IUPUI

Chief Academic Officer’s Guidelines
For Preparing and Reviewing Promotion and Tenure Dossiers

Extract:
General and Librarian-Specific Provisions

2019-2020

Wording that has been changed is in blue.
[ADDED] is included when an entirely new statement has been added to clarify or strengthen the advice for librarians.
References to “department” or “school” are interpreted in light of each librarian’s assignment and the IUPUI librarian procedures.
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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

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 Chief Academic Officer’s 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, 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. In accordance with the Indiana University Academic Policies, tenure is based upon the guidelines in effect and agreed to at the time of the appointment. Promotion is based on contemporary guidelines in effect at the time of application for promotion.
- Each 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.

**DISTINCTIONS BETWEEN PROMOTION AND TENURE**

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

**Tenure**

The *Indiana University Academic Policies* statement on tenure emphasizes an implicit reciprocal commitment between tenured faculty members and the university. The university provides academic freedom and economic security; faculty members maintain high standards of excellence in their work. The university works to ensure safeguards to academic freedom through employment security, while the faculty member or librarian works to fulfill the commitment demonstrated during the probationary period with respect to continued growth and productivity.

- Tenure is based on a documented record of achievement that meets defined standards for the department, school, and campus, together with evidence and a plan that demonstrates the level of achievement that is likely to continue and grow. Tenure acknowledges achievement in light of its promise for the future.
- Tenure is local (i.e., campus specific) and faculty/librarians who have tenure are expected to contribute in concrete, demonstrable ways to the continued development of IUPUI as an academic community.
- Tenure is awarded at the campus level, not at the department or school level, even though tenure is specific to a unit.
- The safeguards of tenure are preserved at the campus level and tenured faculty/librarians thus accept a responsibility to the campus as well as towards the university.
- Some faculty members—most notably those in the School of Medicine—may be assigned to other campuses, yet their tenure is sited at IUPUI. Due to the unique mission of such programs, faculty members maintain their academic community through their association with the IUPUI campus and are subject to the policies and procedures of the IUPUI campus even if the principal site of their work is elsewhere.
- Tenure is the occasion to renew a personal commitment to achieve the promise of the probationary period and to accept the responsibility of membership in the academic community of IUPUI.

**Promotion**

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

- Promotion is recognition of achievement.
- For probationary tenure-track candidates, promotion to the associate level is normally sought toward the end of the probationary period in conjunction with the tenure decision.
- Both tenure-track and non-tenure track candidates may seek promotion in rank when their achievements warrant this recognition. The *Indiana University Academic 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 AND/OR TENURE**

Preparation for promotion and/or tenure begins in the first year at IUPUI. Consult both the IUPUI Chief Academic Officer’s 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 and tenure review in the
sixth year; however, much of the advice is applicable to faculty and librarians in all tracks and ranks. The timeline may be modified following Indiana University policies and individual candidates’ circumstances.

Year 1 and 2:

- Create a collection system for evidence of activities in performance, research and creative activity, and service. Collect and organize everything, ranging from syllabi to grant applications (whether successful or not) to results of committee work. In addition to being useful for annual reports, these early materials provide a basis for analysis of improvement.
- [ADDED: Create and maintain a file of position descriptions, against which “performance” is measured. Include specific dates and details of changes.]
- Preferably with the advice of the chair, identify a mentor who can guide you through the processes leading to promotion and/or tenure, and orient you to departmental expectations. Ideally, this person should be at senior rank.
- [For librarians, performance is the primary area of excellence.] You are strongly encouraged to identify your secondary area of excellence at this time. Bear in mind that for promotion and/or tenure reviews you must also document at least satisfactory progress in the other area
- [If you are involved in teaching], Arrange peer [and student] 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.
- Scholarly dissemination of your work is required to achieve satisfactory or greater level in professional development,
- 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 and/or tenure. 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, service, and professional development] is required for continued probationary reappointments.
- Prepare for the three-year review.

Year 3:

- The three-year review provides an opportunity for librarians, primary/departments, and/or unit/schools to take stock of a tenure-probationary candidate’s progress toward promotion and tenure.
- Continue all the above activities while you begin to analyze and document progress on your work in terms of improvement and achievement in relation to primary/department criteria, unit/school criteria, university criteria, and the Chief Academic Officer’s Guidelines.
- Your personal statement for the three-year review also provides an opportunity to reflect not only on your work, but also on the focus that is emerging in your work. This focus will provide the coherence to your work that should shape your efforts between now and the time of your candidacy for promotion and tenure.
- By this time, you need to have a well-established record of performance and have selected a secondary area (professional development or service).
- Analyze teaching feedback to identify key themes and how they point to teaching achievements or areas for further attention.
- Analyze your scholarly dissemination (and grant, if applicable) record in relation to department norms and expectations. [ADDED: Capture evidence of impact.]
- You will receive feedback on your three-year review from your primary committee, your chair, and your dean. Incorporate that advice into a plan to present a compelling case for promotion and/or tenure in your sixth year. Follow the advice you are given. Work closely with your mentor and your chair, and seek out appropriate supports at the campus level in developing your plan.
- If there are significant issues identified in the three-year review, ask for a fourth-year review for further guidance and to update your plan.
- Be responsive to advice given in your annual reviews, paying special attention to progress in your area of excellence. Satisfactory performance in your areas of responsibility is required for continued probationary
reappointments.

