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PLEASE NOTE: For your convenience, all appendix documents may be accessed individually on our website (http://academicaffairs.iupui.edu/PromotionTenure/Resources). The forms may be typed then printed, signed and added to dossiers as needed.
INTRODUCTION

[Added: This extract derives from the full Campus Guidelines document. Material which is applicable to all faculty, or to clinical faculty in particular, is retained; material which is ONLY applicable to tenure-track, lecturer, or research faculty is omitted.]

Promotion and/or tenure reviews are significant transitions in a faculty member’s career, and often the source of considerable anxiety. These guidelines are intended to decrease that anxiety by clarifying campus-level expectations and processes. Criteria for promotion and/or tenure for faculty and for librarians are outlined in the Indiana University Academic Policies. These university criteria for faculty and librarians are interpreted in each Indiana University-Purdue University Indianapolis (IUPUI) school and/or department according to their respective disciplinary cultures. Those interpretations are defined in school-level and department-level guidelines. More specific criteria relating to librarians are contained in the Library Faculty Handbook.

The principles that shape this document are as follows:

- Confidentiality of process. Therefore, potential conflicts of interest in voting, committee membership, and the committee voting record should be identified and resolved.
- Integrity and fidelity of process. Therefore, members cannot vote twice, and procedures need to be consistent over time at every level.
- Substance trumps technicalities in the review. Therefore, issues such as font size, format, and deadlines will not be rigidly enforced at the detriment to faculty success.
- Faculty own the dossier, and, therefore, have final say on contents.
- Faculty get the benefit of any doubt in processes such as reconsideration. Therefore, when in doubt, the advantage goes to faculty.
- Objectivity of the review. Therefore, avoid conflicts of interest in external letters and in committee membership to maintain objectivity and fairness.
- The Guidelines interpret university policy and criteria to assist in the preparation of promotion and/or tenure dossiers. The guidelines should prove useful in:
  - helping faculty, chairs, and deans understand their role and responsibilities in the promotion and/or tenure process;
  - ensuring that dossier evaluators on all review committees have the information they need to make judgments about individuals within a common, shared context reflective of campus expectations and university requirements.
- These guidelines apply to the following appointees:
  - faculty and librarians at IUPUI who are subject to promotion and/or tenure consideration, including all tenure-related appointees, clinical faculty, research faculty, and lecturers, whether full-time, part-time, volunteer or adjunct.
  - faculty who hold appointments in Purdue schools at IUPUI, faculty based at medical centers, faculty based at IUPUC or Fort Wayne, and some faculty in other units for whom the primary place of work may not be Indianapolis.
- The guidelines are updated annually based on recommendations from the campus-level promotion and/or tenure committee and members of the Faculty Council Executive Committee. Changes respond to the evolving nature of the institution as well as the experience of the campus-level reviewers, who often identify better ways of assisting faculty with preparing their dossiers for these important deliberations. …Promotion is based on contemporary guidelines in effect at the time of application for promotion.
- Each school and library must have a document that states with reasonable specificity the standards that will be used to evaluate whether or not candidates meet the criteria for promotion and/or tenure.
- In accordance with school policies, departments or divisions should also have such documents.
- School, library, and department documents must comply with the criteria of the university and IUPUI. A current copy must be on file with the Office of Academic Affairs (OAA). These documents need to be approved by the school’s appropriate faculty governance process and by the associate vice chancellor for academic affairs for their compliance with campus standards. They also should be publicly available on the school’s web site so faculty can easily access them.
- Promotion and/or tenure considerations are based on the missions and the contexts of each candidate’s department, school, or library in compliance with the IUPUI mission, as defined in each department, school, or library’s statement of criteria and standards.
In this document, the term “candidate” refers to both faculty and librarians who are seeking promotion and/or tenure.

**Promotion**

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

- Promotion is recognition of achievement.
- Non-tenure track candidates may seek promotion in rank when their achievements warrant this recognition. The *Indiana University Academic Policies* define the standards for each rank, and each department and/or school interprets those standards in relation to the disciplinary culture.
ADVICE REGARDING PREPARING FOR PROMOTION

Preparation for promotion begins in the first year at IUPUI. Consult both the IUPUI Guidelines as well as those for your department and/or school. Candidates, chairs, deans, the chief academic officer, and OAA all have distinct and significant roles and responsibilities in the promotion and/or tenure process.

Candidate Responsibilities and Recommended Timeline

This timeline is based on the most common cycle of preparing dossiers for a promotion review in the sixth year. [ADDED: At IUPUI, most clinical faculty are not required to apply for promotion. In some schools (such as IUSM), there is a separate process for applying for a long-term appointment; in other schools, longer-term appointments are applied after successful promotion in the campus process. The campus process does not take into account whether someone has a multi-year appointment in their home unit.]

Year 1 and 2:

- Create a collection system for evidence of activities in teaching and service. Collect and organize everything, ranging from syllabi to grant applications (whether successful or not) to results of committee work. In addition to being useful for annual reports, these early materials provide a basis for analysis of improvement.
- Preferably with the advice of the chair, identify a mentor who can guide you through the processes leading to promotion, and orient you to departmental expectations. Ideally, this person should be at senior rank.
- [ADDED: Clinical faculty can prepare a case on excellence in teaching and satisfactory in service; excellent in service and satisfactory in teaching; or, a balance between teaching and service. (Balanced cases are NOT available for faculty in the School of Medicine, School of Science, or School of Engineering and Technology). Review the expectations for your activities and begin considering what area to emphasize. For more details, consult Summary of Areas of Excellence and Expectations for Various Faculty Categories in the Appendices.]
- Collect, summarize, and analyze student [learner] evaluations every year. Areas where students indicate a problem provide excellent opportunities to document improvement from one semester to the next.
- Arrange peer reviews of your teaching. Problems that are identified in the review process provide excellent opportunities to document improvement from one peer review to the next.
- Be sure you know any expectations of your department and school related to grant/contract funding and make sure that your work falls within those guidelines.
- Scholarly dissemination of your work is required to document excellence. Be sure you know the expectations of your department and school related to scholarly productivity and make sure that your work falls within those guidelines. Continue to systematically work on your scholarship output. [ADDED: For clinical faculty, within the promotion system, all scholarship is characterized as “service” or as “teaching,” not as “research.”]
- In consultation with your mentor, become familiar with campus resources available in the Center for Teaching and Learning (CTL), the Center for Research and Learning (CRL), and the Center for Service and Learning (CSL). Take full advantage of the wide range of support available to faculty.
- Become familiar with the university, campus, unit/school, and primary/department guidelines for promotion. Attend primary/department and/or unit/school promotion and/or tenure workshops. Attend promotion and tenure workshops offered by the Office of Academic Affairs (OAA).
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in both of your areas of responsibility, teaching and service is required for continued probationary reappointments.

Year 3:

- Some schools may conduct third year reviews for clinical faculty. Follow school practices and requirements; a school-only process will not use eDossier or be reported to campus.
- Begin to analyze and document progress on your work in terms of improvement and achievement in relation to primary/department criteria, unit/school criteria, university criteria, and IUPUI Guidelines.
- Create a draft IUPUI-formatted CV, organized around your chosen area of excellence (service or...
teaching; or, a balanced case). Distribute evidence of your scholarship under your area of excellence. You may only place each item in one area of the CV.

- Analyze teaching evaluations to identify key themes and how they point to teaching achievements or areas for further attention. If data are available, present your performance in relation to peer average scores.
- Analyze peer reviews to determine again how you might improve student learning in your classes.
- Analyze your grant and scholarly dissemination record in relation to department norms and expectations.
- Be responsive to advice given in your annual reviews, paying special attention to progress in scholarship for your area of excellence. Satisfactory performance in all areas of responsibility is required for continued probationary reappointments.

Year 4:
- This is the year to ensure that you are on track with grant activity, if applicable, 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.

Year 5—or, year prior to submitting a dossier:
- 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.
- ADDED: Determine your unit’s timeline for submitting candidate materials for external review, and for the campus dossier.
- 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.
- If you are engaged in interdisciplinary work or team science, you should make every effort to represent your contribution to collaborative scholarship clearly, as well as the significance and value of any interdisciplinary approach you are pursuing. You should carefully document your individual contributions within this context.
- You are not to contact potential external reviewers.

Year 6:
- Take a breather.
- 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 breach 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 Policies.

Department Chair (or Designee) Responsibilities and Recommended Timeline
(In core schools, the associate dean responsible for the program at IUPUI may fulfill this role.)

While candidates are responsible for documenting that they have met the standards and expectations for promotion, the chair is responsible for a providing support and guidance throughout the process, and for
administrative and procedural tasks. In general, chairs need to:

- Update your knowledge by reviewing the latest version of the Chief Academic Officer’s Guidelines each year (found at: http://academicaffairs.iupui.edu/PromotionTenure/IUPUI-Guidelines).
- Ensure the most current written description of the department’s expectations for excellence in each area (teaching and service) for clinical faculty is on file with OAA. These documents need to be approved by your school’s appropriate faculty governance process and the associate vice chancellor for academic affairs for compliance with campus expectations.
- Develop a system of departmental peer review of teaching that ensures each candidate has several opportunities for peer review prior to their candidacy for promotion. [ADDED: At least two are needed for all clinical faculty; and more for those whose area of excellence is teaching].
- Provide candid advice throughout the probationary period and assist the candidate in organizing the materials needed for the dossier.

Year 1 and 2 of candidate appointment:

- Ensure that each new faculty member has a discipline-appropriate mentor related to the candidate’s area of excellence who is preferably at a rank higher than the candidate.
- Meet individually with each new faculty member to discuss departmental expectations for promotion and/or tenure. Provide new faculty members with a copy of the departmental expectations.
- Ensure that each new faculty member is invited to either the department and/or school promotion and/or tenure workshop, and encourage attendance at campus-level promotion and/or tenure workshops.
- Encourage new faculty to become acquainted with the CTL, CRL, CSL, and the Office of the Vice Chancellor for Research.
- Provide guidance for faculty annual reporting procedures.
- Provide a written annual review that addresses frankly the faculty member’s strengths and weaknesses, with suggestions about how to address the weaknesses. Satisfactory performance in the candidate’s areas of responsibility, teaching and service, is required for continued probationary reappointments.
- Provide guidance for the faculty member to select an area of excellence appropriate to the department’s expectations.

