



INDIANA UNIVERSITY

SCHOOL OF SOCIAL WORK

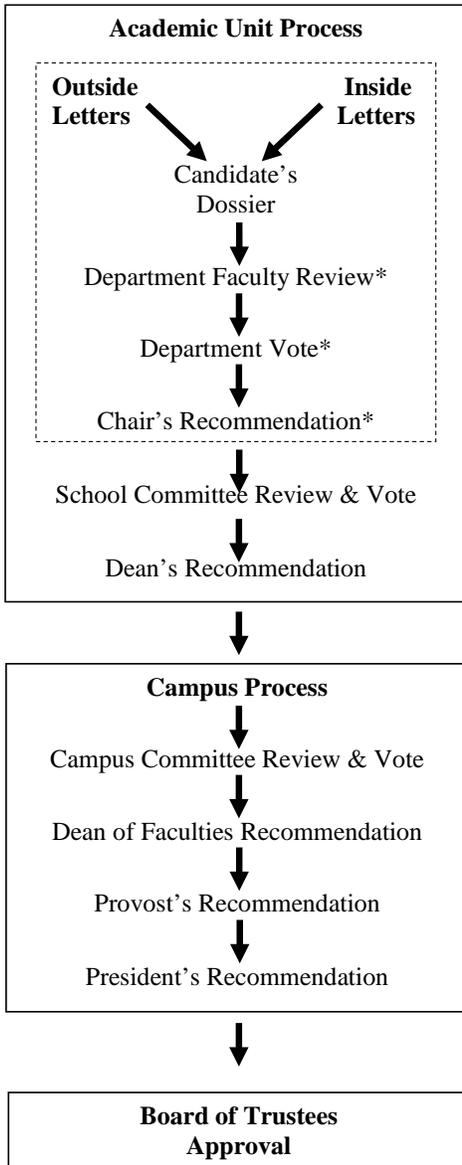
**THE RED BOOK:
GUIDELINES AND PROCESSES
FOR
PROMOTION & TENURE**

~~December~~DRAFT, May, 2013~~2~~

Revised by the
IUSSW Promotion & Tenure Committee: ~~December 2012~~April 2013,
~~IUSSW criteria~~Approved by the IUSSW Faculty Senate: May, 2013

Comment [BB1]: Pending such approval, of course.

Promotion and Tenure Process Chart



Year 5 Spring Semester:

Faculty member prepares and submits materials for external reviewers.

Office of the Dean solicits external reviews.

Year 6 Beginning of Fall Semester:

Faculty member submits dossier to chair (or dean of units without departments, such as Social Work).

The faculty member has the right to review all materials in the dossier and add new materials to it at any point in the process.

The faculty member has the right to be informed of any negative recommendation and appeal before consideration of the case at the next level.

End of Fall Semester:

Academic dean informs candidate of outcome of unit's evaluation and recommendation.

Mid-term Spring Semester:

Dean of the Faculties informs candidate of outcome of Campus recommendations (and advises candidate of rights to appeal if outcome is negative).

End of Spring Semester:

Candidates are informed of positive tenure decisions.

SOURCES OF PROMOTION AND TENURE INFORMATION

Information about promotion and tenure can be found in the following sources:

- **The main source for the IUPUI Office of Academic Affairs**
<http://academicaffairs.iupui.edu/>
- **IUPUI Dean of Faculties' 2012-2013 Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers**
<http://academicaffairs.iupui.edu/PromotionTenure/IUPUI-Guidelines>
- **The Indiana University Handbook**
https://www.indiana.edu/~vpfaa/academichandbook/index.php/Main_Page
- **A Guide for IUPUI Faculty: IUPUI Supplement to the IU Academic Handbook**
http://www.iupui.edu/~fcouncil/committees/handbook/supplement_final.pdf
- **IUPUI Promotion and Tenure Programs**
<http://academicaffairs.iupui.edu/PromotionTenure/Promotion--Tenure-Workshops>
- **IUPUI Sample Dossiers**
<http://academicaffairs.iupui.edu/PromotionTenure/Dossier-Samples>
- **Instructions for Creating PDF Portfolios**
<http://academicaffairs.iupui.edu/PromotionTenure/Resources> (scroll down to the section labeled “Dossier Construction Help”)
- **IUPUI Post-Tenure Review**
<http://www.iupui.edu/~fcouncil/documents/reviewenhance991202.htm>
- **IUN Promotion and Tenure Guidelines (for IUN campus faculty)**
http://www.iun.edu/~nwacadem/academic/faculty_info/pdf/PT%20Guidelines_final_4_2011.pdf

**INDIANA UNIVERSITY SCHOOL OF SOCIAL WORK
GUIDELINES AND PROCESSES FOR PROMOTION AND TENURE**

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**INDIANA UNIVERSITY
SCHOOL OF SOCIAL WORK**

**GUIDELINES AND PROCESSES
FOR
PROMOTION & TENURE**

Preamble

The principle of peer review mandates a process of evaluation that assures that all candidates for promotion and tenure be judged in a fair and relevant manner. This would seem to suggest that such judgments can only be made equitably within the context of the realities that give form and substance to an individual's particular profession or academic discipline. In accordance with the recommendations of the *Carnegie Foundation for the Advancement of Teaching*, the School of Social Work defines "scholarship" to include a range of activities that goes well beyond the traditional view of empirical research. Scholarship encompasses four separate but overlapping functions: "the scholarship of discovery; the scholarship of integration; the scholarship of application; and the scholarship of teaching" (Boyer, 1990).¹ This inclusive concept of scholarship is based on the assumption that all four of these functions are essential components of viable social work education, and as such, should be regarded with equal status. The intent is to affirm the distinctive contributions and talents of each faculty member in a manner that is uniquely suited to the mission of the School of Social Work.

The "scholarship of discovery" comes the closest to the traditional notion of research. It involves the production of new knowledge through a variety of quantitative and qualitative methods. It represents the process by which the body of knowledge that informs our professional practice is expanded and enriched.

The "scholarship of integration" provides the means by which knowledge is synthesized within and across professional and academic boundaries. It not only helps to overcome what some critics consider to be the reductionist tendency of theory driven research, but also provides a context within which new insights and meanings can be discovered via meta-analytical principles. Integration implies a multilateral approach to knowledge building which connects research to practice, practice to theory, and theory and practice to further research. It is reciprocal, convergent and synergistic in nature and provides the scaffolding to bridge the artificial boundaries created by specialization.

¹ Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching.