Year 4:
- Ensure that your position description is appropriately updated.
- Address any issues identified in the three-year review.
- Be responsive to advice given in your annual reviews.

Year 5:
- This is the year you begin to prepare your dossier. If you have kept records from the start of your academic career, you should be in excellent shape to analyze your progress and present your case.
- Be sure to attend the workshops on promotion and/or tenure this year in your primary/department and/or unit/school as well as at the campus level. Your perceptions and understanding will be different from what they were your first year at IUPUI, and your needs more focused, so you will probably get much more immediately useful information at these workshops.
- [ADDED: Ascertain the unit timeline for submission of materials for external reviewers, and for submitting the full 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 performance, but also provides substantive evidence for beyond satisfactory achievement in your secondary area and satisfactory in the tertiary area. 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.
- Confidential personal and/or medical information should not be included in your dossier. Reasons for approved tenure-clock extensions you may have received will not be considered in the evaluation of promotion and/or tenure.
- You are not to contact potential external reviewers.
- You are asked to provide to the department chair and primary committee, the reviewer comments for any grants that you submitted that were not funded. These can be put in the appendices.
- Be responsive to advice given in your annual reviews.

Year 6:
- Take a breather, and then begin your next phase of scholarly work.
- You will be notified at each stage of your dossier’s consideration. DO NOT attempt to communicate with or influence any individuals who are involved in the various levels of review while the dossier review is in process. It is considered an ethical breech and will be dealt with accordingly.
- Be familiar with your options if you have concerns about the evaluation of your dossier at any stage. These policies and procedures are outlined in the Indiana University Academic Policies.

Department Chair (or Designee) Responsibilities and Recommended Timeline

While candidates are responsible for documenting that they have met the standards and expectations for promotion and/or tenure, 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 expectations for tenure or promotion to associate and full rank 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. [ADDED: For tenure cases, maintain a copy of the standards in effect when the candidate was hired.]
- Develop a system of departmental peer review that ensures each candidate has several opportunities for peer review prior to their candidacy for promotion and/or tenure.
- Provide candid advice throughout the probationary period and assist the candidate in organizing the
materials needed for the dossier.

Year 1 and 2 of candidate appointment:

- Ensure that each new librarian has a discipline-appropriate mentor related to the candidate’s area of excellence who is preferably at a rank higher than the candidate.
- Meet individually with each new librarian to discuss departmental expectations for promotion and/or tenure. Provide new faculty members with a copy of the departmental expectations.
- Ensure that each new librarian 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 librarians 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 is required for continued probationary reappointments.
- Provide guidance for the librarian to select a secondary area appropriate to the department’s expectations; all librarians have performance as a primary area.

Year 3 of candidate appointment:

- Ensure that each tenure-probationary candidate understands the function of the three-year review.
- Ensure that the three-year review is carried out following IUPUI Faculty Council policy and procedures including review of the candidate by primary/department and/or unit/school committees (as applied by particular requirements of the primary/department, unit/school, or library).
- Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure, with specific guidance about any issues or concerns that require attention.
- Ensure that the declared areas [(performance, secondary and tertiary areas)] are addressed. Satisfactory performance in the candidate’s areas of responsibility is required for continued probationary reappointments.
- Ensure that a copy of the completed three-year review is sent to the IUPUI Office of Academic Affairs by May 1.
- If the candidate’s three-year review revealed significant issues, encourage the candidate to seek a fourth-year review or conduct one if required by current school policies.

Year 4 of candidate appointment:

- Ensure that the candidate has access to the resources necessary to address any concerns raised in the three-year review.
- If requested by the candidate or required in current school policies when the three-year review revealed significant issues, conduct a fourth-year review.
- Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure and that they receive specific guidance about any issues or concerns that require attention.
- Ensure that the librarian is developing appropriately in performance and in the secondary and tertiary areas.

Year 5 of candidate appointment:

- Ensure that candidates being reviewed receive an annual written assessment of their progress toward promotion and/or tenure and that they receive specific guidance about any issues or concerns that require attention.
- 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 performance requires peer review by persons outside the local context who can place the individual’s accomplishment within the larger academic and disciplinary context. The same expectations of rigorous peer review by qualified librarians apply to all candidates. Department chairs should give special attention to identifying external evaluators who can assess the impact of an individual’s activities in professional development or service if one of those areas is the secondary area.
- 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. Identify clearly, and
provide unit-specific definitions, for performance, professional development, and service.
  - 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. 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.
  - Occasionally, a candidate decides to change the areas (secondary, tertiary) after external
reviews have already been solicited. In these cases, reviewers should be notified of the change
and provided supplementary evidence, if needed. All communications should come from the
official requesting party, in most cases, the dean or chair.
  - 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.

[MODIFIED/ADDED: Use an appropriate template to solicit letters. It may be customized to fit the
candidate’s specific areas of focus; it should be the same for all candidates who have the same areas of
focus.] Advice on the solicitation of external assessment letters for librarians can be found in the Library
Faculty document “Letters in Promotion and/or Tenure Dossiers FAQs”.
  - Make sure that the primary committee complies with all of the requirements found in the Primary and
Unit Level Promotion and/or Tenure Committees Responsibilities section below.
  - If the primary/department committee does not have librarians 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. Such a committee should be composed in consultation with the duly
constituted primary committee and should reflect knowledge and skill areas 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’ dissemination and reputation in their field,
the quality of these invited presentations should be addressed at the departmental level.