Year 3 of candidate appointment:

- [ADDED:] Conduct a third-year review if that is the practice within the department. Prepare candidates for any in-school reviews such as for long-term appointments. Reviews should include assessment of current activities and also guidance for pursuing campus-level promotion.

Year 4 of candidate appointment:

- Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure and that they receive specific guidance about any issues or concerns that require attention.

Year 5 or the year before applying for promotion

- [ADDED:] Each fall, solicit from clinical faculty their intentions for promotion during the following academic year (or use unit time guidelines).
- Develop a list of external and internal peer reviewers for each candidate in accordance with the directions set out by the chief academic officer in the section on External Assessment.
- Excellence in teaching or professional service requires peer review by persons outside the local context who can place the individual’s accomplishment within the larger academic and disciplinary context.
- If a screening process is used to find out if potential referees would provide a letter if asked, the process must be applied to all candidates within the school. Special care must be given to assure that the external reviewers are at “arm’s length” or independent as described in the section on External Assessment. Chairs should aim to receive no fewer than six, nor more than ten letters. All solicited external assessment letters received must be included in the dossier whether or not they exceed the suggested maximum of ten.
- Provide external reviewers with the appropriate materials to make informed judgments.
  - While unit/school or primary/department policies may detail particular kinds of evidence that should be sent to reviewers (often the CV, the candidate’s statement, and selected publications), the basic goal is to match evidence to criteria. For example, if the candidate is presenting excellence in
teaching then teaching products, such as syllabi or course materials produced by the instructor, should be provided to the reviewer. If the candidate has named service as an area of excellence, documents or products detailing the intellectual work related to service and its impact should be sent to the reviewers. Primary/department or unit/school criteria as well as the IUPUI excellence tables located in the Appendices of these Guidelines should be provided to the reviewers.

- Candidates should be instructed that they are not to contact external reviewers.

- Make the primary/department and/or unit/school protocol for soliciting letters from external peer reviewers available to the candidate. The primary/department (and/or unit/school) protocol for soliciting external assessment letters should be written and should be incorporated into primary/department (and/or unit/school) procedures.
  - It is recommended that email communication that solicits external reviews include a request for a confirming reply to indicate receipt of all materials. Furthermore, all email communications to external reviewers, including all attachments, should remain electronically archived and not deleted.

- Solicit letters from peer reviewers external to the primary/department, unit/school, and/or external to IUPUI using the standard protocol. The External Referee Form found in the Appendices should accompany the letter of request.
  
  - The Sample Letter to Request an External Evaluation, found in the Appendices, differentiates advancement on the basis of teaching, research or creative activity, and service; references the rank and expectations for that rank; and allows chairs to delineate any particular contextual circumstances or expectations for the candidate. These distinctions give reviewers the information they need to provide helpful reviews. (Further tips on soliciting external assessment letters are included in the Appendices.)
  
  - Similar letters adapted for peers internal to IUPUI should also be used
  
  - Make sure that the primary committee complies with all of the requirements found in the Primary and Unit Level Promotion and/or Tenure Committees Responsibilities section below.

  - If the primary/department committee does not have faculty at or above the rank sought by the candidate, establish a special primary committee that may include members from outside the department, school, or campus. [ADDED: To vote on a case for promotion to clinical associate faculty, a committee member must have the rank of clinical associate, or tenure-track associate; to vote on a case for full, the committee member should have the rank of clinical full or tenure-track full.] Such a committee should be composed in consultation with the duly constituted primary committee and should reflect disciplines as similar to the candidate’s as possible. The committee should be of sufficient size to produce a minimum of four votes.

  - If the candidate’s scholarship is interdisciplinary, team science, or public in nature, consider adding additional ad hoc members who can appreciate the interdisciplinary and collaborative nature of the work to be reviewed to the primary/department committee for that case. Such ad hoc members should be added in consultation with the duly constituted primary committee. The committee should be of sufficient size to produce a minimum of four votes.

  - If invited presentations are vital evidence for candidates’ reputation in their field, the quality of these invited presentations should be addressed at the departmental level.

Review year:

- Oversee the timeliness and procedural integrity of the primary committee (see Primary and Unit Level Promotion and/or Tenure Committees Responsibilities).

- Provide an assessment of the dissemination outlets in the candidate’s area of excellence (or in both areas for a balanced case), such as the quality of journals, peer-reviewed conferences, and venues of presentations or performance. This assessment must be a separate document in the dossier; it is not acceptable to simply place a marker that asks the reviewer to refer to the chair’s letter or some other place in the dossier:
  
  - Analyze the stature of journals, presses, editions, galleries, presentations, and other means of disseminating the results of the teaching or professional service of the candidates, including the quality of electronic publications. This assessment is required. Stature may be reflected by acceptance rates, the nature of peer review (such as the stature of the reviewing agency/organization), or other measures and, whenever possible, these indices should be cited. Although the notation for each journal or other entity should be brief (ordinarily two or three sentences), special commentary may be required when faculty are working in interdisciplinary or cross-disciplinary areas.
  
  - Address authorship convention for discipline.
  
  - Additionally, journals devoted to practice as well as theory development in teaching and
professional service may not be as widely known or understood, even by colleagues within the same department, compared to other scholarly journals. Special care should be taken in assessing the stature of such journals or presses. In recent years, electronic journals have emerged in some fields that may contain material that is comparable in quality and stature to print media. If there is any question about the quality of electronic publications, the chair should address this issue explicitly. In circumstances where publication occurs outside the usual disciplinary journals or presses, chairs may wish to seek an assessment of the stature of these publications from chairs or deans in other disciplines. In order to promote and encourage interdisciplinary teaching, research and creative activity, and service, IUPUI encourages dissemination of results in appropriate media of high quality even when these outlets are unusual for the discipline. Peer review of the material, therefore, is especially important. Whenever a chair is not the appropriate administrative officer to provide an assessment of the media of dissemination, deans should arrange to include this information.

- If grant activity is a responsibility of the candidate, an analysis of the overall pattern of grant success should be included in the department chair’s vote letter for promotion.

- Compose a letter of evaluation of the candidate’s case and recommendation for action and enclose this in the dossier. Include the following:
  - Relationship of candidate’s evidence of achievement, such as student evaluations or publications, to departmental norms and expectations for clinical faculty.
  - Indications of professional or disciplinary benchmarks used in the field and relevant to the recommendations being made by the primary committee and the chair.
  - Supporting evidence of the candidate’s institutional citizenship, including specific contributions and outcomes of committee membership or campus initiatives that extend beyond mere membership and attendance.
  - Specifically address if excellence is achieved in the stated area of excellence and validate if the other area of performance is at least satisfactory; or, the candidate has met standards for a balanced case.

- If a school has a structure that includes section chiefs, invite the section chief to write a letter that will become part of the dossier.

- Provide a brief statement addressing the expertise of each external reviewer which will be placed in the external assessments section of the dossier (see External Referee List for format). Ensure that all external reviewers meet the guidelines for independence outlined in the section on External Assessment. If not, then secure additional external reviews sufficient to meet the six reviewer minimum standard prior to forwarding the dossier to the unit committee. All reviews received must be retained in the dossier. The campus will return a dossier that does not meet the six-reviewer, arm’s-length minimum.

- Ensure that candidates receive fair and equitable treatment from the primary committee.

- The report from the primary committee should explain the reasons for negative votes based on committee discussions as opposed to submitting a minority report, which is not allowed. The report should be written with sufficient detail to fully review the candidate’s qualifications.

- Before submitting to the next level:
  - The primary committee chair should record the committee’s final vote in the vote record and upload the primary committee’s report.
  - The department chair should record his or her vote in the vote record and upload his or her report.

- Meet with the candidate to discuss the results of the primary committee’s deliberation and the chair’s letter. Have the candidate sign for receipt of the documents.

- ADDED: For promotion cases, “reconsideration” is not an option. Candidates may add materials to their dossier (in the Supplemental folder) at any stage up to consideration by the campus committee. Previous levels are notified and may but are not obligated to respond.

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

Dean Responsibilities

- Update your knowledge by reviewing the latest version of the IUPUI Guidelines each year (found at: http://academicaffairs.iupui.edu/PromotionTenure/IUPUI-Guidelines).

- Ensure that all candidates eligible for promotion have information about promotion and/or tenure workshops and the school’s calendar of deadlines for the P & T process.

- Ensure that a current copy of the unit’s/school’s promotion and/or tenure document is on file with
OAA and that every candidate receives a copy. These documents need to be approved by your school’s appropriate faculty governance process and the associate vice chancellor for academic affairs for compliance with campus expectations.

- Arrange to include an assessment of the quality of the media used to disseminate a candidate’s scholarly work when a department is not the administrative unit.
- Ensure that candidates are informed of any materials added or changes made to the dossier. Candidates and all previous reviewers must be provided with an opportunity to comment on or to respond to such additions. The added information and the responses become a part of the dossier. (See Addition of Materials/Comments.) The dean/dean’s office is responsible for reminding the unit/school committee chair, departmental chair, and primary/department committee chair that any time a candidate adds new materials to their dossier, the materials must be provided to and considered by all previous levels of review. When addition of new materials occurs after the dossier has reached the unit/school committee, direct oversight should be provided by the dean’s office to assure compliance.
- Ensure that all external reviewers meet the guidelines for independence outlined in the section on External Assessment. If not, then secure additional external reviews sufficient to meet the six reviewer minimum standard prior to forwarding the dossier to OAA. The campus will return a dossier that does not meet the six-reviewer, arm’s-length minimum.
- All reviews received must be retained in the dossier. Similarly, all supporting letters received must be retained in the dossier.
- Make sure that the unit/school committee complies with all of the requirements found in the Primary and Unit Level Promotion and/or Tenure Committees Responsibilities section below.
- As noted earlier with regard to the chair’s responsibility, deans must similarly ensure that unit committees do not submit minority reports. Only the final vote of committees and administrators should be recorded in the vote record.
- Ensure that the unit committee has given a copy of their summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.
- Following review at the unit/school level, compose the dean’s letter of evaluation of the candidate’s case and recommendation for action and enclose this in the dossier. Specifically address if excellence is achieved in the stated area of excellence and validate if the other area of performance is at least satisfactory; or, the candidate has met standards for a balanced case. Have the candidate sign and date for receipt of his/her copy of the letter.
- Include a perspective for campus and university reviewers on standards that candidates must meet in the school/unit.
- Before submitting to the next level:
  - The school/unit committee chair should record the committee’s final vote in the vote record and upload the school/unit committee’s report.
  - The dean should record his or her vote in the vote record and upload his or her report.