The “scholarship of application” is at the heart of professional social work practice. It operationalizes the driving imperative “to serve,” rather than merely “to know.” It goes beyond interpretation to implication. It requires the scholar to recast knowledge in functional or heuristic terms. Practice provides the crucible within which to test the efficacy of professional knowledge and connect theory to real-world problems. In addition, it provides a bottomless reservoir of experience to be investigated and synthesized through further discovery and integration. Application of knowledge is the essence of professional education, and as such, is recognized as a legitimate form of scholarship.

All faculty are familiar with the “scholarship of teaching.” For many, it represents the principal form of scholarship in which they engage on a regular basis. If the scholarship of application, or practice, represents the “heart” of the professional social work enterprise, then the scholarship of teaching provides the “life’s blood” of the professional process. It constitutes the means by which the fruits of discovery, integration and application efforts are transmitted to a new generation of scholarly practitioners. As Boyer notes, “In the end, inspired teaching keeps the flame of scholarship alive. Almost all successful academics give credit to creative teachers - those mentors who defined their work so compellingly that it became, for them, a lifetime challenge.”

Teaching is certainly not only the vehicle through which existing knowledge is transmitted to students, but it does provide the context within which critical thinking generates new ideas to be explored and debated in terms of their efficacy and implications for application to real world issues. As such, the spirit of inquiry that characterizes inspired research seems to originate from the same sense of wonderment and healthy skepticism that represents the hallmark of effective teaching.

While most academic institutions identify the general nature of the documentation that is to be considered as supporting evidence of an individual's application for promotion and/or tenure, rarely do they specify how the various forms of documentation are to be interpreted and applied in relation to any given unit, such as social work. Since the nature of academic units vary widely, it is reasonable to assume that the relative importance of different forms of supporting documentation should vary accordingly. For that reason, the School of Social Work has identified the specific kinds of documentation that it considers appropriate when qualitative judgments are being made regarding the relative merits of an individual's scholarly contributions (see Section VI, VII, and VIII in these Guidelines). It is also recognized that the nature of scholarship as manifested within professional schools (e.g., social work) should be judged somewhat differently than it is within the academic disciplines.

While the University community mandates that promotion and tenure be tied directly to a faculty member's performance in the areas of teaching, research and service, it is assumed that each school or academic unit is free to define (within limits) how these areas can best be evaluated and/or weighted within the context of the specific culture and mission of the school or unit in question. While the criteria for judging the quality of scholarship are by no means entirely unique to each profession or discipline, there exist sufficient differences to justify the position that each school retains the right to identify and define whatever distinctions do in fact exist. This requires that the faculty within the School of Social Work identify the kinds of documentation it considers to be the most compelling evidence in support of the various forms of

scholarship. In the final analysis, if scholarship is to be adequately assessed by peers, it must be presented in some tangible form capable of independent review.

The Indiana University-Purdue University Indianapolis *Guidelines for Promotion and Tenure* require that a candidate for promotion normally excel in at least one of the three traditional areas of teaching, research, or service, and be at least satisfactory in each of the other two, or “present a balance of highly satisfactory performance in all three areas sufficient to demonstrate comparable long-term benefits to the University.” It is incumbent upon the candidate for promotion and/or tenure to identify the specific area(s) of scholarship in which she or he is claiming “excellence,” and to provide tangible evidence ~~in that strongly supports of~~ the claims being made. The level of documentation varies in relation to the rank being sought. Normally, candidates applying for promotion to Associate Professor are expected to provide evidence to support a claim that they are well on the way to establishing an emerging national reputation. Candidates for Full Professor are expected to provide evidence to support a claim that they have attained a national reputation.

In the School of Social Work, the faculty do not adhere to the a priori assumption that research conducted by an individual faculty member is in some way inherently superior to research endeavors of a collaborative nature. While individual efforts are highly valued, in some instances, collaborative research initiatives may well provide a context for the production of more substantive scholarly products. The intent is to encourage and reward the forms of scholarship that contribute most to the body of knowledge that informs professional practice, and in so doing, enable faculty to draw upon their strengths, while at the same time learn from the strengths of their colleagues. Regarding any such collaborative work, however, the candidate must clearly indicate what role(s) he or she played in the endeavor.

Finally, the School concurs with Derek Bok (1990)² who cautions that the political realities of a post-cold war global economy dictate that “faculty need to engage in new kinds of research and professional outreach ... All this implies new faculty roles ... working in teams, working on real-world problems, writing for publics beyond one's peers.” As a corollary to this premise, Bok argues that universities would do well to pay special attention to the potential contributions of the “applied fields” such as social work. In this regard, it is the position of the School of Social Work that “applied or practice-sensitive research” be viewed of equal intellectual importance and rigor as its “basic research” counterpart.

² Bok, D. (1990). *Universities and the future of America*. Durham, NC: Duke University Press.

I. PARTNER CAMPUS POLICIES

The Indiana University School of Social Work (IUSSW) is administratively centered on the Indiana University-Purdue University Indianapolis (IUPUI) campus, and has Social Work and Labor Studies faculty positions on multiple campuses of Indiana University. At this point in time, tenure and promotion applications as well as third-year reviews of Labor Studies faculty on all campuses and Social Work faculty on all but one campus are administered through the IUPUI campus. The detailed guidelines and processes in this document reflect IUPUI and IUSSW policies. The exception concerns Social Work faculty on the Indiana University Northwest (IUN) campus. The current Memorandum of Understanding between IUN and IUSSW, signed in October 2011, includes the following statement regarding tenure and promotion (pp. 3-4):

Tenure and promotion: The IUN SW faculty will adhere to the promotion and tenure procedures and deadlines posted for the IUN campus. The Dean of the IUN CHHS will solicit evaluations from selected external reviewers, which become part of the dossier. Dossiers for tenure, promotion, and third year review will be routed as follows: SW Primary Review Committee, IUN SW director, IUSSW Dean (or his or her designee), CHHS Unit Committee, then to CHHS Dean. Under current IU and IUN procedures, dossiers are then routed to IUN Campus Promotion and Tenure Committee, IUN Executive Vice Chancellor for Academic Affairs, IUN Chancellor, IU President, and IU Board of Trustees.

The SW Primary Review Committee is comprised of a subset of the elected College of Health and Human Services committee and representation from the IUSSW Promotion and Tenure Committees, consistent with policies of the IUN campus with respect to rank and tenure status. The Primary Committee will be comprised of three faculty members, from IUN Social Work and IUSSW, to assure social work peer review. The Primary Committee is chaired by an IUN faculty member.