Year 6 of candidate appointment:

- 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 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, research and creative activity, or professional service
of the candidates, including the quality of electronic publications. This assessment is
required. Stature may be reflected by acceptance rates, the nature of peer review (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.

- [ADDED: If grant activity is essential for performance or for a secondary area,] review the candidate’s unsuccessful grant applications and interpret the reviewers’ comments in a short assessment. The analysis of the overall pattern of grant success should be included in the department chair’s vote letter for promotion and/or tenure. This grant assessment is required if applicable.

- Compose a letter of evaluation of the candidate’s case and recommendation for action and enclose this in the dossier. (This letter is waived if the department chair does not hold tenure and/or a rank equal to that sought by the candidate.) Include the following:
  - Relationship of candidate’s evidence of achievement, to departmental norms and expectations.
  - Indications of professional or disciplinary benchmarks used in the field and relevant to the recommendations being made by the primary committee and the 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 performance and beyond satisfactory and satisfactory in the other areas.

- If the candidate holds a joint or adjunct appointment in another school/unit and that joint appointment represents a significant investment of the librarian’s intellectual activities, include at least a letter of recommendation from the appropriate chair, director, or dean of that school/unit.

- 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. In a tenure case, at the first level where there have been negative votes, (if applicable) discuss the candidate’s right and the process for reconsideration. This must be done in a timely manner and prior to the next level of review.

- Facilitate exchanges between the unit/school committee and the primary/department committee that might be necessary during the unit/school committee’s deliberations.
Dean (and Libraries Personnel Officer) Responsibilities

• At the time of the candidate’s three-year review, ensure that a copy of the completed review is submitted to the IUPUI Office of Academic Affairs by May 1.

• 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 that all tenure-probationary candidates and 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.

• 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.

• When divergent evaluations of a dossier result in different recommendations on tenure, the unit committee may wish to consult with the primary committee and/or department chair. The dean should ensure that such consultation, when necessary, has occurred before the dean considers a case. The consultation should note the relative importance of criteria, principles, or evidence used in the evaluation that led to the contrary recommendation. The consultation must be noted in the unit committee’s report, including notice of whether or not the vote of a committee was changed as a result. When there are divergent evaluations with respect to promotion, the unit committee should provide feedback to the primary committee. The report from each committee should account for negative votes based on committee discussions as opposed to submitting a minority report, which is not allowed. The reports should be written with sufficient detail to fully review the candidate’s qualifications. It is strongly recommended that the letter address the criteria as listed in the Reviewer’s Summary Evaluation.

• As noted earlier with regard to the 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.

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

• 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 area of performance and validate that the other areas have met criteria. 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:
  o The school/unit committee chair should record the committee’s final vote in the vote record and
upload the school/unit committee’s report.
  o 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, “beyond satisfactory” is used for the associate librarian’s secondary area of review and “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.
- Clinical-track faculty cannot serve on promotion and/or tenure review committees for tenure track faculty.
- Those voting for a promotion must at least hold the rank being sought by the candidate. If committee members at lower rank than the candidate are members of a primary or unit committee, they may be present for the discussion and participate up to the point of vote.
- Those voting for tenure must hold tenure.
- The report from each committee should account for negative votes based on committee discussions as opposed to submitting a minority report, which is not allowed. The report should be written with sufficient detail to fully review the candidate’s qualifications. The committee chair gives a copy of the summary letter to the candidate. Have the candidate sign and date for receipt of his/her copy of the letter.
- The primary committee is asked to consider reviews of unsuccessful grant submissions if grants are required for performance or for substantiating other areas. 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 tenure-track/tenured librarians 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 performance and in other areas as applicable.

**Candidate Sections**

- Candidate’s statement
- Curriculum Vitae
- Performance
- Professional Development
- Service
- Appendices - available in eDossier as subfolders
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. Reasons for approved tenure-clock the candidate may have received will not be considered in the evaluation of promotion and/or tenure.
- These sections contain the following:
  - **Review letter and vote from the dean**
    - Dean's recommendation regarding promotion and/or tenure and a summary evaluation of the candidate's professional activities (including performance and professional development for librarians). This evaluation should be dated, signed and printed on letterhead,
    - If the candidate holds a joint appointment in two schools/units in which tenure is being sought or has been awarded:
      - One unit/school will be designated as the primary unit in the letter of appointment (if the appointment letter does not designate a primary unit, the decision about which school/unit will be considered the primary unit for the promotion and/or tenure process must be made prior to the dossier being assembled).
      - The dean of the secondary school/unit must provide a letter for the dossier with his or her recommendation on the candidate, perhaps in consultation with the promotion and/or tenure committee of the secondary primary school/unit. This evaluation should be dated, signed and printed on letterhead.
    - If the candidate holds an adjunct appointment in another school/unit, the dean of the secondary unit/school 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 librarian's performance, professional development, and service. This evaluation should be dated, signed and printed on letterhead,
    - If the candidate holds a joint appointment in two schools/units in which tenure is being sought or has been awarded:
      - One unit/school will be designated as the primary unit in the letter of appointment (if the appointment letter does not designate a primary unit, the decision about which school/unit will be considered the primary unit for the promotion and/or tenure process must be made prior to the dossier being assembled).
      - The promotion and/or tenure committees in both schools/units and departments may be given an opportunity to conduct a full review of the candidate, with the understanding that the input of the secondary school/unit becomes part of the deliberations of the primary school/unit.
    - 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/or tenure — and a summary evaluation of the teaching, research and creative activity, and service in relation to departmental norms and expectations. This evaluation should be dated, signed and printed on letterhead.
    - For schools with official departments only, if a chair letter will not be included because the candidate is the chair, the chair is of a lesser rank than a candidate or for another reason, please include a note stating the reason no chair letter will be included as a placeholder.
    - 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 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 units that do not have this level of review, this section will be omitted.