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

Primary/Department and Unit/School level promotion and/or tenure committees must comply with the following guidelines:

- Committees should have a minimum number of members sufficient to result in at least four approve/disapprove votes being recorded (in case members cannot vote for any reason). If there are insufficient faculty to comprise a committee resulting in at least four votes from members of the proper rank, the dean should seek additional members (either from another department within the school or from another school) in consultation with the duly constituted committee.
- Voting members must fully participate in committee deliberations. There can be no proxy voting on promotion and/or tenure cases at any level.
- Faculty members and administrators who participate in the promotion and/or tenure process must have full access to all materials in the candidate’s dossier and to assessments at all previous levels of review.
- Except for reconsideration of prior decisions, each faculty member and administrator who participates in the promotion and/or tenure process votes only once on any particular case. The committee member may decide at which level to vote if they serve on more than one level of review, as long as there are a minimum of four votes at each level.
- All assessments by review committees or administrators must clearly describe the candidate’s
performance by referencing the terminology in the *Indiana University Academic Policies* ("excellent," "satisfactory," or "unsatisfactory") even if additional categories or alternative terminology is also used. At IUPUI, the campus also uses the terminology, "beyond satisfactory" and "highly satisfactory." For example, "highly satisfactory" is used in a balanced case review.

- The administrative heads at the primary/department level (usually a department chair or IUPUI executive associate dean for core schools) or unit/school level (the dean) write their own letter of assessment for candidates. Therefore, they may not vote at any other level in the promotion and/or tenure process. Depending on the school’s bylaws, the administrative heads may be present during deliberations of promotion and/or tenure committees within their schools and may seek clarification of issues related to the case, but they may not influence the outcomes of promotion and/or tenure committee votes within the school.

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

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

- Analyze the pattern of grant success, where applicable, and include a summary in the committee’s vote letter for promotion and/or tenure. Please review the candidate’s level of funding in light of the present context for funding in the field.

- If invited presentations are vital evidence for candidates’ reputation in their field, the quality of these invited presentations should be addressed at the departmental level.

**DOSSIER CONTENT**

As of the 2015-16 P&T cycle, eDossier is used university-wide for dossier submissions. For up-to-date information on how dossiers will be submitted for 2019-20, please visit the [eDossier Resources page on our website](#).

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

The sections of the dossier that the candidate prepares should be no more than 50 pages (includes candidate’s statement and evidence in Teaching, Research and Service sections; excludes CV, department/school guidelines and appendix documents). In general, documents should have one-inch margins, single-spaced copy using typical fonts (Arial, Calibri, Times New Roman) with a font size no smaller than 11 point. All electronic documents will be submitted as searchable PDFs. (When existing electronic files are converted into PDF format, they are usually searchable. When documents are scanned, additional steps will need to be taken to make the document searchable. For help with either process, please consult the [PDF Instructions](#) posted on our website or contact [UITS](#) or the [CTL](#) as they may be able to provide one-on-one help.)

The candidate owns the dossier; however, certain materials are added to the dossier by others as a regular part of the process. These include but are not limited to:

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

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

Dossiers for clinical faculty generally include the following:

**Administrative Sections**

- Review letters and votes from:
  - Dean
• Unit/School Committee
• Department Chair
• Primary/Department Committee
• External Assessments
• Solicited Reference Letters
• Assessment of dissemination outlets in the candidate’s area of excellence (or in two areas for a balanced case)

Candidate Sections
• Candidate’s statement
• Curriculum Vitae
• Teaching
• Professional and University Service
• Appendices - available in eDossier as subfolders under Teaching (Performance), Research and Creative Activity (Professional Development) and Professional and University Service (Service).

Dossiers for clinical faculty should only include materials in the Teaching and Research sections. All scholarship (publications, presentations, and grant activity) should be characterized as teaching or service.
ADMINISTRATIVE SECTIONS

- These sections of the dossier are not prepared by the candidate.
- Administrative letters from the dean, unit/school committee, departmental chair and primary/department committee should not contain any confidential personal and/or medical information about the candidate.
- These sections contain the following:
  - **Review letter and vote from the dean**
    - Dean’s recommendation regarding promotion and a summary evaluation of the candidate’s professional activities. This evaluation should be dated, signed and printed on letterhead.
    - If the candidate holds an adjunct appointment in another school/department, the dean of the second school/department or an appropriate representative should be given the opportunity to provide a letter for the dossier with his or her recommendation on the candidate; however, it is not required. This evaluation should be dated, signed, and printed on letterhead.
  - **Review letter and vote from the Unit/School Committee**
    - Unit/school committee’s written recommendation and the committee’s evaluation of the faculty member’s teaching and service. This evaluation should be dated, signed, and printed on letterhead.
    - When school-level review letters are written, it is strongly recommended that references to external referees by name are not included in the letter. If the names are included, they should be redacted in the copy presented to the candidate at each level of review.
  - **Review letter and vote from the Department Chair**
    - Department chair’s individual recommendation regarding promotion—and a summary evaluation of the teaching and service in relation to departmental norms and expectations. This evaluation should be dated, signed, and printed on letterhead.
    - For core schools based in Bloomington, this recommendation is made by the executive associate dean on the Indianapolis campus.
    - For schools that do not have this level of review, this section will be omitted.
  - **Review letter and vote from the Primary/Department Committee**
    - The written recommendation of the primary committee, including the committee’s evaluation of the faculty member’s teaching, research and creative activity, and service or the librarian’s performance, professional development, and service. These areas should be evaluated in terms of excellent, highly satisfactory, satisfactory, or unsatisfactory. In the case of tenure recommendations, the statement should include an evaluation of the likelihood that the candidate will continue his or her activity in these three areas based on past performance and future plans. This evaluation should be signed and dated.
    - For core schools based in Bloomington, this is the Indianapolis committee review.
    - For schools that do not have this level of review, this section will be omitted.
  - **External Assessments**
    - This document is added by person who requests the external assessments. This may be the primary committee chair, department chair, unit committee chair, dean, or designee.
    - Please note that external assessments must comply with the criteria defining “arm’s length” or independence of external reviewer (See External Assessment). No candidate dossier should be forwarded to OAA without the required six “arm’s length” external reviews. All external assessments received, even those not deemed “arm’s length” must be included in the dossier.
    - One searchable PDF will contain the following documents in the exact order listed below:
      - A sample of the external assessment solicitation letter sent to reviewers for candidate.
      - A list containing brief statements (two or three sentence) on the expertise of each external referee (see External Referee List for format). Please do not include CVs of external referee.
      - Completed External Referee Forms and external assessments placed in the order they appear on the expertise statement list mentioned above (for example: Form A, Letter A, Form B, Letter B, Form C, Letter C, etc.).
        - If a reviewer does not return the External Referee Form, please note how you attempted to get it.
        - To be accepted, all external assessments must be provided on letterhead stationery and contain the referee’s signature.
  - **Solicited Reference Letters**
    - Not all cases will have solicited reference letters. Those that do not will leave this section blank.
    - These documents are added by the person who requests the reference letters. This may be the
primary committee chair, department chair, unit committee chair, dean, or designee.
  - Letters solicited by the candidate are placed in the evidence section they best support—
    teaching or service.
- All solicited reference letters received must be included. Once a letter is added at any level of
  review, it becomes a permanent part of the dossier and is not to be removed.
- Please do not include CVs of reference letter writers.
- Assessment of dissemination outlets in the candidate's area of excellence (or in all areas for a
  balanced case)
  - This document is typically prepared by the department chair (see Year 6 under Chair
    Responsibilities for complete details); however, it could be prepared by the primary committee
    chair, unit committee chair, dean, or designee. It is NOT prepared by the candidate.
  - Whenever available, the acceptance rates (or other evidence of stature or quality) should be
    noted. Avoid abbreviations; reviewers outside the candidate's field are not likely to be familiar
    with them. In instances where a candidate is working in an interdisciplinary field and is publishing
    in journals or media other than the normal disciplinary publications, care should be taken to
    explain the nature, quality and role of the journals. If the published work is of demonstrably high
    quality, the fact that a journal is not (yet) highly ranked or even recognized within a discipline
    should not by itself be grounds for disqualifying or devaluing the publications.
  - The actual assessment must be a separate document; it is not acceptable to simply place
    a marker that asks the reviewer to refer to the chair's letter or some other place in the
    dossier.

### CANDIDATE SECTIONS

- **Candidate’s Statement**
  - This document counts toward the 50-page limit on the dossier.
  - Candidates for promotion and/or tenure should prepare a maximum of seven (7) single-spaced pages
    for their candidate’s statement that reflects their own assessments of their accomplishments in
    teaching and service. Prospects for continued development in these areas must be addressed.
  - Candidates have the option to limit the Candidate’s Statement to five pages and include two single-
    spaced pages, addressing the area of excellence, as a section introduction in chosen area of excellence
    (either Teaching, Research, or Service).
  - Candidates going up on a balanced case should prepare a maximum of seven (7) single-spaced
    pages for their candidate’s statement, inclusive of the two areas of highly satisfactory work. In cases
    where the candidate undergoes unit-level review at another campus (e.g., core schools like
    Business, Education, etc.), an accommodation with the page-length expectations of those campuses
    may be needed.
  - Candidates are cautioned to describe their work in clear language that can be understood by readers
    from other disciplines.
  - The Candidate’s Statement is a place for reflective commentary focused on the criteria for
    promotion.
  - The Candidate’s Statement should address the interrelated aspects of a whole, integrated career.
    Few candidates make sharp distinctions among the various aspects of their work as they do it, and
    the statement should indicate how the candidate views the integration of these aspects, even while
    assessing achievements in each. Special attention should be given to work that cuts across
    specializations and disciplines and that helps integrate and apply knowledge to broad patterns of
    intellectual activity.
  - Candidates engaged in interdisciplinary work or team science should make every effort to represent
    their contribution to collaborative scholarship clearly, as well as the significance and value of any
    interdisciplinary approach they are pursuing. Candidates should carefully document their individual
    contributions within this context.
  - Candidates involved in public scholarship or civic/community engagement should clearly articulate
    the nature of their work and how it differs from traditional scholarship, evidence metrics and
    dissemination outlets.
  - Candidates should be careful to provide clear and sufficient information about their individual roles in
    collaborative projects, publications, presentation, or grants.
  - If applicable, the candidate should discuss their grant history including their success and
    commentary regarding grants that were submitted but not funded.
Candidates should explain how their service has contributed to the common good of the campus and University and how these contributions reflect department and school/unit expectations.