Recommendations by the SW Primary Committee, IUN SW Director, and IUSSW Dean (or his or her designee) are included in the dossier to be reviewed by the CHHS Unit Committee. IUN CHHS Dean and IUSSW Dean will confer to appoint at least one SW faculty member (either from IUN or from IUSSW) to the Unit Committee. IUSSW faculty would be expected to review only SW dossiers. IUN SW faculty would have full committee membership and service expectations.

The designated campus-wide committee is that of IUN. The Primary Review, the Unit Committee, and the IUN Campus Promotion and Tenure Committee will review social work candidates according to the IUSSW tenure and promotion guidelines/standards (Redbook) and IUN Promotion and Tenure Policies and Guidelines. The Redbook will be on file in the Office of the Vice Chancellor for Academic Affairs at IUN.

II. THIRD-YEAR REVIEW

The purpose of the Third-Year Review is for the candidate to present and evaluate their materials and for the Promotion and Tenure Committee to review the materials and identify what actions will help the candidate build a solid case for tenure and/or promotion. In order to help candidates be clear about expectations both at the School and at the All-Campus level, the Promotion and Tenure Committee uses an evaluation form that is comparable to the form used by the All-Campus committee for actual promotion and tenure reviews. Based on the standards set by the school for promotion and tenure, the committee makes written recommendations to the candidate about steps the candidate could take to improve his/her case. **The evaluations of unsatisfactory, satisfactory, highly satisfactory, or excellent in each area are based on what the committee believes is necessary to reach these standards at the time of tenure or promotion.** Therefore, it is rare for candidates to receive third-year review evaluations of “excellent.” The evaluations and the written feedback should clearly inform the candidate regarding whether or not they appear to be on track to meet the standards at the time of tenure and promotion, and what particular areas they need to strengthen in the remaining time in order to do so. If the candidate’s Third-Year Review raises significant issues, the candidate is encouraged to seek a fourth-year review. Any fourth-year reviews will follow the same guidelines and deadlines as third-year reviews.

Documentation needed for the Third-Year Review includes:

1. an updated and signed curriculum vita using the IU format (see Section X)
2. a narrative, no longer than **five**, single-spaced pages, discussing teaching, research, and service, identifying the area of excellence (teaching, research, or service) or intent to pursue a “balanced case” (see Section III.A., below)
3. copies of publications and/or letters from journals acknowledging submission or acceptance
4. syllabi of all courses taught
5. a table summarizing your course evaluation scores and a comparison of these to data from other sections of the same course and/or the IUSSW standards on teaching found in Section VII of the Red Book
6. any unsolicited supportive letters or emails from students or colleagues (optional)
7. evidence of professional development to enhance teaching and research (this should be listed in the curriculum vita or mentioned in the personal statement)
8. a statement of plans related to teaching, research, service, and professional development for the next few years.

The candidate should assemble the materials 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, please see the link to [Instructions for Creating PDF Portfolios](#) on p. iii or contact UITS or the Center for Teaching & Learning as they may be able to provide one-on-one help. **The candidate will deliver the Third-Year Review to the Office of the Dean no later than March 1 of the candidate’s third year.**

See Section XI for the Process and Responsibilities Related to Third-Year Review (p. 39).

III. ACCEPTANCE OF NOMINATION & NOTIFICATION OF CANDIDACY

A. *Promotion*

Faculty members may be nominated for promotion in rank by one or more faculty colleagues, or they may nominate themselves. Whatever the form of nomination, however, as soon as possible after a faculty member has decided to pursue candidacy for promotion she or he should notify the Chair of the Indiana University School of Social Work Promotion and Tenure Committee of the candidacy. **Notification of candidacy must be in writing and should be received no later than 5:00 P.M. on March 1 for the review to occur during the following year.** Of course, nominations may be submitted at any time prior to that time.

The letter of candidacy should contain a statement indicating that he or she is a candidate for promotion. In most cases, an area of excellence (i.e., teaching, service, or research/scholarship) should also be clearly indicated. In 1993, the Faculty Council of Indiana University approved, as an alternate to this normal process, a “balanced case” approach to promotion. In the event of a “balanced case,” the faculty member should specify that and go on to support “highly satisfactory performance” in each of the three areas (teaching, service, and research/scholarship). Further details regarding the timing of various steps in the review process may be found in the *Process and Responsibilities* document (see Section XI below). The candidate is reviewed at several levels: IUSSW Promotion and Tenure Committee, Dean, campus specific Promotion and Tenure Committee, Campus and University administration, and IU Board of Trustees. Review at each level is based on the dossier submitted by the candidate, as described more fully in the rest of this document, supplemented by external letters of review (see Section V below) and by the cumulative reports of any prior review stages.

B. *Tenure*

Faculty members may become candidates for tenure through various routes. She or he may have reached the point for tenure evaluation as contracted during the hiring process. (Commonly, this would occur during the sixth academic year of employment.) Alternately, a faculty member may seek early tenure. Whatever the form of nomination, however, as soon as possible after a faculty member has decided to pursue candidacy for tenure she or he should notify the Chair of the Indiana University School of Social Work Promotion and Tenure Committee of the candidacy. **Notification of candidacy must be in writing and should be received no later than 5:00 P.M. on March 1 for the review to occur during the following year.** Of course, nominations may be submitted at any time prior to that time.

The letter of candidacy should contain a statement that she or he is a candidate for tenure. The area of excellence should also be clearly indicated. Further details regarding the timing of various steps in the review process may be found in the Process and Responsibilities Document appended to these Guidelines. The candidate is reviewed at several levels: IUSSW Promotion and Tenure Committee, Dean, local campus Promotion and Tenure Committee, Campus and University administration, and IU Board of Trustees. Review at each level is based on the dossier submitted by the candidate, as described more fully in the rest of this document, supplemented by external letters of review (see Section V below) and by the cumulative reports of any prior review stages.

