor for Academic Affairs
and
Gail Williamson, Director of Faculty Enhancement, Academic Affairs
AGENDA

11:30 am   Welcome and Introductions
11:45 am   Three-Year Review Reflection and Discussion
12:15 pm   Timeline and Dossier Overview
12:30pm    P&T Process
1:00 pm    Q & A Session
1:15 pm    Wrap-up and Evaluation
1:30 pm    Adjourn
POST THREE-YEAR REVIEW
DISCUSSION
What is your favorite kind of pizza?

A. Pepperoni
B. Cheese
C. Veggie
D. Sausage
E. Combo

Test Question
What materials did you prepare for your three-year review?

A. Candidate’s Statement
B. Curriculum Vitae
C. Supportive evidence
D. A and B
E. A, B, C
What levels of review provided feedback?

A. Primary Committee
B. Chair
C. School Committee
D. School Dean
E. All the above
F. A, B, C
G. C, D
H. Different review process
What area needs the most work?

A. Scholarly output
B. Candidate’s Statement
C. Acquisition of external funding
D. National reputation
E. Time management
The feedback I received...

A. was constructive and helpful.
B. caught me by surprise.
C. was in line with my own assessment.
D. was overly critical.
E. made me realize I have a lot more to accomplish.
You can request a fourth year review.

A. Did not know there was such a thing.
B. Asked for one to follow-up on recommendations.
C. Not necessary in my case.
Three-Year Review

What you should receive (and/or request)

From the Guidelines:
“You will receive feedback on your three year review from your primary committee, your chair, and your dean.

Incorporate that advice into a plan to present a compelling case for promotion and/or tenure in your sixth year....

If there are significant issues identified in the three-year review, ask for a fourth-year review for further guidance.”
A Good Three-year Review: Summative & Formative

**Summative:**
How am I doing - overall and in my selected area of excellence?

**Formative:**
What do I need to be doing – overall and in my area of excellence?

Specific feedback on area of excellence and alignment of unit criteria, work plan and resources. How to make the case for excellence?
Next Steps: What should you seek out?

Criteria for evidence, impact, excellence & satisfactory for department, school and campus

Sample dossiers
http://academicaffairs.iupui.edu/PromotionTenure/Dossier-Samples

Department and school context & history for similar cases
Building the Case: Construction & Rhetoric

What is the logic that guides your selection of activities & opportunities? Avoid “opportunistic research”

What is the argument for alignment of your work and the unit or institutional values? Present Big Picture

Who are potential external reviewers in your area?
More time?
Criteria for Extensions

Extensions are requested and formally approved for significant circumstances that are outside of the faculty’s control i.e. medical, childbirth, unavoidable delays in building a lab, etc.

Request goes to chair, dean and SAVCAA.

Approved extensions should not result in higher expectations for faculty.
ASSESS PROGRESS

Do you have adequate evidence?
• Area of excellence
• Secondary area(s)

What yet needs to be done?
• Finish and submit articles
• Collect and summarize current evidence
• Grant submissions

Outline contents of your dossier speaks
• Remember it speaks for you at all levels of review.
Tenure-track Faculty
Librarian Faculty

RANK EXPECTATIONS
TENURE VS. PROMOTION
Rank Expectations Tenure-track

• Excellence in one area
  • Teaching, Research/Creative Activity, or Service
  • Satisfactory in other areas
• Balanced Case
  • Excellent overall performance
  • Equivalent to excellence in one area and satisfactory in others
  • Highly satisfactory in all three areas
  • Scholarship in all three areas required
• Associate Rank with Tenure
  • Emerging national reputation
Rank Expectations Librarians

- Associate Librarian Rank and Tenure
  - Excellence in performance
  - Beyond satisfactory in either Professional Development, Research and/or Creativity or Service and satisfactory in other area
  - Tenure awarded to librarians whose professional characteristics indicate they will serve with distinction
Tenure vs. Promotion

Tenure

- Tenure acknowledges documented achievement in light of its promise for the future. The candidate’s entire academic record is considered for tenure.
- Faculty/librarians who achieve tenure are expected to contribute to the continued development of IUPUI as an academic community.