Candidates should also indicate the prospects for continued personal development in their defined areas of professional activity.

Candidates who seek advancement based on excellence in professional service should be able to demonstrate that such service is, in fact, academic work, which has significant results that have been communicated or disseminated in such a manner as to be reviewed by peers. The application of criteria to professional service should be clear, and professional service must be clearly related to the mission of the university, campus, and school/unit.

The candidate’s case for excellence should be made in relation to department, school/unit, and university criteria.

The candidate should not include any confidential personal medical information in their dossier.

- **Curriculum Vitae**

  - A copy of the candidate’s current curriculum vitae prepared in accord with the standard format (see Appendices).
  - The CV is not part of the 50-page limit.
  - Candidates must determine and list publications under the appropriate category; teaching or service as appropriate for their appointment. [ADDED: For clinical faculty, all grants, presentations, and publications should be designated as “teaching” or “service,” not as “research.”]

- **Teaching**

  - Documents in this section count toward the 50-page limit on the dossier.

  - **Faculty: Documenting Teaching**

    IUPUI requires documented evidence of at least satisfactory teaching by each clinical faculty member for advancement in rank. When teaching is the designated area of excellence, it is important to provide documentation that will enable external reviewers to make informed judgments. This type of documentation should be discussed with the department chair in advance of solicitation for external review.

    This section generally consists of supporting documentation related to teaching and, if this is the area of excellence, the candidate has the option to limit the Candidate’s Statement to five (5) pages and add a Statement of Teaching (a narrative analyzing the teaching area that is a maximum of two (2) single-spaced pages as a section introduction). Candidates should provide the following evidence to document teaching and advising in this section. They should feel free to address other points not identified below:

    - **Evidence of the quality of teaching and advising as evaluated by peers (required for satisfactory level or higher).**
      - Peer review of teaching is as important as peer review of scholarship.
      - Review of teaching is a formative activity to facilitate improvement and skill development in teaching. Rank requirements such as those used for external evaluators are not applied to the formative teaching review processes. [ADDED: That is, peer reviewers of teaching need not be of a higher rank, and can be clinical, lecturer, or tenure track faculty.]
      - Local disciplinary peers can provide essential information and assessment based on observation of the classroom, studio, laboratory, or other learning environments, including those based on technology. Additionally, local peers outside the discipline can provide an additional perspective of excellence in teaching, including practices in the classroom, teaching materials, and the scholarship of teaching and learning.
      - Peer review of classroom instruction is most effective when it is based on multiple visits to classes and examination of materials; isolated observations are rarely helpful.
      - It is much more difficult for external peers (i.e., external to IUPUI) to observe actual teaching, and thus local peers should prepare reports sufficiently descriptive to be useful to external peers along with other documented results of effectiveness.
        - In addition, it is recommended that external reviewers are provided with peer reviews and summaries of student evaluations to facilitate the evaluation of excellence in teaching.
      - Evidence in the dossier should summarize statements, checklists, and methods used by peers to comment upon the quality of classroom performance and the quality of course design as evident in the syllabus and other course materials reviewed by colleagues. Similar statement or summary evidence of instruments may be submitted to document impact on
student learning based on peer review of such indicators as student work (papers and projects), performance on standard exams, or personal experience with students in subsequent courses or institutions of higher learning. This evidence from peers may have resulted from in-person review or from review of materials in print or electronic form by those at a distance who teach in similar fields or use similar methods.

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

- **Evidence of effective teaching through scholarly dissemination of knowledge about teaching, especially in peer-reviewed media, is required for documenting teaching at the level of excellence.**
  - Such activities, while listed on the curriculum vitae, should also be documented and discussed in this section.
  - If invited presentations are vital evidence for candidates’ reputation in their field, discussion of the significance and impact of peer-reviewed presentations, including status of the venue, competitive acceptance rates (where available), number of attendees and any retrievable evidence of the presentation is expected. Because a presentation may take many forms, it must be documented and retrievable, and is valued for promotion purposes to the extent it reflects the same criteria of scholarly value as standard professional publications, including its breadth of exposure and dissemination; its scholarly impact; and the selectivity, scale, scope, and the prestige of the presentation venue.
  - In some instances, and particularly for clinical ranks, publication may not be the most effective or feasible means of disseminating the results of effective teaching practices or pedagogical research. When other forms of disseminating results are more appropriate, this fact should be explained and those evaluating the candidate’s work at the primary, unit, and campus levels should consider this alternative form of dissemination. Candidates and department chairs (or deans) may wish to take special care in explaining why alternative forms of dissemination may better fit with standards in the field.

- **Evidence that courses taught contribute to the overall student learning outcomes specified by the unit and evidence that students have met or exceeded course or curricular learning objectives should be provided.**
  - The role of the faculty member in assisting students to meet learning objectives should be documented and assessed in ways appropriate to the discipline and to the mission of the unit.
  - This may be captured through peer review or through systematic assessment of student achievement or from standardized, nationally-normed profession-related tests.
  - Faculty who teach undergraduate students should also address how their courses and scholarship of teaching contribute to learning outcomes specified by their academic unit and the PLUS+ (formerly the Principles of Undergraduate Learning—PULs) in the statement they submit for this section.
  - At the graduate and graduate professional levels, comparable assessment measures for student learning should be developed if they do not yet exist and the Principles of Graduate and Professional Learning (PGPLs) should be addressed.

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

- **Evidence of the nature and quality of course and curriculum development and implementation to enhance the quality, effectiveness and efficiency of teaching is**
expected.

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

- The number of student graduate committees the candidate has served on or chaired and the evidence of the quality of results as documented by student achievements should be provided, as appropriate.
- Local, regional, national, or international teaching, advising or mentoring awards, including information about their nature and significance (e.g., criteria, competitiveness, pool of applicants, number awarded) should be listed. These can be listed on the curriculum vitae, but if explanatory details are needed, they may be included in this section.
- Teaching or advising grants (including training grants) received and their outcomes should be included. These can be listed on the curriculum vitae with outcomes information included in the statement for this section.
- Leadership roles in professional associations in organizing conferences, in presenting papers at conferences related to teaching, advising or mentoring, and in advancing other aspects of teaching should be included.
  - While these can be listed as professional service on the curriculum vitae, they may be included in the statement for this section if explanatory details are needed to support the candidate’s case. ADDED: Candidates should consider whether such roles support a case for excellence in teaching OR in service, and list or discuss them in the appropriate section.
- Information on the teaching load of the candidate should be reported.
  - While the teaching load is reported on the curriculum vitae, an indication of whether it is greater or less than the average teaching load in the department should be reported in this section.
  - A large number of students is not per se evidence of achievement; teaching and student learning must be evaluated.
  - Similarly, teaching a small number of students does not indicate diminished achievement if the teaching load is appropriate and there is a sufficient threshold for evaluating the quality of the teaching.
  - Faculty may hold part-time appointments at any rank and in any classification; the expectations and measures for teaching achievement should be proportionate.
- Using technology, distributed education, problem-based learning, community-based learning, international videoconferencing, or other new techniques and tools to enhance student learning.
  - Faculty are encouraged to report their experiments and to document results.
- Interdisciplinary work
  - Faculty engaged in interdisciplinary teaching are encouraged to describe the significance and impact of bringing multiple disciplinary approaches to their area of interest.
- Retention
  - Since retention of students is of considerable importance to IUPUI, faculty members involved in retention efforts should include a description of these activities.
  - Include any evidence that indicates the impact these activities have had on increasing retention, either in their own classrooms or in a broader school/unit or campus setting.
• Research and Creative Activity (For Librarians: Professional Development)
  o ADDED: Within the IU system of faculty classification, clinical faculty responsibilities include teaching and service. All scholarly activities--all scholarship, all grants, publishing and presentations that might otherwise be considered “research”--are, within the promotion system, to be classified as scholarship of either teaching, or of service. Do not list items in the research section of the CV or of the dossier.

• Professional and University Service
  o Documents in this section count toward the 50-page limit on the dossier.
  o Faculty: Documentation of Professional and University Service
    This section generally consists of supporting documentation related to service and, if this is the area of excellence, a Statement on Service (a narrative that is a maximum of two (2) single-spaced pages analyzing the service area). Candidates should provide the following evidence to service in this section. They should feel free to address other points not identified below:
      ▪ Professional service is normally provided to three specific groups:
        □ the public (e.g., various local, national, and international communities; clients; and/or patients);
        □ the profession or discipline; and
        □ the campus and university.
      ▪ Satisfactory professional service is expected of each clinical faculty member.
      ▪ The importance assigned to service in considering candidates for promotion may vary according to individual circumstances and the mission of the unit.
      ▪ Professional service, including professional service in the community and patient or client services, is characterized by those activities conducted on behalf of the university that apply the faculty member's disciplinary expertise and professional knowledge of interrelated fields to issues in society.
      ▪ In documenting excellence in professional service, faculty must be alert to the need to collect information and evidence at the time services are provided so that it can be used later to demonstrate impact.
      ▪ To be the basis for advancement in rank, university and professional service must be directly linked to the unit and campus mission; the quality and impact of professional service must be evaluated within this context and must be assessed as academic work characterized by the following:
        □ command and application of relevant knowledge, skills, and technological expertise;
        □ contributions to a body of knowledge;
        □ imagination, creativity and innovation;
        □ application of ethical standards;
        □ achievement of intentional outcomes; and
        □ evidence of impact.
      ▪ Peer review within IUPUI and by disciplinary or professional peers at other universities or public settings is an essential component for evaluating all aspects of professional service, as it is for teaching and research.
      ▪ Evaluations of effectiveness by clients, patients, and other recipients of or participants in professional service activities may be critically important as evidence that can be summarized
and assessed by disciplinary peers. Evaluation of service impact may include outcome data for the population served, compliance with evidence-based practice guidelines, or comparative data from benchmark groups.