IV. PROMOTION AND TENURE DOSSIERS

A. Responsibility and Due Date

Preparation of the major sections of promotion and tenure dossiers is the responsibility of the candidate (see subsection B below for a detailed description of dossier sections and who is responsible for producing them). The Dean of the Indiana University School of Social Work provides newly employed faculty with copies of those documents that address applicable policies and procedures. The Promotion and Tenure Committee also disseminates information regarding current promotion and tenure policies and procedures, including guidelines and timetables. Candidates will find additional, essential information about dossier preparation in the current IUPUI Guidelines prepared by the Dean of Faculties. Links to the Campus guidelines and related resources appear in the beginning of this document. Because University and Campus guidelines change somewhat each year, candidates are urged to consult them at the time of preparing materials for review. While this document reflects the School of Social Work's criteria and processes, it is revised less frequently. **In the case of inconsistencies between Campus and School guidelines, candidates are advised to follow Campus guidelines and to report inconsistencies to the Dean of the School of Social Work and to the School's Promotion and Tenure Committee Chair.**

Because every university setting is unique in its approach to promotion and tenure, candidates may wish to consult senior members of the faculty for advice regarding the presentation of their materials. Because the function of the Promotion and Tenure Committee of the Indiana University School of Social Work is evaluation, the Committee Members are prohibited from giving advice to individuals concerning how best "to make one's case." The Chair of the Promotion and Tenure Committee, however, is charged with providing faculty with information concerning the format in which materials are to be presented, the process through which the evaluation occurs, and the criteria upon which it is based.

The P&T Committee provides an informational forum, ideally during the fall semester. Attendance of non-tenured faculty or faculty seeking promotion is strongly encouraged for optimizing the dossier and strengthening one's case for tenure and promotion. The sections of the dossier completed by the candidate should be submitted to the Office of the Dean no later than 5:00 P.M. on the first day of classes for the Fall semester on the IUPUI campus. This is necessary for the Promotion and Tenure Committee to carefully review the materials presented, prepare a recommendation report, and forward the candidate's portion of the dossier along with Committee's report to the Dean by mid-October. The Dean then adds his or her review comments, insures that all sections of the dossier are complete, and submits the completed dossier to the Office of Faculty Appointments and Advancement (OFAA) by the last Friday in October.

B. Organization of Materials

The candidate's promotion or tenure dossier should be organized as specified in the most current IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers*. The following has been adapted from the 2012-2013 version of that document (pp. 12-23):

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.

Dossiers should be no more than 50 pages (excluding the candidate's vita; external assessment letters; and chair, dean, and committee letters). That is, Sections 06-09 (the Sections are described below) should not exceed a total of 50 pages.

The candidate owns the dossier; therefore, any substantive changes in the dossier must be reviewed by the candidate. 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.

One electronic copy of the dossier is to be submitted to the Dean of Faculties office. Coversheets, section tabs and tables of contents are not necessary. If a table of contents is included, it should be its own section and the PDF file labeled accordingly. (For example, "Smith Table of Contents.").

- For the electronic copy:
 - All files in the electronic copy are to be 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 see the link to [Instructions for Creating PDF Portfolios](#) on p. iii or contact UITIS or the Center for Teaching & Learning as they may be able to provide one-on-one help.)

- Each section constitutes one searchable PDF file.
- Each PDF file shall be labeled with the Candidate's Last Name and the dossier section number, for example:
 - Smith Section 01
 - Smith Section 02
 - Smith Section 03
 - Smith Section 04 (etc.)
- ~~Do NOT include Section 11 (Appendices) unless specifically requested.~~
- Before transmitting the electronic copy to the Dean of the Faculties' Office, the individual PDF files for a candidate shall be assembled into a PDF Portfolio.
- Each PDF Portfolio shall be labeled with the Candidate's Name and the School's HRMS Code (for Social Work the code is SOCW), for example:
 - Smith, John - SOCW
 - Doe, Jane - SOCW
- Schools transmitting 1 or more PDF Portfolios need to upload a zipped folder to <https://www.slashtmp.iu.edu/> and send a secure download link to ofaa@iupui.edu.
- The unit/school should transmit the electronic files by the last Friday in October.

In addition, the Dean's Office will print and retain one hard copy of the dossier.

- For the hard copy:
 - Each section should be stapled separately with the entire dossier placed into a single file folder labeled with the candidate's full name.
 - Three-ring binders may be used only for supplementary materials retained by the school/unit. Binders and Appendices should not be forwarded for the campus-level review unless specifically requested.

All dossiers for faculty should be divided into the following sections [note: sections shown in italics are NOT prepared by the candidate; sections shown in **bold** count towards the 50-page limit]:

- 01. Checklist/Routing and Action Form*
- 02. Review Level Two (Unit/School)*
- *03. Review Level One (Primary/Department)*
- 04. External Assessments*
- 05. Reference Letters*
- 06. Candidate's statement**
- 07. Teaching**
- 08. Research and Creative Activity**
- 09. Professional and University Service**
- 10. Curriculum Vita

11. Appendices

**NOTE: School of Social Work dossiers to be routed through IUPUI will not contain Section 03.*

Sections 01-05: These sections include material created by others, such as a checklist, routing form, reviews by relevant committees and administrators, the external review letters, and internal review letters. The Dean (or Dean's designee) is responsible for assembling Sections 01-05 of the final dossier.

Section 06: Personal Statement. The personal statement should begin with an **introductory statement** describing the candidacy (promotion to what rank and/or tenure, as appropriate), containing a clear indication of the candidate's chosen area(s) of excellence. This statement reflects the candidate's own self-assessments of accomplishments in teaching, research and creative activity, and service. Prospects for continued development in these areas must be addressed. The personal statement is where the candidate demonstrates how she or he meets school and university criteria for promotion and/or tenure. This very important part of the dossier is where the candidate "states her or his case" and refers to the evidence in the rest of the dossier that supports that case. The candidate is encouraged to write a well organized, concise narrative statement of no more than **five single-spaced pages**, with a minimum font of 10pt. Up to an additional two single-spaced pages, addressing the area of excellence, may be presented as a section introduction for the area of excellence (Sections 07, 08, or 09, as appropriate – these two pages are *not* to be included in Section 06).

- The personal statement should contain five sub-sections: an introductory section; sections entitled evaluation of teaching, evaluation of research and scholarly activities, and evaluation of service; and a summary section. The introduction may contain a discussion about the candidate's professional philosophy or perhaps an elaboration about the candidate's area of excellence. The candidate should also mention any extenuating circumstances that may pertain to his or her candidacy. (For example, a candidate may have received some years toward tenure at Indiana University due to previous teaching experience as negotiated with the Dean at the time of employment.) In the introduction and the section related to the claimed area of excellence, the candidate should strive to make the strongest possible case for excellence, as this is usually the most essential judgment that dossier reviewers at any level must make.
- The Candidate's Statement should address the interrelated aspects of a whole, integrated career. Few candidates make sharp distinctions among the various aspects of their work as they do it, and the statement should indicate how the candidate views the integration of these aspects, even while assessing achievements in each. Special attention should be given to work that cuts across specializations and disciplines and that helps integrate and apply knowledge to broad patterns of intellectual activity.