Promotion

- Promotion is recognition of achievement in rank.
- Both tenured and non-tenure track faculty may seek promotion in rank when their achievements warrant this recognition.
- For tenure-track faculty going from assistant to associate rank, promotion and tenure are sought simultaneously.
Common Themes
Teaching
Performance
Research/Creative Activity
Service

EXCELLENCE CRITERIA
Common Themes

• **FOCUS**
  Development of a body of focused work that extends or advances knowledge and brings recognition

• **SCHOLARLY DISSEMINATION**
  Dissemination of peer-reviewed scholarship through publication, presentation or other media

• **REPUTATION**
  Emergent national reputation in field/expertise

• **IMPACTFUL OUTCOMES**
  Create products, generate outcomes that are innovative and impactful
Common Themes

• **INTEGRATION**
  Evidence of integration/alignment of all areas of endeavor

• **REFLECTION**
  Approach is reflective, considered, systematic and purposeful

• **HIGH QUALITY**
  Evidence of quality work and significant achievement

• **FUNDING**
  Supports innovations or research in area of excellence
Excellence in Teaching

• Sophisticated teaching philosophy - reflective, innovative, evolved over time
  • Discussion of approach, methodology, goals and their achievement
  • Teaching innovation, curricular development, incorporation of new technology
• Record of nationally and/or internationally disseminated, peer-reviewed scholarship
• Documented by peer/student evaluation over time
• Evidence of impact on student performance and learning outcomes
• Teaching awards or significant funding for teaching projects
Excellence in Performance

• Based on achievement of position description
  • Excellence demonstrated in the full range of position responsibilities with significant achievement
  • Professional development area encompasses all librarian scholarship

• Examples of evidence
  • Record of grants, materials prepared, involvement with technology, increased access to titles/services
  • Evidence of quality or impact on patrons, faculty or other recipients of librarian performance.
  • Evaluative statements by review committees, external reviewers, evaluative letters from library users, colleagues
Excellence in Research/Creative Activity

- Evidence of dissemination of high quality scholarly work: peer-reviewed presentations, publications in top tier journals
- Significant contributions to the knowledge base that improved or extends the work of others
- National/international recognition of expertise and the quality of the research
- Acquisition of external grant funding from competitive, valued sources
- Evidence of independent focused ongoing program of research
- Awards and recognition of research excellence
Excellence in Service

- Evidence of dissemination of high-quality scholarly work including peer-reviewed presentations, publications in service
- Awards and recognition that acknowledge the significance, quality and leadership in service
- Evidence of significant impact and outcomes of service
  - Establishment of best practices, standards protocols, policies, procedures
  - Longitudinal outcome data normed against national measures; patient outcomes data
  - Grant awards to support service activities; endorsement of service program
TIMELINE
DOSSIER FORMAT
ADMINISTRATIVE SECTIONS
CANDIDATE SECTIONS
<table>
<thead>
<tr>
<th>Activity</th>
<th>Time Frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate prepares dossier</td>
<td>Winter prior to dossier year</td>
</tr>
<tr>
<td>Chair sends dossier for external review</td>
<td>Based on school process</td>
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<tr>
<td>Dossier submitted for school level reviews</td>
<td>Based on school process</td>
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<tr>
<td>School submits dossier to FAA</td>
<td>End of October</td>
</tr>
<tr>
<td>Campus Committee reviews and evaluates all dossiers</td>
<td>December, January, February, sometimes early March</td>
</tr>
<tr>
<td>Campus Committee recommendations are forwarded to Chief Academic Officer</td>
<td>Immediately following campus committee reviews; early March</td>
</tr>
<tr>
<td>Chief Academic Officer completes an independent review and forwards</td>
<td>Mid-March</td>
</tr>
<tr>
<td>recommendations to Chancellor</td>
<td></td>
</tr>
<tr>
<td>Chancellor reviews cases, confers with IU &amp; PU Presidents on joint</td>
<td>Late March</td>
</tr>
<tr>
<td>recommendations which are forwarded to the respective BOTs</td>
<td></td>
</tr>
<tr>
<td>Action by Board of Trustees</td>
<td>Mid-April</td>
</tr>
<tr>
<td>Promotion takes effect</td>
<td>July 1 (12 month faculty) or August 1 (10 month faculty) start of academic</td>
</tr>
<tr>
<td>Tenure takes effect</td>
<td>July 1 of the following academic year</td>
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Tenure-track Timeline

3 Year/5 Year Review
- **Fall**: Notified review dossier must be prepared
- **Winter**: Dossier due to Office of Academic Administration (OAA)
- **Spring**: IUSM Committee evaluates progress; IUSM Committee provides feedback to faculty member & department chair

Tenure and Promotion Review Year
- **Summer**: Dossier submitted to OAA
- **Fall**: IUSM Committee evaluation; Dean’s evaluation
- **Winter**: IUPUI Committee evaluation; IUPUI Dean of Faculties evaluation; IUPUI Chancellor evaluation
- **Spring**: Vice President’s Office (Bloomington) Trustees

July: Appointment

Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 | Year 8 | Year 9 | Year 10