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

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

- As with research, professional service may span traditional disciplinary boundaries. In such instances, candidates and chairs or deans may wish to develop appropriate procedures (e.g., a specially composed primary committee) to ensure that the nature of interdisciplinary professional service is fully and adequately understood and assessed.

- Professional service to clients and patients as well as to the discipline may be local, regional, national, or international.

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

  - Documenting professional service activities when excellence in professional service is the primary basis for promotion:
• **External peer evaluation of products or results of professional service**, including refereed and non-refereed publications or other means of dissemination.
  - While some peers may come from the practice community, a majority should be independent academic peers from institutions with an equal or greater reputation in the area of professional service. Special care must be given to assure that the external reviewers are at “arm’s length” or independent as described in the section on External Assessment.
  - Care should be taken in describing the qualifications and relevance of external reviewers, especially when the reviewers are not academically based.
  - When professional service is conducted outside the U.S., it is advisable to seek some evaluation by appropriate peers in the relevant countries.
  - Client evaluations may not be substituted for peer evaluations.

• **Assessments from local faculty colleagues** who can place the quality of professional service within a context of departmental, school/unit, or interdisciplinary standards.

• **Evaluation by clients, patients or service recipients**.
  - Faculty should arrange for timely evaluations by recipients and determine appropriate ways to use this information.

• **When professional service is highly repetitive**, as is often the case in patient care, candidates should comment on the cumulative impact of the repeated activities. Quantity of patient service ordinarily is not a sufficient factor in promotion, although it is expected to be high to support an area of excellence.

• **Appendices**
  - Appendix folders are available in eDossier as subfolders under teaching, research and service.
  - Appendices should have a table of contents to facilitate review.
  - Appendices are not part of the 50-page limit.
  - Appendices should provide documentation for all of the assertions made in the Candidate’s Statement.
  - Appendices may include articles published or accepted for publication, grant proposals accepted or under consideration, syllabi for redesigned courses, or any other materials that support a case for excellence in a chosen area and at least satisfactory performance in the other areas.
  - Appendices should be as succinct and as carefully selected as possible.

**PEER REVIEW AND EXTERNAL ASSESSMENT**

**Peer Review**

• The evaluation by peers of teaching and service is the bedrock on which promotion decisions are based.
• This evaluation should occur continuously across the career in the form of regular peer review of teaching and service.
• At intervals where candidates seek promotion, an additional level of peer review of the overall record is needed.
• These two types of peer review, ongoing review of teaching or service, and assessment of the overall record, are both important and subject to different considerations.

**Ongoing Review**

• Traditionally, peer review of research and creative activity has been a standard feature of faculty work.
• Evaluation of work submitted to journals, juried shows, or other outlets for dissemination is considered the routine way to document the quality of this work.
• Expectations for peer review of the quality and impact of teaching and professional service are now well established at IUPUI.
• Peer evaluation of teaching or professional service is expected for all candidates with teaching or professional service as an area of performance and it is required for those whose advancement is based on excellence in teaching or professional service or on a balanced case. In the absence of a clear reason for the omission, dossiers without peer evaluations may be returned as incomplete. Ongoing peer review need not occur every year, but there should be a record of sustained peer review over the interval since appointment or last promotion.
• Ongoing peer review may be provided by local, national, or international peers.
• To be credible, peer reviewers must be identified according to their expertise or competence to comment.
• These peer reviews should be requested at intervals by the department chair as part of the department’s peer review policies and procedures, and conducted in the standard way specified by the academic unit.

External Assessment

External assessment is essential to provide the committees evaluating each candidate for promotion and/or tenure an objective evaluation of the value and impact of the candidate’s work within the discipline. External assessment is a summative evaluation process with associated rank requirements.

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

• External assessment (ordinarily in the form of a letter or verified email note) is expected of all candidates at all ranks. To be accepted, all external assessments must be provided on letterhead stationery and contain the referee’s signature. To provide each candidate maximal opportunity for success, at least six assessment letters are required. Cases that come to the campus level without six acceptable “arm’s-length” letters will be returned to the school.
• If a candidate is reapplying for promotion within three years of a previous dossier submission (whether as a result of denial of promotion or withdrawal of the case prior to final decision), all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission.
  o If a candidate has changed their area of excellence, and the reviewers have not updated their letters, the obsolete letters may be removed. A minimum of six accurate letters (speaking to the current area of excellence) are required.
• The candidate should not be involved in the selection of external reviewers, with two exceptions: 1) the candidate should be allowed to list those he or she would definitely not want to serve as an external reviewer, and 2) the candidate may provide a list of key scholars in the field if these are not known to the chair or the chair’s designee. The candidate must discuss this list with their academic administrator and should indicate clearly on the list that each meets the “arm’s length” or independent criteria outlined below. Chairs or deans are not required to use the external reviewers identified by candidates.
• Chairs/Deans may seek additional guidance to identify potential external reviewers, for example, from chairs of similar departments in other universities, from senior faculty in the department in the same or related specialty, or from the scholars quoted in the candidate’s publications. Reviewers do not have to be scholars in the identical sub-specialty as the candidate. Chairs should not inform candidates about the identities of the final external reviewers. Biographic summaries of external reviewer should be provided by the department chair, and are not to be written by the candidate.
• Criteria Defining “Arm’s Length” or Independence of External Reviewers:
  The relationship between the reviewer and the candidate should be as independent as possible. To qualify as “arm’s length” or independent, reviewers providing external assessment should have no personal, professional, or academic relationship with the candidate that would cause them to be invested in the candidate’s promotion. Specific examples of reviewers to avoid include (but are not limited to): 1) former or current mentors and 2) co-authors or scholarly collaborators in the last five years. Exceptions can be made in the case of very large national clinical trials where multiple authors have a very distant relationship or in the case of serving on national research or service panels. The department chair needs to specifically make the case for including such a reviewer. If in doubt, please contact the associate vice chancellor for academic affairs. Every precaution should be taken to ensure that referees are objective and credible; persons closely associated with the candidate may not be as objective as those who are not personally associated. Reviews deemed to not comply with the “arm’s length” criteria will not count toward the six needed reviews.
• Academic external reviewers must be at a rank higher than the current rank of the candidate, and at a peer (or higher) institution. When there are highly qualified academic reviewers who are considered top experts in the field but they do not meet the rank or peer institution guidelines, the chair must provide sufficient explanation as to why they have been selected as an appropriate reviewer.
• Non-academic external reviewers maybe included when a clear explanation of the relevance of such a review is presented by the chair. It is always in the best interest of the candidate to select the strongest
pool of external reviewers possible.

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

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

<table>
<thead>
<tr>
<th>CLASSIFICATION</th>
<th>RANK BEING SOUGHT</th>
<th>EXTERNAL REVIEWERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Track</td>
<td>Advancement to full clinical professor</td>
<td>External independent review is required.</td>
</tr>
<tr>
<td></td>
<td>Advancement to associate clinical professor</td>
<td>- A maximum of two peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible. Reviewers should be at the rank of full professor. They may be tenured or on clinical track.</td>
</tr>
</tbody>
</table>

- A maximum of two peers from other campuses of Indiana University or Purdue University may be considered “external” if they are not collaborators or do not have other, direct personal or professional associations that could affect objective evaluation. Select the strongest pool of external reviewers possible.

- Reviewers should be at the rank of full professor. They may be tenured or on clinical track.

- When excellence in teaching, professional service, or public scholarship is a basis for advancement, it is important to provide documentation that will enable external reviewers to make informed judgments.
  - For teaching, most schools/units have effectively sought external evaluation of course design and materials as part of their review of teaching accomplishments. This type of evaluation may be particularly helpful in considering materials prepared for use with new technologies (e.g., internet, multimedia, videos, computer simulations, databases, software) or for judging the incorporation of service learning as a part of courses.
  - For professional service, candidates should include sample reports, presentation materials or other items, illustrating their scholarship of service, as well as evaluation or impact data related to their work.
  - For public scholarship, candidates should provide evidence of collaborative, outcomes-focused activities that result in final products that benefit and are valued by the community. Scholarly outcomes may include exhibits, curricular products, community projects or initiatives, policy recommendations and actions, quality of life plans, shared grants, or websites.
Without documented results and without external peer review, candidates for advancement based on excellence in teaching, professional service, or public scholarship should not expect to succeed.

- For further assistance with soliciting letters and for a solicitation template, please consult the appendices.
- When submitted to OAA, all dossiers will be given an initial administrative review to assess whether or not the external assessments appear to meet the requirements of these guidelines. If the dossier appears to be deficient in some way, the department/school will be contacted with the expectation that the deficiency can be addressed before the campus-level review begins.

**INSTITUTIONAL PROCEDURES**

**Submission Deadlines**
- Candidates submit dossiers for promotion and/or tenure to their department/school. As deadlines vary from one academic unit to another, faculty should contact their department/school directly for submission deadlines.
- For campus level review, units/schools need to submit one electronic copy for each candidate to OAA no later than **Friday, October 25, 2019**.
- If extenuating, school-level circumstances exist, a request for a time extension should be sent as soon as possible before the October 25 deadline to oaa@iupui.edu. This extension can only be requested by school officials.