- Candidates engaged in interdisciplinary work 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 be careful to provide clear and sufficient information about their individual roles in collaborative projects, publications, presentation, or grants.
- The sub-sections of the personal statement related to the areas of teaching, service, and research and scholarly activities should be as concise, specific, and pointed as possible in demonstrating how the candidate meets or exceeds school and university criteria for promotion or tenure. The candidate should avoid meaningless or insignificant items that do not add to the case. She or he should, however, mention everything that is necessary to show excellence in the area selected for excellence, and satisfactory performance in the other areas. The candidate should indicate where in the rest of the dossier the relevant evidence may be found. These sub-sections should also contain information about the candidate's future plans, particularly in the area of excellence, as appropriate. Whenever possible, tenure-track faculty members should state specific plans for a research or creative activity agenda, for a plan to enhance teaching effectiveness, and for continued participation through professional service in their profession, the campus, and community.
- In the summary section, candidates may wish to address their compatibility with the needs and mission of the school and university. The personal statement should be signed and dated by the candidate.

Sections 07, 08, and 09: Core Evidence. Objective documentation of the candidate's activities and accomplishments is extremely important. Sections 07, 08, and 09 of the dossier contain **core evidence** to support claims made in the personal statement regarding teaching, research and service, respectively. These sections are an integral part of the dossier and move forward through all levels of review. Any additional **supporting materials** should be placed in **Appendices** (see Section 11, below). More details about the elements of core evidence and evaluative criteria are contained in subsequent sections of the Red Book addressing Teaching, Research, and Service, respectively.

Each section of core evidence should be carefully organized. The candidate may include an introductory statement of no more than 2 pages in the section regarding the candidate's area of excellence, briefly describing the items of evidence included and explaining any contextual information necessary for the reader to interpret the evidence. Wherever feasible, the candidate should include self-evaluations of performance and incorporate the results of evaluation efforts by others. For example, within the evaluation of teaching section, statistical analyses of ratings on student evaluations during the period under review should

be presented. As part of the process of preparing summary analyses of raw evaluation data, it is often helpful to ask a colleague to review the data and its analysis to ensure accuracy. Clearly presenting results of statistical analyses in numerical terms or in the form of graphical representations may help committee members better understand the relevance of evaluation statements made in the personal statement.

Section 07: Evaluation of Teaching. Refer to section VII of this document regarding the criteria and sources of evidence to document teaching. Candidates are also urged to consult the Appendix of the IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of teaching.

Section 08: Evaluation of Research and Creative Activity. Refer to section VIII of this document regarding the criteria and sources of evidence to document research and creative activity. Candidates are also urged to consult the Appendix of the IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of research and creative activity.

Section 09: Evaluation of Service. Refer to section IX of this document regarding the criteria and sources of evidence to document service. Candidates are also urged to consult the Appendix of the IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of service.

Section 10: Curriculum Vita. This section is prepared by the candidate and the primary level reviewers/administrators. This section contains the following documents which should be placed in the dossier in the exact order listed below:

- An assessment of the dissemination outlets in the candidate's area or excellence (or in all areas for a balanced case). In the School of Social Work, this is typically prepared by the Chair of the Promotion and Tenure Committee. It is NOT prepared by the candidate, although the candidate should provide the Chair with preliminary information related to the stature of journals in which publications appear (e.g., acceptance rates or published rankings of journals). The Chair, however, must validate such information before preparing this assessment.
- A copy of the candidate's current curriculum vita prepared in accord with the current IUPUI standard format for curricula vitae, as shown in Section X of this document. Templates for the IUPUI CV format can be obtained from the Office of Academic Affairs' list of P&T resources: <http://academicaffairs.iupui.edu/PromotionTenure/Resources>.

Section 11: Appendices contain additional material supporting the core evidence. Campus guidelines indicate that Appendices are to be retained at the School level and do not go forwarded beyond that level (although these materials are available upon request to other levels). Nevertheless, staff from the Office of Academic Affairs recommends that, since dossiers are now submitted in electronic PDF portfolios, appendices may and should be included in the forwarded dossier as one or more separate files in the PDF portfolio so that campus committee members might have easy access to them should they so desire. As with all other aspects of the dossier, the candidate is urged to limit appendix materials to those related to the criteria the candidate addresses in making her or his case for excellent or satisfactory performance.

A few examples may help clarify the distinction between core evidence and other materials. Consider a candidate whose claim to excellence rests in part on a few major publications discussed in the personal statement. Copies of select publications or selections from them should be included as core evidence in Section 07, 08, or 09 (depending upon whether the publications are relevant for teaching, research or service claims, respectively). Copies of the candidate's other publications should be included in an appendix. As another example, the candidate may include as core evidence selected letters from colleagues or others supporting a particular claim made in the personal statement; additional relevant letters may be placed in an appendix. Please note that these letters are those that the candidate may have received directly over the years, or letters specifically requested by the candidate. These are not the same as internal review letters solicited by the Dean and entered by the Office of the Dean into Section 05 of the dossier. As a final example, the candidate should present as core evidence a summary table or chart highlighting relevant aspects of student course/instructor evaluations; the appendix should contain the evaluation summary sheets from all courses taught. (Note that the candidate should not submit all raw evaluation forms, even in the appendix).

V. EXTERNAL REVIEW LETTERS

An essential aspect of the promotion or tenure processes is the evaluation of a candidate by credible, external reviewers. These external assessments are necessary to provide an objective evaluation of the value and impact of a candidate's work, and to demonstrate that the candidate has achieved an emerging national reputation (for advancement to associate professor) or has achieved a sustained national reputation (for advancement to full professor). At least **six external assessment letters are required**. 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 Dean must provide sufficient explanation as to why they have been selected as an appropriate reviewer. Non-academic external reviewers may be included when a clear explanation of the relevance of such a review is presented by the Dean of the School of Social Work. Letters of evaluation should be sought, whenever possible, from professionals other than those at institutions where the faculty member has taught, where she or he received graduate education, or from coauthors. As noted in the 2012-2013 IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossier*:

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 vested in the candidate's promotion. Specific examples of reviewers to avoid include (but are not limited to): 1) former or current mentors, 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 Dean of the Faculties. (p. 24)

By **April 1**, the School's Promotion and Tenure Committee should submit to the Dean of the School of Social Work names of **ten** persons who might be asked for letters of evaluation, along with a brief description of why these persons should be considered as reviewers. According to current Campus guidelines, the candidate should not be involved in the selection of external reviewers, with two exceptions: 1) the candidate may 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 a field if these are not known to the Promotion and Tenure Committee members, and must indicate how these individuals meet the "arms length" criteria for independence noted above. In the School of Social Work, candidates are encouraged to submit such lists, and they must be submitted to the Chair of the Promotion and Tenure Committee by **March 15**, and the candidate must indicate

why the potential external reviewer is qualified to review the candidate's materials and how the potential external reviewer meets the "arms length" requirements as specified above. The Dean of the School of Social Work or the Chair of the School's Promotion and Tenure Committee, however, are not obligated to use external reviewers suggested by candidates and may seek additional guidance, if needed, to identify appropriate external reviewers from, for example, Deans, Chairs, or senior faculty in similar disciplines at other universities. Candidates are **not** to be informed of the identities of the final external reviewers until the reviews have been received. Biographic summaries of the external reviewers should be written by the Dean and not by the candidate.