**o 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.

**o 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—performance, professional development, 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.

**o Assessment of dissemination outlets**

- 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.
- Department or school/unit evaluation of the stature of the journals in which the publications appeared, the museums or galleries showing creative work, or other venues for disseminating the results of performance, professional development, or service, must be included. Whenever available, the acceptance rates (or other evidence of stature or quality) should be noted. Avoid abbreviations; reviewers outside the candidate’s field are not likely to be familiar with them. In instances where a candidate is working in an interdisciplinary field and is publishing in journals or media other than the normal disciplinary publications, care should be taken to explain the nature, quality and role of the journals. If the published work is of demonstrably high quality, the fact that a journal is not (yet) highly ranked or even recognized within a discipline should not by itself be grounds for disqualifying or devaluing the publications.
  - **The actual assessment must be 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 performance, professional development, 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 performance, as a section introduction.
  - Candidates are cautioned to describe their work in clear language that can be understood by readers
from other disciplines.

o The Candidate’s Statement is a place for reflective commentary focused on the criteria for promotion and/or tenure.

o 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.

o 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.

o 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.

o Candidates should be careful to provide clear and sufficient information about their individual roles in collaborative projects, publications, presentation, or grants.

o As appropriate, the candidate should discuss their grant history including their success and commentary regarding grants that were submitted but not funded.

o 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.

o Candidates should especially address their own assessment of the impact, significance or value of their work to their discipline or profession, to the unit and campus, and to society as a whole.

o Candidates should also indicate the prospects for continued personal development in their defined areas of professional activity.
  - Librarians should indicate the prospects for maintaining excellent performance and for continuing to contribute to their profession through their engagement in professional development and service activities.

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

o The candidate should not include any confidential personal medical information in their dossier. Tenure-clock extensions related to any approved medical leave are not be considered in the evaluation of promotion and/or tenure.

• Curriculum Vitae

  o A copy of the candidate’s current curriculum vitae prepared in accord with the standard format (see Appendices).

  o The CV is not part of the 50-page limit.

  o [ADDED: Candidates must determine and label accomplishments under the appropriate category (performance, professional development, and service)] CURRENT WORDING DOES NOT ADDRESS LIBRARIAN LABELING]

• Performance

  o Librarians: Documenting Performance

  The Indiana University Academic Policies require that the primary area of excellence for every librarian be performance. This section consists of supporting documentation related to librarian performance. Any scholarship related to performance is considered librarian professional development.

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

  - **A Statement on Performance describing performance activities and their impact is expected.** The statement should be a narrative that is a maximum of two (2) single-spaced pages analyzing the librarian performance area. When performance is highly repetitive, as is often the case for librarians, candidates should comment on the cumulative impact of the repeated activities. [ADDED: Alternatively, the librarian can make a 7 page candidate statement.]

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

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

Professional Development
- Documents in this section count toward the 50-page limit on the dossier.
- Librarians: Documentation of Professional Development
  Librarians must select a secondary area for promotion and/or tenure in addition to performance, which is always the primary area of excellence. If professional development is selected, a Statement on Professional Development describing the impact of activities in this category is expected. The statement should be a narrative that is a maximum of two (2) single-spaced pages analyzing the librarian’s professional development.

Librarian Professional Development includes all scholarship (including any scholarship of performance, professional development, and service). [MAY BE REVISED.]
- Documentation may take many forms, such as research (both applied and theoretical), publications, or presentations to professional or disciplinary groups.
- Documentation should include a definite continuing program of professional development that advances ideas, knowledge, and technical ability to the whole profession and academic life, including internal and external peer review. Annual reviews may also be included.

Service
- Documents in this section count toward the 50-page limit on the dossier.
- Librarians: Documentation of Service
  Librarians must select a secondary area for promotion and/or tenure in addition to performance, which is always the primary area of excellence. If service is selected, a Statement on Service, describing the impact of activities in this category is expected. The statement should be a narrative that is a maximum of two (2) single-spaced pages analyzing the librarian’s service. The notion of professional service, as it is applied to faculty, is seldom applicable to librarians since ‘professional service’ is more typically an aspect of librarian performance. Nonetheless, professional services that do not fall within the scope of a librarian’s position description may be included as evidence satisfying the service criterion. These may take the form of professional consulting or teaching.
- Documentation of service should focus on impact.
- A librarian must present evidence of satisfactory service for tenure and, if service is cited as an area of emphasis, evidence of continued improvement beyond the satisfactory level for promotion from assistant to associate librarian.
- Service to national or international organizations is highly encouraged, but not required.