Tenure and Promotion Submission Year
- **Winter**: Prepare CV and dossier
- **Spring**: Notified that dossier must be prepared; Letters of evaluation sought
- **June**: Primary committee review; Department Chair review; Regional Center director review (if applicable)

Promotion Effective
- **July**

Tenure Effective
- **July**

Available for all tenure track appointees
Available for those hired after July 2011
DOSSIER FORMAT

50 page limit EXCLUDING Administrative additions 01-05, CV, Appendices

- Section 01: Transaction Forms
- Section 02: Review Level Two (Unit/School)
- Section 03: Review Level One (Primary/Department)
- Section 04: External Assessments
- Section 05: Reference Letters (Not Required)

PREPARED BY CANDIDATE

- Section 06: Candidate’s Statement (7 pages or 5/2)
- Section 07: Teaching (For Librarians: 07 Performance)
- Section 08: Research and Creative Activity (For Librarians: 08 Professional Development)
- Section 09: Professional and University Service (For Librarians: 09 Service)
- Section 10: Curriculum Vitae
- Section 11: Appendices
P&T LEVELS OF REVIEW

External Review
School Level
Campus Level
Executive Vice Chancellor
Executive Review
Board of Trustees
EXTERNAL REVIEW

PURPOSE
Objective Evaluation
• national reputation
• accomplishments in area of excellence
• significance of scholarship
• stature of dissemination outlets
• contributions to professional organizations
• professional standing and expertise

CANDIDATE’S ROLE
May
• provide a list of experts or leaders in their field
• provide names of persons not to contact

Cannot
• provide the summary of reviewers
• know the final list of reviewers
• list mentors, close personal friends, co-authors, collaborators

Minimum of 6 arms-length letters of external review required.
SCHOOL LEVEL

- Primary Committee or Department Level
- Department Chair
- Unit Committee or School Level
- School Dean
CAMPUS COMMITTEE

Non-controversial Cases with no Divided Votes at any Level

- Two reviewers (primary and secondary) each read dossier and complete an evaluation form
- Evaluation forms distributed to committee
- Reviewers present case to committee
- School representative asked to comment if appropriate
- Committee has minimal discussion on case
- Members vote and submit ballot
CAMPUS COMMITTEE

Controversial Cases or *All Read* Cases with Divided Votes at any Level

- All committee members read the dossier
- Two reviewers (primary and secondary) each read dossier and complete an evaluation form
- Evaluation forms distributed to committee
- Reviewers present case to committee
- School representative asked to comment as needed to clarify information
- Committee discusses case
- Members vote and submit ballot
LATER LEVELS OF REVIEW

• Executive Vice Chancellor/Chief Academic Officer
  • Reviews case and completes an independent review
  • Forwards recommendations to the Chancellor

• Executive Review
  • IUPUI Chancellor reviews cases and confers with the IU and Purdue Presidents on joint recommendations
  • Forward recommendations to the respective Board of Trustees

• Board of Trustees
  • Promotion takes effect July 1 for 12-month faculty/
    August 1 for 10-month faculty
  • Tenure takes effect July 1 the following year
Questions

Answers
Chief Academic Officer’s Guidelines for Promotion and Tenure
http://academicaffairs.iupui.edu/PromotionTenure/IUPUI-Guidelines

Dossiers
http://academicaffairs.iupui.edu/PromotionTenure/Dossier-Samples

Resources
http://academicaffairs.iupui.edu/PromotionTenure/Resources

Adobe Presenter Online Foundational Programs
http://academicaffairs.iupui.edu/PromotionTenure/Online-Foundational-Programs
CAMPUS RESOURCES

- Faculty Colloquium on Excellence in Teaching (FACET) [https://facet.indiana.edu/](https://facet.indiana.edu/)
- Office of Research Development [http://research.iupui.edu/](http://research.iupui.edu/)
- OVCR - Office of the Vice Chancellor for Research [http://research.iupui.edu/ovcr/](http://research.iupui.edu/ovcr/)
- Center for Teaching and Learning (CTL) [http://ctl.iupui.edu/](http://ctl.iupui.edu/)
- Center for Research and Learning (CRL) [http://www.crl.iupui.edu/](http://www.crl.iupui.edu/)
- Center for Service and Learning (CSL) [http://csl.iupui.edu/](http://csl.iupui.edu/)
- Office for Women [http://ofw.iupui.edu/](http://ofw.iupui.edu/)
Evaluation and Adjournment

• Complete program the evaluation – your feedback and ideas are important to us!
• We hope you found this information helpful in your pursuit of promotion and tenure.
• Best wishes for success!