Comment [w2]: This sentence was taken directly from the IUPUI guidelines.

By **April 15**, the candidate will prepare **seven** packets of materials, **six** to be sent to the external reviewers, and an additional copy to be retained by the Office of the Dean. Packets of information generally include the candidate's curriculum vita, personal statement and core evidence (see these Guidelines, throughout, for definition and examples of core evidence), as available at that time. By **May 1**, the Dean will send to each selected external reviewer: 1) a letter requesting the external review; 2) a packet of the candidate's materials; 3) a copy of the School and Campus Criteria for Tenure and Promotion; and 4) an External Referee Form to be signed and returned by the external reviewer along with the review letter.

In **Section 04** of the final dossier, the Dean (or Dean's designee) will include:

- A sample of the external assessment solicitation letter;
- A list containing brief statements (two or three sentences) on the expertise of each external referee;
- The external assessment letters; and
- A completed External Referee Form placed in the same order reviewers appear on the expertise list mentioned above.

The candidate may not request access to external reviewers' letters ~~by June 30th~~ until the final dossier has been submitted (see Section XI).

VI. INTERNAL, SOLICITED REVIEW LETTERS

1. In all cases where the candidate has declared teaching as an area of excellence, and optionally otherwise, a random sample of students will be selected to provide comments, as outlined further in Section XI of this document. To protect the confidentiality of the students and the integrity of the process, the candidate will not have access to these comments at any time.
2. The candidate may provide a list of other colleagues and professionals who are familiar with the candidate's work and might be willing to write a letter of support, as outlined further in Section XI. For candidates whose area of excellence is service, obtaining these letters is particularly important to document the candidate's service achievements. The Dean will solicit these letters and include them in the candidate's file. The Dean may also request internal reference letters from additional individuals not indicated by the candidate. ~~*(Note that the candidate may directly solicit letters from individuals if they provide essential support for the candidate's claims related to Teaching, Research, and/or Service. However, these letters should be considered "core evidence" and placed in Dossier Section 07, 08, or 09 by the candidate as appropriate.)*~~ The Dean (or Dean's designee) is responsible for assembling **Section 05** of the final dossier. This section contains:
 - A sample of the internal reference solicitation letter;
 - All internal letters received.

The candidate may not request access to these internal letters at any time until the final dossier has been submitted.

~~*(Note that the candidate may directly solicit other letters from individuals if they provide essential support for the candidate's claims related to Teaching, Research, and/or Service. However, these letters should be considered "core evidence" and placed by the candidate in Dossier Section 07, 08, or 09, or "ancillary evidence" and included in the appendix material, as appropriate.)*~~

VII. TEACHING

A. Description

Teaching is a scholarly function that is vital to this school. The candidate should make a special attempt to identify quantitative and qualitative teaching contributions. The collection of data on teaching as a scholarly endeavor and service requires considerable attention. The collection of such data should be ongoing. Areas of important information related to teaching include: teaching load; quality of teaching and courses; curriculum development efforts; participation in educational projects and programs; and advising and field liaison activities. In order to document teaching performance, the faculty member should keep detailed records of teaching activities. Those quantitative and qualitative aspects of teaching which the file reflects will serve to distinguish among excellent, satisfactory and unsatisfactory performance levels. Faculty members should therefore regularly update their teaching activities files in order to maintain a complete and current data base. The file, then, can serve as a basis for each tenure track faculty member's preparation of the annual reports for the dean and the promotion and tenure committee. The file also, of course, serves as an aid in the preparation of promotion and/or tenure dossiers.

B. Criteria

Since teaching is both a technology and an art, its excellence is not totally quantifiable nor can it be narrowly defined. The following broad guidelines are provided to assist faculty members in determining their readiness for promotion and tenure. The items below should guide faculty as examples of useful ways to document positive work in teaching, but should not be used as a checklist for which every item should be checked. In addition to the criteria shown in this document, candidates are also urged to consult the Appendix of the IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of teaching.

Satisfactory Performance (Required if teaching is not designated as the area of excellence.)

- Quantitative and qualitative information from the candidate, students, and peers indicating that instruction has been satisfactory in fostering appropriate learning outcomes
- Teaching load (e.g., classroom, online, service-learning, field) is clearly documented and contextualized
- Evidence of development as a teacher (e.g., improvement in educational materials, approach, or effectiveness over time)
- Evidence of new course development or significant course revision (e.g., use of technology, service learning) presented with evidence on effectiveness
- Mentoring or advising load is clearly documented and contextualized

- Evidence of student satisfaction (including but not limited to end-of-semester student learning/course evaluation surveys)
- Evidence of a satisfactory impact on student learning and achievement
- Evidence of some local dissemination of good practice and/or SoTL
- Record of seeking development as a teacher, such as conference or workshop attendance, teaching experimentation, or reading on teaching
- Reflective commentary on candidate's own teaching
- Peer assessment on effectiveness of efforts toward personal growth in teaching

Highly Satisfactory Performance (Required for a “balanced case” application)

- Quantitative and qualitative information on teaching and learning outcomes that make the case for effective and innovative instruction
- Nature of course or curricular development clearly reflects an informed knowledge base, clear instructional goals, and assessment of the outcomes
- Important impact and student achievement documented
- Evidence of regular and significant local dissemination of good practice and recognition of high quality of teaching
- Grants or awards at the department or campus level (For clinical and lecturer categories, this level constitutes excellence)
- High level of activity in examining practice, seeking new ideas, obtaining feedback, and engaging in dialogue on teaching with campus or disciplinary peers
- Positive peer assessment of the teaching experiments in the above category (For clinical and lecturer categories, this level constitutes excellence)
- Indications of substantial positive impact on colleagues through mentoring, committee work, or other work

Excellent Performance (Required if teaching is designated as the area of excellence.)