Appendices
- Appendix folders are available in eDossier as subfolders under teaching, research and service for faculty and as subfolders under performance, professional development and service for librarians.
- 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 performance, professional development, and service is the bedrock on which promotion and/or tenure decisions are based.
- This evaluation should occur continuously across the career in the form of regular peer review.
- At intervals where candidates seek promotion and/or tenure, an additional level of peer review of the overall record is needed.
- These two types of peer review, ongoing review, and assessment of the overall record, are both important and subject to different considerations.

Ongoing Review
- Peer evaluation of teaching or professional service is expected for all candidates with teaching or professional service as an area of performance and it is required for those whose advancement is based on excellence in teaching or professional service. In the absence of a clear reason for the omission, dossiers without peer evaluations may be returned as incomplete. Ongoing peer review need not occur every year, but there should be a record of sustained peer review over the interval since appointment or last promotion.
- Ongoing peer review may be provided by local, national, or international peers.
- To be credible, peer reviewers must be identified according to their expertise or competence to comment.
- These peer reviews should be requested at intervals by the 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, and to demonstrate that each candidate for associate professor has achieved an emerging national reputation and that each candidate for full professor has achieved a sustained national reputation as demonstrated by a well-established and cumulative body of work in rank. Special circumstances where scholarly productivity has been interrupted can be considered. External assessment is a summative evaluation process with associated rank requirements.

As IUPUI grows in complexity and as the nature of faculty and librarian work evolves, expectations for the form of independent, external assessment of the overall record appropriate to each type of faculty appointment continues to be refined.
- External assessment (ordinarily in the form of a letter or verified email note) is expected of all candidates at all ranks. To 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.
- 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>Librarians</td>
<td>Advancement to full librarian</td>
<td>External independent peer review is required.</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>Advancement to associate librarian</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.</td>
</tr>
</tbody>
</table>

- Librarians should provide external reviewers with materials appropriate to their context, in addition to the standard information on responsibilities and publications and presentations documented in the vitae and candidate’s statement.
- 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, librarians 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>No later than spring of 5th year for tenure candidates</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>----------------------------------</td>
<td>--------------------</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>
<tr>
<td>Tenure takes effect</td>
<td>July 1 of the following 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

- For librarians, tenure is based on the entire professional career, including relevant professional positions held prior to coming to Indiana University.
- There is no defined period between associate and full rank, although most candidates seek full rank five to ten years after promotion to the associate rank. Occasionally, the period under consideration may vary due to: prior appointments at other institutions; the cumulative nature of some work that may build on earlier accomplishments; leaves that may have extended the probationary period; administrative roles; or earlier than normal consideration.
- When a case has special circumstances, candidates and department chairs should provide an explanation for any unusual conditions that may affect the review of the candidates' dossiers.
- Candidates who seek earlier than normal consideration must present evidence of achievements comparable to those who have served the full probationary period. Earlier-than-normal cases sometimes require special care to ensure equity of treatment.
- Some faculty may have a longer-than-normal probationary period. Because extensions are formally approved for important reasons, such as illness, childbirth or unavoidable delays in research infrastructure, candidates should not be held to higher expectations because of a longer-than-normal probationary period.
- Part-time faculty in eligible classifications may be considered for tenure and their probationary periods should be proportionate to those of full-time appointees. Agreements regarding the length of a probationary period for a part-time faculty member should be committed to writing in a MOU or letter of appointment.
- In considering candidates for tenure and/or promotion, where there are questions about time in rank, reviewers are reminded that tenure assumes an extended period of productivity and improvement. The purpose of the probationary period is to give candidates for tenure an opportunity to demonstrate their capacity for sustained excellence and an ability to adapt to changing conditions of their disciplines and the institution. In some cases, consideration of work completed elsewhere or prior to appointment to a tenure-track position may be appropriate. Regardless, the dossiers must present clear evidence of the candidate’s ability to contribute at the expected levels throughout his or her professional career.

Area of Excellence

- Librarians are obligated to maintain high standards of performance in the development of library services and in the communication of information and knowledge to others. Evaluations cover the areas of performance, professional development, and service. For tenure, performance must be excellent, and professional development and service must be satisfactory. Tenure is granted to those librarians whose professional characteristics indicate they will continue to serve with distinction. For promotion from assistant to associate librarian, performance must be excellent, and the candidate must demonstrate a level of achievement beyond satisfactory in one of the other two areas. The third area must be satisfactory. For promotion to full rank, the librarian must demonstrate superior performance and a continued significant contribution at the state, regional, national, or international level in either professional development or service. Performance in the third area must be satisfactory. Librarians must maintain high standards of professional conduct across all areas of responsibility.
- 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.

Reconsideration

- Under special circumstances, Indiana University policy allows for reconsideration. This policy applies only to tenure cases where a candidate receives a negative recommendation. A negative recommendation consists of a majority vote against awarding tenure rather than a single negative vote.
- In instances where a candidate wishes to add comments or materials that are relevant to the recommendations of a review, this addition of materials constitutes a request for reconsideration. Candidates should consult the "Policies Governing Reappointment and Non-Reappointment during Probationary Period" statement in the Indiana University Academic Policies. This policy states, in part, that the faculty member or librarian who believes that a recommendation or a decision that he or she not be granted tenure has resulted from inadequate consideration of professional competence or erroneous information may offer factual corrections and request reconsideration at the level at which the decision not to recommend tenure was first made.
- The request for reconsideration must be made within two weeks after the faculty member or librarian receives notification of the negative recommendation and before the review at the next level is completed.
- In the event that the new or corrected information provided by the candidate does not change the initial outcome at the level responding to reconsideration, a re-vote is not necessary.
- Reconsideration is not an appeals process but an opportunity to correct the record while review is still underway.
- Under unusual circumstances, reconsideration of promotion decisions may be permitted with the approval of the chief academic officer. The procedures noted above will be followed in such a situation.
- Nothing in the act of requesting reconsideration or being reconsidered precludes a candidate's later seeking a Faculty Board of Review.