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

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time Frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidates prepare dossiers</td>
<td>Spring before the submission of dossiers to campus</td>
</tr>
<tr>
<td>Candidates submit dossiers to primary unit</td>
<td>Based on school process: in the School of Medicine, dossiers are due in the departments by late May or early June; in most other schools, they are due in early August. Check with your department/school for exact dates.</td>
</tr>
<tr>
<td>Schools submit dossiers to OAA</td>
<td>The last Friday of October</td>
</tr>
<tr>
<td>Campus committee reviews and evaluates all dossiers</td>
<td>December, January and February – sometimes into early March</td>
</tr>
<tr>
<td>Campus committee recommendations are forwarded to the chief academic officer</td>
<td>Immediately following campus committee reviews; early March</td>
</tr>
<tr>
<td>Chief academic officer reviews cases, completes an independent evaluation and forwards recommendations to the chancellor</td>
<td>Mid-March</td>
</tr>
<tr>
<td>Chancellor reviews cases and confers with the IU and Purdue Presidents on the joint recommendations that are forwarded to the respective Boards of Trustees</td>
<td>Late March</td>
</tr>
<tr>
<td>Action by the Boards of Trustees</td>
<td>Mid-April</td>
</tr>
<tr>
<td>Promotion takes effect</td>
<td>July 1 (12 month faculty) or August 1 (10 month faculty) to coincide with start of academic year</td>
</tr>
</tbody>
</table>

If there is uncertainty about what may be required, candidates or chairs should confer with the senior associate vice chancellor for academic affairs as soon as possible.
Time in Rank

- In most instances, the work being assessed as the basis for promotion will have been completed since either the initial appointment or last promotion. In many cases, it is understood that national reputation depends, in part, on foundational work that may have occurred earlier in the candidate’s career. For faculty, publications and presentations in rank at another institution prior to appointment at IUPUI will be considered part of the candidate’s record. The overall pattern of productivity over time will be scrutinized, with emphasis place on recent work and scholarly trajectory.
- There is no defined period between associate and full rank, although most candidates seek full rank five to ten years after promotion to the associate rank. Occasionally, the period under consideration may vary due to: prior appointments at other institutions; the cumulative nature of some work that may build on earlier accomplishments; leaves that may have extended the probationary period; administrative roles; or earlier than normal consideration.
- When a case has special circumstances, candidates and department chairs should provide an explanation for any unusual conditions that may affect the review of the candidates’ dossiers.

Area of Excellence

- Candidates determine their area of excellence within the academic norms and context of their primary unit. It is not the role of any review committee to change the area of excellence declared by the candidate. Candidates should select just one area of excellence unless presenting a balanced case. Review committees may comment in their evaluation of the dossiers that one or more additional areas are also excellent.
- Balanced Case: In some circumstances, faculty may present a record of highly satisfactory performance across all both areas of responsibility sufficient to demonstrate comparable long-term benefits to the university. If so, clinical-track faculty have the option of presenting a balanced case across two areas of endeavor (teaching, service). It is understood that peer-reviewed scholarship is required for achieving a highly-satisfactory rating in each area of performance in a balanced case. However, the promotion standards in many departments/units encourage the choosing of one area of excellence. Faculty should be aware of the requirements of their department/unit.
- Faculty in the Schools of Medicine, Engineering and Technology, and Science, may not choose a balanced case.
- Appropriate areas of excellence have been designated for faculty in all categories and are summarized in the Appendices’ chart “Summary of Areas of Excellence and Expectations for Various Faculty Categories.” High expectations for performance within areas defined for each kind of appointment are universal across faculty titles; however, the nature of the work performed by faculty varies and the ways in which faculty accomplish their work and document performance also varies, depending on the context of the work. Similarly, disciplinary expectations will influence the emphasis faculty place on different activities and types of accomplishments and the way in which they are documented.
- Clinical faculty are required to be excellent in either teaching or service and satisfactory in the other area. They have no formal research requirements for promotion although scholarship is required in their area of excellence.
- Expectations for university and professional service will vary by unit and must be articulated in unit policies or in explanatory materials from the dean or chair contained within individual dossiers.

Addition of Materials/Comments

Although new information may be added at any level up to and including the campus P&T committee level of review, once the dossier is submitted for review in eDossier, neither the
vitae nor the candidate’s personal statement may be updated. A candidate may add a note, either about new information or in response to a level of review, for inclusion in eDossier via the supplemental folder, up to and including the campus P&T committee level of review. No further additions or comments can be added to the dossier subsequent to the campus P&T committee level of review.

If additional materials are submitted during the review process for inclusion and consideration in the dossier:

- All prior reviewers have the right to comment on additional material, but these comments need to be forwarded through the same review process, beginning with the primary committee. Prior reviewers need not take any action as a consequence of reviewing added material; however, they must have an opportunity to reconsider their original recommendations. In the case of factual information (e.g., acceptance of a journal article listed as under review), these additions are routine and ordinarily require no comment.
- Committees at prior levels may elect to re-vote on the case if circumstances warrant this action.
- In instances where a committee or administrative officer seeks additional information or material, this material must be provided to both the candidate and persons who have already reviewed the dossier, all of whom must have an opportunity to comment.
  - It is the responsibility of the persons seeking additional materials to provide such material to all concerned parties.
  - These comments then become a part of the dossier. Such additions must be made only when clearly necessary.
  - Ordinarily there will be very little time allowed for comment, and concerned parties must act within specified deadlines.

- All additions must be submitted electronically as searchable PDFs.
  - If including copies of e-mails, the best practice is to print the original e-mail to PDF and send as an attachment, preserving the authenticity of the communication.

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

**Campus Level Reviews and Notification**

The IUPUI Promotion and/or Tenure Committee uses a primary and secondary reader system.

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

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

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

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

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

Economic Development of Indiana
- IUPUI is committed to enhancing the economic development of Indiana.
- Faculty work that contributes to enhancing the economic development of Indiana should be acknowledged and rewarded in the review process.

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

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

Interdisciplinary Work and Publication

- In the instance of candidates who work in interdisciplinary fields that transcend the intellectual authority of any single school/unit, special arrangements for primary and unit committee reviews may be necessary.
- The school/unit that serves as administrative host for such a program should assume responsibility for preparing and transmitting files while making accommodations for participation of faculty from other schools/units in a primary committee and for an alternative unit committee.
- The special or ad hoc arrangements should be stipulated in advance, be known to the candidate, the program administrators (dean or director), and the dean of the host school/unit.
- In instances where there is not agreement on procedures among the concerned parties, the chief academic officer will determine the process and procedures for reviewing candidates.
- The same high standards of achievement and of documentation for traditional disciplinary work apply to interdisciplinary work.
  - Journals that publish interdisciplinary work may not be as well-recognized or widely-known to the reviewers as other journals, but these may be the most appropriate places to publish.
  - Care must be taken to consider the nature and quality of journals or other media where interdisciplinary work appears.
  - Holding formulaic expectations for work appearing in “top tier” journals is not likely to serve either institutional or individual interests well in every case.
  - Candidates should help their chairs to document and establish the quality of such journals—including those in electronic formats—but reviewers have a reciprocal obligation to evaluate the quality of the work on its merits and not solely on the reputation of the journal within a discipline.
  - In some instances, external assessments of outlets for publication may be useful and such information may be included within the dossier.

International Work and Publication

- Scholarship and professional work are now often international in terms of their impact and application; collaborators are sometimes based in other countries; and appropriate journals, conferences, and other forums for dissemination may be international in scope and/or published outside the U.S. and in languages other than English.
- Such international work and outreach are encouraged.
- In most cases, they may be evaluated using standard procedures. Sometimes, however, they may require special forms of review and assessment, even—in some cases—the provision of translations.
- Review committees should demonstrate the same flexibility in assessing such international work as they do for interdisciplinary work.
  - International variations in rankings, modes of inquiry, and forms of dissemination must be acknowledged.
  - Candidates and chairs should take special care to explain the quality, audience, impact, and value of such international work and to solicit external evaluation by
Interprofessional Education
- As Indiana University’s urban health and life sciences campus, IUPUI is committed to advancing capabilities and contributions in interprofessional education and collaborative practice to produce graduates with the skills needed for future team-based and population focused models of health and wellness.
  - Interprofessional education occurs when learners from two or more professions learn about, from, and with each other to enable effective collaboration.
  - Interprofessional, collaborative practice occurs when faculty and students from different professional backgrounds work together to produce the highest quality outcomes across a variety of settings or to produce scholarship that informs teaching, learning, and/or teamwork.
  - Interprofessional teams cross disciplines, programs and schools to identify and facilitate opportunities for collaboration.
- Faculty scholarship in interprofessional education and practice is by nature, complex, time-intensive, highly collaborative, and involves faculty teams and community stakeholders across a wide array of disciplines, professions, and settings.
  - Scholarship in this area may include: presentations, articles in peer-reviewed interprofessional or discipline-based journals, original curricular and assessment products, program assessment and evaluation, innovation in service learning or other models or technologies that integrate interprofessional practice and educational pedagogy, and qualitative and/or quantitative descriptions or research related to project or program outcomes such as community and/or practice-based interprofessional projects.
  - Interprofessional work typically generates collective scholarly products. As such, the faculty involved share both individual and mutual responsibilities for the project team’s outcomes. Traditional publication conventions with first, or last and corresponding author designations may not be applicable to true collaborations, in which case alphabetical order to demonstrate equal authorship should be utilized and noted.
  - As teaching and research in interprofessional practice and education grows, not all scholarly products will fit into traditional profession-specific expectations or considerations. This work, which occurs at the borders of profession-specific boundaries or in-between professions, can transform a research program in new and unique ways, and, flexibility in the application of traditional expectations and/or criteria for scholarship may be needed.

Open Access
- IUPUI is committed to disseminating the fruits of its research and scholarly activities as widely as possible and as such supports faculty participating in digital open access distribution of their scholarship. The IUPUI Open Access Policy provides a no-cost, opt out approach to increase access to scholarly articles authored by campus faculty members.
- Open access supports many of IUPUI’s Institutional Values including: Civic Engagement; Collaboration; Diversity, Equity and Inclusion; Economic Development; Interdisciplinary Work and Publication; International Work and Publication; Public Scholarship; and Translational Research.

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

Public Scholars/Public Scholarship

- IUPUI’s Mission of Civic Engagement aligns with the values of public scholarship and embraces the unique relationships and contributions between faculty and community.
- Faculty appointments as a public scholar are typically determined at the time of hiring. Appointments can be revised and documented as one’s area of excellence is defined and refined.
- IUPUI defines public scholarship as an intellectually and methodologically rigorous endeavor that is responsive to public audiences and non-academic peer review. It is scholarly work that advances one or more academic disciplines by emphasizing production of knowledge with community stakeholders.
- The university and campus recognize the appointment of public scholars and embrace their unique relationships and contributions to the community. Public scholarship is conducted in partnership with identified “publics” to address their needs and concerns. As such, public scholarship tends to be highly collaborative, outcomes-focused and results in final products that benefit and are valued by the community. Scholarly outcomes may include exhibits, curricular products, community projects and websites.
- The nature of public scholarship is diverse and the evidence used to support it may differ from traditional forms of scholarship. Non-traditional dissemination outlets and alternative metrics should be acknowledged as acceptable forms of documentation.
- Peer review of public scholarship must take into account the faculty member’s investment in such activities as building community relationships, engaging in reciprocal learning and project definition, experimenting with collaborative methods, and writing grants to support collaboration with faculty, students, and public stakeholders. Peer review must also evaluate the types and the appropriateness of the outcomes produced based on the faculty member’s goals, methods, and public(s). Given the importance of collaboration in this work, external evaluators must have knowledge of the processes involved in public scholarship activities and should have knowledge of the project content, rather than only experience based on the faculty member’s discipline. This may include scholars and experts from outside the academy.