As noted in the preamble, the level of documentation varies in relation to the rank being sought. Normally, candidates applying for tenure or for promotion to Associate Professor with teaching as an area of excellence are expected to provide evidence to support a claim that they are well on the way to establishing an emerging national reputation for excellence in teaching. Candidates for Full Professor are expected to provide evidence to support a claim that they have established such a national reputation. Typically, such a reputation is evidenced by publications related to teaching in highly regarded national journals, success in generating external funding related to teaching activities, participation in national conferences, hearings or review committees and by major invited presentations at a national level.

The following are required if teaching is designated as the area of excellence.

- Documentation of extraordinarily successful teaching and learning outcomes. Generally, student evaluations should be at or above 4.0 on the School's 5-point measures on the School's Instructor and Course Evaluation Forms. Such scores, however, are not in themselves sufficient to demonstrate student learning outcomes.
- The case for teaching excellence is grounded in a sophisticated teaching philosophy
- Evidence of innovative and reflective teaching practice
- Evidence of the production of effective course and curricular products
- Evidence of dissemination of ideas within the profession or generally through publication, presentation or other means. This is critically important in making a case for excellence in teaching. Accordingly, any peer-reviewed products that are related to teaching must be clearly indicated as such, both in Section 07 of the dossier and in the curriculum vita.
- Evidence of impact (that is, the work has been adopted by others locally, nationally or internationally)
- Evidence of a scholarly and reflective approach to mentoring and advising
- Demonstrated impact on accomplishments of students, advisees, and mentees
- External peer review clearly demonstrates the attributes of scholarly work associated with mentoring or advising, including peer refereed presentations and publications and national recognition of the quality of work
- Positive departmental evaluations of the stature of the published work (e.g., journals)
- Peer review supporting the quality of the publications, presentations or other dissemination methods
- National or international awards for teaching or dissemination of scholarly teaching, or significant funding for teaching projects
- Extensive record of participation in experimentation, reflection, pursuit of conceptual and practical knowledge of teaching and learning
- Membership in communities of practice at the campus, national, or international level
- Evidence of contribution to, leadership in, and impact upon curriculum development and improvement
- Participation in dissemination of good practice
- Peer reviews of teaching and its impact (including but not limited to two or more peer reviews of teaching, at least one in advance of third-year reviews, if applicable, and another in advance of the submission of promotion or tenure dossiers; at least one of which must reflect excellence).

C. Evidence/Supporting Materials

In preparation of the section entitled "Evaluation of Teaching," the candidate should select evidence that supports the specific criteria the candidate is using to make her or his case. The following areas should be considered as possible documentation for teaching:

1. Include courses that were both individually and team-taught during the period upon which promotion or tenure is based. Describe teaching roles and degrees of input in the development of the team-taught courses. Identify specific course numbers, titles, number of students, and the required or elective nature of course. Syllabi, bibliographies, exams, handouts, and other pertinent course materials should be included as appendices arranged by course number and semester in chronological order.
2. Give data on teaching load including number of courses taught and whether new or repeat, numbers of advisees, number of field placements made, number of field liaisons.
3. Include reports from peer reviews of classroom teaching. It is preferable that a formal classroom evaluation be done by the staff of the Center for Teaching and Learning. However, this can also be done by asking other faculty members to sit in on the candidate's class to identify the strengths and areas for improvement in conducting the class as well as to review syllabi, assignments, etc.
4. Show student evaluations of the candidate's teaching arranged by course and semester in chronological order for at least the past five years or time in rank, whichever is less. Present tables and/or charts summarizing and comparing at least three years of data from formalized teaching evaluations. Include summaries and discuss the educational/instructional implications of the quantitative evaluative data presented. Candidates may find it helpful to discuss the patterns and trends related to specific dimensions of the student quantitative evaluations (e.g., items related to course content, items related to instructor effectiveness, items related to course objectives).

Additional, important information as to the performance of the candidate can be derived from measures of central tendency (i.e., means, medians and modes) and measures of dispersion (i.e., standard deviations, quartiles) in comparison to those from other sections of the same courses taught by others. Raw data from all student evaluations need not be submitted, but should be available to the Promotion and Tenure Committee upon request.

5. Give evidence of degree of satisfaction and performance related to field instruction as well as field liaison for students. Include information on activities and contributions in the area of field instruction, e.g., internships developed, supervision, etc.
6. Give evidence of degree of satisfaction and performance related to advising from students and other sources.
7. Include assessments of performance by former students who indicate the beneficial relationship as to what they are doing professionally as this relates to what they learned from the instructor.

8. Provide evidence that courses taught contribute to overall student learning outcomes and evidence that students have met or exceeded course or curricular learning objectives.
 - The role of the faculty member in assisting students to meet learning objectives should be documented and assessed. This may be captured through peer review or through systematic assessment of student achievement or from standardized, nationally-normed profession-related tests.
 - Faculty who teach undergraduate students should also address how their courses and scholarship of teaching contribute to learning outcomes and the Principles of Undergraduate Learning (PULs) in the statement they submit for this section.
 - At the graduate and graduate professional levels, comparable assessment measures for student learning should be developed if they do not yet exist and the Principles of Graduate and Professional Learning (PGPLs) should be addressed.
9. Show contributions to course development including innovations in and/or the improvement of instructional materials (textbooks, laboratory manuals, handouts used for guiding learning, audiovisual materials, etc.) and experimentation with different teaching methods and techniques.
10. Show contributions to curriculum development. Include documents or materials produced.
11. Identify special activities that have contributed to teaching effectiveness. Note attendance and documentation thereof at university institutes, workshops, courses and programs. Note role as presenter, participant or attender.
12. Indicate special awards or other forms of recognition received from students, colleagues or organizations that afford evidence of impact on students and/or the curriculum. Give specific information on the nature of such awards whether school, university, local, state or national. Identify awarding organization.
13. Include comments by other faculty members in other departments/schools of the University whose students have been in the candidate's classes.
14. Include videotapes of classes demonstrating use of special skills.
15. Include the development of research on teaching methods and techniques as well as materials, including such resources as textbooks, films, and television tapes that demonstrate contributions to teaching in the candidate's subject area.
16. Identify positions, roles and activities that relate to teaching in conferences, programs and meetings of professional educational organizations.