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:
  o For Purdue faculty, recommendations regarding promotion are made to the President and Trustees of Purdue University while recommendations regarding tenure are made to the President and Trustees of Indiana University.
  o For Indiana University faculty and librarians, promotion and/or tenure recommendations are made to the President and Trustees of Indiana University.

A formal notice of final action is provided to faculty and librarians after the Trustees act on the President’s recommendations.
  o In instances where a candidate is not being recommended for promotion, this notification will ordinarily be the only notice of a negative decision.
  o Probationary faculty not recommended for tenure will also receive a notice of non-reappointment from the chancellor in addition to this notification.

INSTITUTIONAL VALUES
This section addresses the foundational values of IUPUI 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 maybe 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 medias 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 international peers, when appropriate.

**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.)
<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>Associate Professor Tenure Track</strong>&lt;sup&gt;2&lt;/sup&gt;</td>
<td>Teaching, Research and Creative Activity, or Professional Service</td>
<td>Satisfactory in areas not chosen for excellence as well as University Service as specified by the school Highly satisfactory in all three areas for a balanced case</td>
<td>Letters from independent&lt;sup&gt;5&lt;/sup&gt; peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship Emerging national reputation</td>
</tr>
<tr>
<td><strong>Professor Tenure Track</strong>&lt;sup&gt;2&lt;/sup&gt;</td>
<td>Teaching, Research and Creative Activity, or Professional Service</td>
<td>Satisfactory in areas not chosen for excellence as well as University Service as specified by the school Highly satisfactory in all three areas for a balanced case</td>
<td>Letters from independent&lt;sup&gt;5&lt;/sup&gt; peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of nationally and/or internationally disseminated and peer reviewed scholarship. A sustained national reputation as demonstrated by a well-established and cumulative body of work in rank. Special circumstances where scholarly productivity has been interrupted can be considered.</td>
</tr>
<tr>
<td><strong>Associate Librarian</strong>&lt;sup&gt;3&lt;/sup&gt;</td>
<td>Performance</td>
<td>Beyond satisfactory in either Professional Development or in Service and satisfactory in other area</td>
<td>Letters from independent&lt;sup&gt;5&lt;/sup&gt; peers outside unit on IUPUI campus</td>
<td>(No Additional requirements)</td>
</tr>
<tr>
<td><strong>Librarian</strong>&lt;sup&gt;4,6&lt;/sup&gt;</td>
<td>Performance</td>
<td>Excellence in either Professional Development - Research and/or Creativity or in Service and at least satisfactory in other area</td>
<td>Letters from independent&lt;sup&gt;5&lt;/sup&gt; peers, preferably in higher rank, at peer or higher institution</td>
<td>Record of superior performance as an associate librarian and attainment of state, regional, or national recognition in the library profession (Indiana University Academic Policies, UFC, 1978). Record of exceptional achievements in performance and a record of distinguished contributions to the university, profession, or community in the secondary area of excellence. Quality is considered more important than mere quantity (Library Faculty Handbook, Promotion and Tenure Criteria for Librarians, 2004).</td>
</tr>
</tbody>
</table>

<sup>1</sup> 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.

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

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

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

<sup>5</sup> Independent is defined in the section on External Assessment.

<sup>6</sup> For more detailed information regarding evaluating librarian performance, please review the “Suggested Standards for Evaluating Librarian Performance.”
<table>
<thead>
<tr>
<th>Advancement to</th>
<th>Area of Excellence (^1)</th>
<th>Other Areas of Performance</th>
<th>Expectation for External Peer Review of Case</th>
<th>Standard for Excellence (over and above record of quantity, quality, and impact of internal work)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Associate Professor</td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service Highly satisfactory in both areas for a balanced case</td>
<td>Independent(^2) peers external to IUPUI or department</td>
<td>Record of publicly disseminated and peer reviewed scholarship in area of excellence</td>
</tr>
<tr>
<td>Clinical Professor</td>
<td>Teaching or Professional Service</td>
<td>Satisfactory in other area and in University Service Highly satisfactory in both areas for a balanced case</td>
<td>Independent(^2) 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>
<tr>
<td>Senior Lecturer</td>
<td>Teaching</td>
<td>Satisfactory in University and Professional Service</td>
<td>Independent(^2) peers external to the IUPUI department or discipline</td>
<td>Record of publicly disseminated and peer reviewed scholarship in teaching</td>
</tr>
<tr>
<td>Associate Research Professor, Associate Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent(^2) peers external to IUPUI</td>
<td>Record of nationally and/or internationally disseminated and peer-reviewed scholarship and/or grants in research; evidence of substantial research contributions to the discipline</td>
</tr>
<tr>
<td>Senior Research Professor, Senior Scientist/Scholar</td>
<td>Research</td>
<td>Service expectations, if any, set by unit</td>
<td>Independent(^2) peers external to IUPUI</td>
<td>Record of sustained, nationally and/or internationally disseminated and peer reviewed scholarship and/or grants in research; evidence of independent work; evidence of substantial research contributions to the discipline</td>
</tr>
</tbody>
</table>