Research and Creative Activity in the Urban Environment

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

RISE to the IUPUI Challenge

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

Service

- The distinction between professional service and service to the university requires some elaboration.
  - Faculty and librarian service to the university through committees and administration
is important and required. The community of scholars depends on the mutual responsibility of individuals to support and develop the institution that sustains them.

- Service must be a factor in these considerations, because unsatisfactory service to the university may preclude successful application for promotion and/or tenure.
- Administrative service that uses disciplinary expertise for innovative or successful achievements reviewed by peers may be offered as evidence of achievement of professional service when such work:
  - has been planned and stipulated in advance;
  - when it is derived from the mission of the unit;
  - when it is disseminated to a broader audience; and
  - when it is peer reviewed.

- Not all committee service is equal.

- Some committees, such as an Institutional Review Board, the Committee on Ethics in Research, or a Faculty Board of Review, may require extensive time commitments and may address principles or issues fundamental to the continued effectiveness of the campus. These special features need to be recognized.
- The primary committee, chair, unit committee and dean are best able to assess the degree of performance of University service.
- If it is deemed inadequate or unsatisfactory, this fact should be noted and an evaluation based on the documented record of performance should be included in the dossier when it is forwarded to the campus level for review. The candidate must be informed and be provided an opportunity to respond prior to a final recommendation at the primary and unit levels.

**Translational Research**

- As an urban research university with a commitment to the local and global community, IUPUI values research that can be translated and applied to the needs of the local and global community.
- IUPUI is the nation’s first “translational campus” where research that can directly meet the immediate and future needs of the community is a stated value.
- Faculty engaged in translational research should have that work acknowledged and rewarded in the review process.

**University College**

- With the leadership of University College faculty, IUPUI has made tremendous strides in supporting student success in the first year and beyond.
- Scholarship associated with this work has added to IUPUI’s national reputation.
- The campus retention rates have shown steady improvement since the introduction of University College.
- Faculty involved with the important retention and student focused initiatives of University College should have that work acknowledged and rewarded in the review process.

**APPENDICES**

( Begins on next page.)
### SUMMARY OF AREAS OF EXCELLENCE AND EXPECTATIONS FOR VARIOUS FACULTY CATEGORIES

<table>
<thead>
<tr>
<th>Advancement to</th>
<th>Area of Excellence</th>
<th>Other Areas of Performance</th>
<th>Expectation for External Peer Review of Case</th>
<th>Standard for Excellence (over and above record of quantity, quality, and impact of internal work)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Clinical Associate Professor</strong></td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service. Highly satisfactory in both areas for a balanced case</td>
<td>Independent² peers external to IUPUI or department</td>
<td>Record of publicly disseminated and peer reviewed scholarship in area of excellence.</td>
</tr>
<tr>
<td><strong>Clinical Professor</strong></td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service. Highly satisfactory in both areas for a balanced case</td>
<td>Independent² peers external to IUPUI</td>
<td>Record of sustained, nationally and/or internationally disseminated and peer reviewed scholarship in area of excellence. Special circumstances where scholarly productivity has been interrupted can be considered.</td>
</tr>
</tbody>
</table>

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1 Balanced case expectations are defined by the *Indiana University Academic Policies* as: “balanced strengths that promise excellent overall performance of comparable benefit to the University.” This category applies to both tenure-track and clinical-track faculty.

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

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<table>
<thead>
<tr>
<th>Dimensions of teaching performance</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section I: CV</td>
<td>Section II: Candidate’s Statement</td>
</tr>
<tr>
<td>Teaching load</td>
<td>List of courses, etc.</td>
</tr>
<tr>
<td>Teaching goals</td>
<td>Goals and/or Teaching Philosophy</td>
</tr>
<tr>
<td>Continuing professional development</td>
<td>List of formal activities</td>
</tr>
<tr>
<td>Use of exemplary teaching methods</td>
<td>Description of methods</td>
</tr>
<tr>
<td>Quality of teaching</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Evidence of student learning</td>
<td>Reflective comments</td>
</tr>
<tr>
<td>Ethics</td>
<td>Self-report</td>
</tr>
<tr>
<td>Scholarship of teaching and national leadership</td>
<td>Publications, presentations, national leadership on teaching in discipline</td>
</tr>
<tr>
<td>Course and curriculum development</td>
<td>List of committees, etc.</td>
</tr>
<tr>
<td>Recognition (grants, awards)</td>
<td>List of recognitions</td>
</tr>
</tbody>
</table>
### SUGGESTED STANDARDS FOR EVALUATING TEACHING PERFORMANCE

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

<table>
<thead>
<tr>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Section I: CV</strong></td>
<td><strong>Section III: Evaluation of Professional Service</strong></td>
</tr>
<tr>
<td><strong>Section I:</strong> Reference Letters &amp; Reports</td>
<td><strong>Section II:</strong> Candidate’s Statement</td>
</tr>
<tr>
<td><strong>Satisfactory University Service</strong></td>
<td>Evidence (e.g., assigned responsibilities context, role, growth, impact) and basis for judging it satisfactory</td>
</tr>
<tr>
<td><strong>Significance and impact of professional service</strong></td>
<td>List of community, disciplinary/professional, and university service</td>
</tr>
<tr>
<td><strong>Description of activity and individual’s responsibility</strong></td>
<td>List of positions (e.g., chair of committee, program organizer)</td>
</tr>
<tr>
<td><strong>Growth and leadership</strong></td>
<td>List of positions (e.g., chair of committee, program organizer)</td>
</tr>
<tr>
<td><strong>Publications related to service</strong></td>
<td>List of refereed publications and non-refereed publications</td>
</tr>
<tr>
<td><strong>Dissemination of results of service</strong></td>
<td>List of presentations, workshops, and reports</td>
</tr>
</tbody>
</table>

*University service is necessary for promotion and/or tenure. It qualifies as professional if it is documented as intellectual work that relates to the discipline or to the mission of the university. For example, the economist on the task force charged with revising university revenue distribution policies may be performing professional service but the English professor would be engaged in university citizenship.*
## SUGGESTED STANDARDS FOR EVALUATING PROFESSIONAL SERVICE

<table>
<thead>
<tr>
<th>Type</th>
<th>Unsatisfactory</th>
<th>Satisfactory</th>
<th>Highly Satisfactory</th>
<th>Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>University Service</strong></td>
<td>No evidence of activities or results</td>
<td><strong>Citizenship:</strong> Routine department expectations</td>
<td>Accompanied by independent testimony of value of work (e.g., letter from the committee chair; acceptance by Faculty Council)</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work</td>
</tr>
<tr>
<td></td>
<td>Evidence on outcomes of collaborative work, but no evidence of individual contribution</td>
<td>Chair’s determination that service is more than mere participation</td>
<td>“wrote a policy that was approved by committee”</td>
<td>Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
<tr>
<td></td>
<td>No review by others</td>
<td>Noted in CV, but not in promotion and tenure document</td>
<td>“not required or expected”</td>
<td></td>
</tr>
<tr>
<td></td>
<td>No evidence on how service work is consistent with professional development or goals</td>
<td></td>
<td>Played a major role in initiative over a period of time that contributed to campus or unit goals, with independent evidence of significance, role, impact, and effective communication to others</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Poor performance on service activities</td>
<td></td>
<td>Played a major role in an initiative over a period of time that contributed to discipline’s goals or organization’s mission, with independent evidence of significance, impact, role, and effective communication to others</td>
<td></td>
</tr>
<tr>
<td><strong>Service to Discipline</strong></td>
<td>No evidence of activities or results</td>
<td><strong>Activities:</strong> routine, required, or expected</td>
<td>Accompanied by independent evidence of success, impact (e.g., ratings by participants)</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work</td>
</tr>
<tr>
<td></td>
<td>Evidence on outcomes, but no evidence of individual contribution</td>
<td>“organized a workshop series for conference that was successfully offered”</td>
<td>“organized a workshop series for conference that was successfully offered”</td>
<td>Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
<tr>
<td></td>
<td>No review by others</td>
<td>Played a major role in an initiative over a period of time that contributed to discipline’s goals or organization’s mission, with independent evidence of significance, impact, role, and effective communication to others</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>No evidence on how service work is consistent with professional development or goals</td>
<td>Some level of national peer-reviewed dissemination of scholarship is required</td>
<td>Played a major role in an initiative over a period of time that contributed to community goals, with independent evidence of significance, role, impact, and effective communication to others</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Poor performance on service activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Service to Community</strong></td>
<td>No evidence of activities or results</td>
<td><strong>Professional Activities:</strong> routine, required, or expected</td>
<td>Accompanied by independent evidence of impact</td>
<td>Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work</td>
</tr>
<tr>
<td></td>
<td>Evidence on outcomes, but no evidence of individual contribution</td>
<td>“chaired a subcommittee of the board that accomplished X, Y, &amp; Z”</td>
<td>“played a leadership role in developing the capacity of a community-based organization”</td>
<td>Awards and recognition that reflect on the significance and academic nature of the work have been received</td>
</tr>
<tr>
<td></td>
<td>No review by others</td>
<td>Played a major role in an initiative over a period of time that contributed to community goals, with independent evidence of significance, role, impact, and effective communication to others</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>No evidence on how service work is consistent with professional development or goals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Poor performance on service activities</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
IUPUI CURRICULUM VITAE FORMAT FOR PROMOTION AND TENURE DOSSIERS

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

ADDED: DMAI can be used to create a formatted Word CV. Choose “IUPUI CV format” from the Rapid Reports menu.