**DOCUMENTING PERFORMANCE IN IUPUI LIBRARIAN DOSSIERS**

<table>
<thead>
<tr>
<th>Evidence Required</th>
<th>Potential Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listing of major performance achievements and positions held</td>
<td>Evidence Required</td>
</tr>
<tr>
<td>Listing of major performance achievements and positions held</td>
<td>May be referenced in all of these sources</td>
</tr>
<tr>
<td>Evaluation of performance</td>
<td>All of the above sources may contain evidence of the effectiveness of the librarian’s performance</td>
</tr>
<tr>
<td>Evaluation of teaching when teaching is part of job assignments</td>
<td>See grid for Teaching</td>
</tr>
<tr>
<td>Continuing efforts to enhance performance</td>
<td>Above documents</td>
</tr>
<tr>
<td>Performance Expectation</td>
<td>Indication in the materials submitted above (use to cross-check against materials supplied by candidate)</td>
</tr>
<tr>
<td>Contribution of librarian’s performance to library operations quality of services</td>
<td>All of the above; include a copy of the library’s mission statement</td>
</tr>
<tr>
<td>Assessment of contributions when more than one librarian is involved in a project</td>
<td>Specific notations in all of the above</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.

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.

<table>
<thead>
<tr>
<th>Name and Contact Information</th>
</tr>
</thead>
</table>

**EDUCATION:**

<table>
<thead>
<tr>
<th>POSTDOCTORAL</th>
<th>Institution</th>
<th>Degree</th>
<th>Date Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRADUATE</td>
<td>Institution</td>
<td>Degree</td>
<td>Date Awarded</td>
</tr>
<tr>
<td>UNDERGRADUATE</td>
<td>Institution</td>
<td>Degree</td>
<td>Date Awarded</td>
</tr>
</tbody>
</table>

**FURTHER EDUCATION:** (Advanced and Specialty Training, Fellowships, Institutes)

<table>
<thead>
<tr>
<th>Institution</th>
<th>Credential</th>
<th>Date Awarded</th>
</tr>
</thead>
</table>

**APPOINTMENTS:**

<table>
<thead>
<tr>
<th>ACADEMIC (i.e. academic appointments, including academic administrative roles)</th>
<th>Institution</th>
<th>Rank/Title</th>
<th>Inclusive Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>NON-ACADEMIC (i.e. administrative, hospital or corporate appointments, consultancies)</td>
<td>Institution/Entity</td>
<td>Title</td>
<td>Inclusive Dates</td>
</tr>
</tbody>
</table>

**LICENSURE, CERTIFICATION, SPECIALTY BOARD STATUS** (as applicable for discipline):

<table>
<thead>
<tr>
<th>Credential</th>
<th>Number</th>
<th>Inclusive Dates</th>
</tr>
</thead>
</table>

**PROFESSIONAL ORGANIZATION MEMBERSHIPS:**

<table>
<thead>
<tr>
<th>Organization</th>
<th>Inclusive Dates</th>
</tr>
</thead>
</table>

**PROFESSIONAL HONORS AND AWARDS:**

<table>
<thead>
<tr>
<th>TEACHING</th>
<th>Award Name</th>
<th>Granted By</th>
<th>Date Awarded</th>
</tr>
</thead>
</table>
RESEARCH
Award Name  Granted By  Date Awarded

SERVICE
Award Name  Granted By  Date Awarded

OVERALL/OTHER
Award Name  Granted By  Date Awarded

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

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

TEACHING:

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

UNDERGRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

GRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

POSTGRADUATE
Course #  Short Title  Format  Role  Term  Enrollment

CONTINUING EDUCATION
Course #  Short Title  Format  Role  Term  Enrollment

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

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

<table>
<thead>
<tr>
<th>ACTIVE TEACHING GRANTS/FELLOWSHIPS</th>
<th>Role</th>
<th>% Effort</th>
<th>Amount</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMPLETED TEACHING GRANTS/FELLOWSHIPS</td>
<td>Role</td>
<td>% Effort</td>
<td>Amount</td>
<td>Dates</td>
</tr>
<tr>
<td>PENDING TEACHING GRANTS AND FELLOWSHIPS</td>
<td>Role</td>
<td>% Effort</td>
<td>Amount</td>
<td>Dates</td>
</tr>
</tbody>
</table>

**INVITED PRESENTATIONS – TEACHING**

<table>
<thead>
<tr>
<th>LOCAL</th>
<th>Organization</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>REGIONAL</td>
<td>Organization</td>
<td>Date</td>
</tr>
<tr>
<td>NATIONAL</td>
<td>Organization</td>
<td>Date</td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>ACTIVE RESEARCH GRANTS/FELLOWSHIPS</th>
<th>Role</th>
<th>% Effort</th>
<th>Amount</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMPLETED RESEARCH GRANTS/FELLOWSHIPS</td>
<td>Role</td>
<td>% Effort</td>
<td>Amount</td>
<td>Dates</td>
</tr>
<tr>
<td>PENDING RESEARCH GRANTS AND FELLOWSHIPS</td>
<td>Role</td>
<td>% Effort</td>
<td>Amount</td>
<td>Dates</td>
</tr>
</tbody>
</table>

**SUBMITTED BUT NOT FUNDED RESEARCH GRANTS/FELLOWSHIPS**

| Title | Granting Agency | Role | % Effort | Amount | Dates |

### INVITED PRESENTATIONS – RESEARCH

<table>
<thead>
<tr>
<th>Type</th>
<th>Title</th>
<th>Organization</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOCAL</td>
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<tr>
<td>REGIONAL</td>
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<tr>
<td>NATIONAL</td>
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<td></td>
</tr>
<tr>
<td>INTERNATIONAL</td>
<td></td>
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</tr>
</tbody>
</table>

### 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:

<table>
<thead>
<tr>
<th>Type</th>
<th>Activity</th>
<th>Role</th>
<th>Inclusive Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>DEPARTMENT</td>
<td></td>
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<tr>
<td>SCHOOL</td>
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<tr>
<td>CAMPUS</td>
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<tr>
<td>UNIVERSITY</td>
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</table>

#### PROFESSIONAL SERVICE:

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

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

| ACTIVE SERVICE GRANTS/FELLOWSHIPS |
| Title | Granting Agency | Role | % Effort | Amount | Dates |
| COMPLETED SERVICE GRANTS/FELLOWSHIPS |
| Title | Granting Agency | Role | % Effort | Amount | Dates |
| PENDING SERVICE GRANTS AND FELLOWSHIPS |
| Title | Granting Agency | Role | % Effort | Amount | Dates |
| SUBMITTED BUT NOT FUNDED SERVICE GRANTS/FELLOWSHIPS |
| Title | Granting Agency | Role | % Effort | Amount | Dates |

INVITED PRESENTATIONS – SERVICE

| LOCAL |
| Title | Organization | Date |
| REGIONAL |
| Title | Organization | Date |
| NATIONAL |
| Title | Organization | Date |
| INTERNATIONAL |
| Title | Organization | Date |

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

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

Dear ____________:

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

For promotion to the rank of librarian from associate librarian at IUPUI, the candidate must meet established university criteria.

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

Secondarily: Either –

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

Or –

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

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

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

The 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.

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

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

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

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

| Candidate for Promotion:          |
| Candidate for Tenure:             |

| Area of Excellence Declared by Candidate: |

<table>
<thead>
<tr>
<th>Prior Actions for Tenure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary:</td>
</tr>
<tr>
<td>Dean:</td>
</tr>
<tr>
<td>Unit:</td>
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<tr>
<td>Department Chair:</td>
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</table>

<table>
<thead>
<tr>
<th>Prior Actions for Promotion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary:</td>
</tr>
<tr>
<td>Dean:</td>
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<tr>
<td>Unit:</td>
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<tr>
<td>Department Chair:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>REVIEW SECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Reviewer's Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Tenure:</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Is this a model dossier?</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>For Promotion:</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Is this an exemplary case?</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>
REVIEWER’S SUMMARY EVALUATION

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

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

I. TEACHING: SUMMARY EVALUATION OF ACHIEVEMENT

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Reviewer’s Comments on Teaching:</td>
<td></td>
</tr>
<tr>
<td>B. Peer Evaluations</td>
<td></td>
</tr>
<tr>
<td>1. Class visits by peers</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Peer review of materials</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>C. Scholarship</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>D. Student Evaluation</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>E. Effective and Appropriate Methods</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>F. Student Learning</td>
<td></td>
</tr>
<tr>
<td>1. Student outcomes/results</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. Clear course goals</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>G. Teaching Awards</td>
<td></td>
</tr>
<tr>
<td>1. State/national</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>2. University/campus</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>3. School/department</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>H. Plan for Increasing Future Teaching Effectiveness</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>I. Teaching Load</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>
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<tr>
<td>J. Was overall documentation adequate for forming a recommendation?</td>
<td>Yes [ ] No [ ]</td>
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II. RESEARCH/CREATIVE ACTIVITY: SUMMARY EVALUATION OF ACHIEVEMENT

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

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<tr>
<th>Criteria</th>
<th>Adequate Information in Dossier? (Check one)</th>
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<tbody>
<tr>
<td>A. Reviewer’s Comments on Professional Service:</td>
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<tr>
<td>B. Contributions/Scholarship</td>
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</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>C. Professional Service to Community</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>
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<tr>
<td>D. Regional/National/International Professional Organizations</td>
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</tr>
<tr>
<td>1. Offices held</td>
<td>Yes  No</td>
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<tr>
<td>2. Other professional service</td>
<td>Yes  No</td>
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<tr>
<td>E. Professional Service Load</td>
<td></td>
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<tr>
<td>1. Appropriate for dept/school</td>
<td>Yes  No</td>
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<tr>
<td>2. Appropriate for Emphasis</td>
<td>Yes  No</td>
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<tr>
<td>F. Was overall documentation adequate for forming a recommendation?</td>
<td>Yes  No</td>
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### IV. UNIVERSITY SERVICE

<table>
<thead>
<tr>
<th>Criteria</th>
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</thead>
<tbody>
<tr>
<td>A. Reviewer’s Comments on University Service:</td>
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<tr>
<td>B. Is there sufficient evidence of satisfactory University service?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>C. Is there sufficient evidence of high standards of professional conduct across teaching, research and creative activity, and service?</td>
<td>Yes  No</td>
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### V. DOSSIER OVERALL

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