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

Name and Contact Information

EDUCATION:
POSTDOCTORAL
Institution Degree Date Awarded

GRADUATE
Institution Degree Date Awarded

UNDERGRADUATE
Institution Degree Date Awarded

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

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

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

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

PROFESSIONAL ORGANIZATION MEMBERSHIPS:
Organization Inclusive Dates

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

SERVICE
Award Name: Granted By: Date Awarded:

OVERALL/OTHER
Award Name: Granted By: Date Awarded:

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

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

UNDERGRADUATE
Course #: Short Title: Format: Role: Term: Enrollment:

GRADUATE
Course #: Short Title: Format: Role: Term: Enrollment:

POSTGRADUATE
Course #: Short Title: Format: Role: Term: Enrollment:

CONTINUING EDUCATION
Course #: Short Title: Format: Role: Term: Enrollment:

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

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

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

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

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

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

INVITED PRESENTATIONS – TEACHING
LOCAL
Title Organization Date

REGIONAL
Title Organization Date

NATIONAL
Title Organization Date

INTERNATIONAL
Title Organization Date

RESEARCH/CREATIVE ACTIVITY:

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

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

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

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

SUBMITTED BUT NOT FUNDED RESEARCH GRANTS/FELLOWSHIPS
Title Granting Agency Role % Effort Amount Dates
## Invited Presentations - Research

**Local**
- **Title**
- **Organization**
- **Date**

**Regional**
- **Title**
- **Organization**
- **Date**

**National**
- **Title**
- **Organization**
- **Date**

**International**
- **Title**
- **Organization**
- **Date**

## Service:

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

### University Service:

- **Department**
  - **Activity**
  - **Role**
  - **Inclusive Dates**

- **School**
  - **Activity**
  - **Role**
  - **Inclusive Dates**

- **Campus**
  - **Activity**
  - **Role**
  - **Inclusive Dates**

- **University**
  - **Activity**
  - **Role**
  - **Inclusive Dates**

### Professional Service:

- **Local**
  - **Organization**
  - **Activity**
  - **Inclusive Dates**

- **Regional**
  - **Organization**
  - **Activity**
  - **Inclusive Dates**

- **National**
  - **Organization**
  - **Activity**
  - **Inclusive Dates**

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

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

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

ACTIVE SERVICE GRANTS/FELLOWSHIPS

COMPLETED SERVICE GRANTS/FELLOWSHIPS

PENDING SERVICE GRANTS AND FELLOWSHIPS

SUBMITTED BUT NOT FUNDED SERVICE GRANTS/FELLOWSHIPS

INVITED PRESENTATIONS – SERVICE

LOCAL

<table>
<thead>
<tr>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
</tr>
</thead>
</table>

REGIONAL

<table>
<thead>
<tr>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
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</table>

NATIONAL

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<tr>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
</tr>
</thead>
</table>

INTERNATIONAL

<table>
<thead>
<tr>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
</tr>
</thead>
</table>

PUBLICATIONS: List all publications in a format consistent with your disciplinary style standards (e.g. APA), listing all authors in the order in which they appear in the publication. **Bold your name in citations where multiple authors are listed.** All works must be retrievable. Sort publications by the following categories: Teaching, Research/Creative Activity, Service and also by refereed and non-refereed. Separate articles, proceedings papers, books, book chapters, invited reviews, letters to the editor, editorials, book reviews, invited commentaries and abstracts (including professional standards, protocols, software, multimedia presentations, films or videos and other scholarly/creative works designed for electronic technologies). **Mark in-rank publications with an asterisk * and those as a mentor with a dagger †.**

The nature and extent of the your contribution should be presented in the candidate’s statement or in the documentation of teaching, research/creative activity or service and not in the CV. List only works that are published, accepted or “in-press.” Work submitted, under editorial review or in preparation should not be listed but rather may be reported in the candidate’s statement. Candidates for the Three-Year Review and for promotion to associate professor should briefly
annotate entries to explain the nature and extent of their contribution. If additional explanatory information is needed, include this in an appendix to the dossier.

TEACHING
Refereed

Non-refereed

RESEARCH/CREATIVE ACTIVITY
Refereed

Non-refereed

SERVICE
Refereed

Non-refereed

(Date) __________________ (Signature of Candidate)
IUPUI CHIEF ACADEMIC OFFICER’S COMMENTS REGARDING OUTSIDE LETTERS

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

Ordinarily, chairs should solicit outside letters. However, chairs may delegate this responsibility to another member of the department, such as the chair of the primary committee, in accord with established departmental or school procedures. In most instances, the candidate should not be involved in the process of identifying external evaluators, with two exceptions: 1) the candidate should be allowed to list those he or she would definitely not want to serve as an external reviewer, and 2) the candidate may provide a list of key scholars in the field if these are not known to the chair or the chair’s designee. Generally, the candidate should not provide any outside letters. If outside letters are added by the candidate, these must be clearly designated as letters of reference and candidates should recognize that letters solicited by them do not have the same value as letters solicited by the chair or dean; candidate-solicited letters should be placed in the candidate sections either within the 50 pages or within the relevant appendix subfolder i. The value of external assessment letters is greatly enhanced by the objectivity and credibility of the author. Care should be taken to avoid relying on persons closely affiliated with the candidate.

Please consider these points:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

16. Electronic letters of reference are acceptable if they have been verified; however, they should still be signed, dated and on letterhead.
EXTERNAL REFEREE LIST

EXTERNAL REFEREE LIST FOR [Candidate’s Name]

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

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

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

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

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

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

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

TO: ___________ IUPUI Administrator’s Name
FROM: ___________ External Reviewer’s Name

SUBJECT: _______ Relationship to Candidate

CANDIDATE: _______ Faculty Member up for P&T’s Name

Relationship to the candidate and his/her work:

1. Past and/or present student, trainee, or colleague at the same institution at
   which you had a direct or significant role in their development
   ____ Yes ____ No

2. Family or close friendship
   ____ Yes ____ No

3. Co-authored scholarship work/grants in the last five years (with the exception of
   very large national clinical trials where multiple authors have a very distant
   relationship or in the case of serving on national research or service panels)
   ____ Yes ____ No

4. Other, please specify:
   _______________________________________________________________________
   _______________________________________________________________________

Knowledge of candidate’s work primarily based on:

1. His/her publications and CV
   ____ Yes ____ No

2. Scholarly presentations
   ____ Yes ____ No

3. Personal knowledge and discussions
   ____ Yes ____ No

4. Participated on review panels (study section, advisory boards, etc.)
   ____ Yes ____ No

____________________________________________________________________________

____________________________________________________________________________

_________________________________________ ______________________________
External Reviewer’s Signature Date
SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION FOR CLINICAL FACULTY

(Schools may develop their own letters, but they should use the same format and general content to contact all persons asked to provide evaluations. Pay special attention that the letter asks the reviewers to comment on the appropriate area of excellence [or highly satisfactory performance in teaching and service for a balanced case] being sought by each specific candidate.)

Dear__________________:

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

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

Please comment on Professor ________________’s scholarly work in ________________ (the area of excellence). [OR: Please comment on Professor ________________’s scholarly work in teaching as well as service]. We welcome your evaluation of the quality of the publications and journals that have been listed, as well as comments on any creative work or other media. Comments on teaching might include your evaluations of course syllabi, examinations, other teaching materials, and publications on teaching, as well as any personal experience you may have of (his/her) teaching. Comments on service might include your evaluations of service activities and service materials as well as the candidate’s scholarship of service. We would also appreciate any comments you might care to make concerning Professor ________________’s contributions to professional organizations or to (his/her) discipline through professional service activities or publications.

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

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

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

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

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

Sincerely,
CANDIDATE REVIEW FORM

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

CANDIDATE PROFILE SUMMARY

<table>
<thead>
<tr>
<th>Candidate Name:</th>
<th>Primary Reviewer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Secondary Reviewer:</td>
</tr>
<tr>
<td>School:</td>
<td>Highest Degree:</td>
</tr>
<tr>
<td>Initial IUPUI Appointment Yr:</td>
<td>Year Highest Degree Achvd:</td>
</tr>
<tr>
<td>Current Rank:</td>
<td>Institution:</td>
</tr>
<tr>
<td>Year Current Rank Achvd:</td>
<td>Rank Sought:</td>
</tr>
</tbody>
</table>

Candidate for Promotion:  
Candidate for Tenure:  

Area of Excellence Declared by Candidate:

Prior Actions for Tenure

<table>
<thead>
<tr>
<th>Primary:</th>
<th>Dean:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit:</td>
<td>Department Chair:</td>
</tr>
</tbody>
</table>

Prior Actions for Promotion

<table>
<thead>
<tr>
<th>Primary:</th>
<th>Dean:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit:</td>
<td>Department Chair:</td>
</tr>
</tbody>
</table>

REVIEW SECTION

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

Summary Global Rank

Teaching:
- Excellent
- Highly Satisfactory
- Satisfactory
- Unsatisfactory

Research or Creative Activity:
- Excellent
- Highly Satisfactory
- Satisfactory
- Unsatisfactory

Professional Service:
- Excellent
- Highly Satisfactory
- Satisfactory
- Unsatisfactory

Reviewer's Recommendations

For Tenure: Yes  No
For Promotion: Yes  No
Is this a model dossier? Yes  No
Is this an exemplary case? Yes  No
## REVIEWER’S SUMMARY EVALUATION

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

### Summary Evaluation of Achievement

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

### I. TEACHING: SUMMARY EVALUATION OF ACHIEVEMENT

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

### II. RESEARCH/CREATIVE ACTIVITY: SUMMARY EVALUATION OF ACHIEVEMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Reviewer’s Comments on Research/Creative Activity:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>B. External Peer Evaluations</strong></td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td><strong>C. Scholarly Products</strong></td>
<td></td>
</tr>
<tr>
<td>1. Stature of journals/works/galleries</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Refereed</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Rate of productivity</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td><strong>D. Grants Received</strong></td>
<td></td>
</tr>
<tr>
<td>1. Number in rank</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>2. Total amount in rank</td>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>
### III. PROFESSIONAL SERVICE: SUMMARY EVALUATION OF ACHIEVEMENT

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

### IV. UNIVERSITY SERVICE

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

### V. DOSSIER OVERALL

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