17. Identify the roles and contributions in guiding students and colleagues in their doctoral and master's research.
18. Identify the roles and contributions to student recruitment and retention.
19. Identify the roles in orientations of students and other activities related to facilitating the socialization and adjustments of new students.
20. Identify roles in obtaining teaching grants for the School.
21. Identify roles and contributions to professional teaching organizations.
22. Identify publications and presentations related to teaching.
23. Identify activities related to mentoring new faculty in their teaching roles.

D. Unusual Circumstances

If applicable, the candidate should communicate information regarding unusual circumstances (including illness, special workload assignments, problematic situations, etc.) affecting workload and performance.

VIII. RESEARCH AND SCHOLARLY ACTIVITIES

A. Description

As discussed in the Preamble to the Guidelines for Promotion & Tenure, “scholarship” may be thought of as falling into four general categories that are at once distinct, yet interdependent in nature: 1) the scholarship of discovery; 2) the scholarship of integration; 3) the scholarship of application; and 4) the scholarship of dissemination (teaching). The following section refers to all forms of scholarship and assumes that faculty will submit tangible documents in support of the various forms of scholarship cited in their promotion and tenure materials. It is essential that claims of “excellent” and “satisfactory” performance in the areas of teaching, research or service be accompanied by documentation that allows for peer review.

Social Work and Labor Studies are applied disciplines. Therefore, in the Indiana University School of Social Work, scholarly activity necessarily covers the gamut of knowledge building from recognition and definition of a condition or a problem through assessment of need, development and evaluation of interventions, to formal theory development, testing and application of theory. The development and testing of basic theory for the profession has high priority but valid and effective scholarship leading to demonstration and evaluation of a practice innovation or new data on the differential needs of specific groups or communities is also recognized as of great importance to the profession.

As indicated above, at the time the candidate formally notifies the promotion and tenure committee of her or his candidacy, all scholarly products prepared during the period upon which the case for promotion or tenure is based should be submitted to the Promotion and Tenure Committee. Given the wide range of media available, candidates may submit copies of books, published or unpublished papers, grant proposals, audio-visual productions, computer programs, etc. However, evidence of scholarship must be submitted in a form which allows members of the review committees an opportunity to evaluate or to arrange for evaluation of the scholarly products.

B. Criteria

As is the case with teaching and service, research and scholarly production are not totally quantifiable. In social work and labor studies, research and scholarship cannot be narrowly defined. However, because the scholarly products themselves are available for review there exists a greater opportunity for objective evaluation. The following guidelines are provided to assist faculty members in determining their readiness for promotion and tenure in relation to research and scholarly activities. The items below should guide faculty as examples of useful ways to document positive work in teaching, but should not be used as a checklist for which every item should be checked. In addition to the criteria shown in this document, candidates are also urged to consult the Appendix of the IUPUI Dean

of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of research.

Satisfactory Performance (required if research and scholarly activities is not designated as the area of excellence)

- Candidate has performed research that is appropriate to the discipline/profession and reflects standards of good practice or candidate has performed research as part of a cross-disciplinary effort that highlights the contributions of the professional discipline in addressing challenging social problems
- Candidate has disseminated the results of research in scholarly journals and other appropriate venues; all scholarly products are readily accessible for review. Accordingly, any peer-reviewed products that are related to research and scholarship must be clearly indicated as such, both in Section 08 of the dossier and in the curriculum vita.
- Research program is clearly articulated
- Evidence and results of attempts to secure internal grants and/or external support; proposals reflect scholarship and show potential for future success
- Evidence of the peer review of scholarly products
- Peer review of the nature and stature of journals and the significance of the candidate's research publications
- Evidence of the candidate's plans for continued research
- Evidence of at least local dissemination of scholarly production and research findings
- Evidence of recognized good practice in the area of research and scholarship
- In the School of Social Work, during the period of time under review, the candidate should average at least:
 - One publication of a peer reviewed journal article or acquisition of funded support every other year, *and*
 - A conference presentation of a peer reviewed paper or poster, a written report on unfunded research, submission of a grant proposal, or publication of a book chapter, monograph, etc. every other year.

Highly Satisfactory Performance (Required for a "balanced case" application)

- Candidate's research and scholarly production has attracted favorable peer reviews and comments that refer to quality and reflect strong evidence of potential for future productivity
- Candidate has secured internal grants and/or external support and provides evidence of continuing efforts to secure more
- Evidence of regular local and external peer review of research and scholarly production
- Evidence of regular and significant dissemination of scholarly production and research findings

- In the School of Social Work, during the period of time under review, the candidate should average at least:
 - One publication of a peer reviewed journal article or acquisition of funded support every other year, **and**
 - A conference presentation of a peer reviewed paper or poster, a written report on unfunded research, submission of a grant proposal, or publication of a book chapter, monograph, etc. every other year.

Excellent Performance

As noted in the preamble, the level of documentation varies in relation to the rank being sought. Normally, candidates applying for promotion to Associate Professor with research as an area of excellence are expected to provide evidence to support a claim that they are well on the way to establishing an emerging national reputation for excellence in research. Candidates for Full Professor are expected to provide evidence to support a claim that they have established such a national reputation. Typically, such a reputation is evidenced by publication in highly regarded national journals, membership on the editorial boards of scholarly journals, success in generating external funding for one's area of scholarship, participation in national conferences, hearings or review committees and by major invited presentations at a national level. The following are required if research is designated as the area of excellence.

- Evidence of significant research contributions to the knowledge in and impact upon the field that clearly demonstrate attributes of scholarly work associated with research, including peer refereed presentations and publications and national recognition of the quality of research and scholarship
- Candidate has secured external support and makes significant contributions that clearly demonstrate the attributes of scholarly work associated with obtaining external support, including the degree to which evaluation processes were competitive
- Expert external peer review clearly demonstrates the attributes of scholarly work associated with research, including peer refereed presentations, grants, and publications
- Evidence of national and/or international recognition of and an emerging reputation for the high quality of work (for tenure and promotion to the rank of Associate Professor)
- Evidence of a national and/or international recognition of and an established reputation for the high quality of work (for promotion to the rank of Professor)
- Evidence of a program of scholarly activities that have contributed to the discipline's knowledge base and improved the work of others
- Internal and external recognition of the stature and impact of the research and scholarly work
- In the School of Social Work, during the period of time under review, the candidate should average at least:

- One publication of a peer reviewed journal article or acquisition of funded support every year; **and**
- One or more of any combination of the following each year: Aa conference presentation of a peer reviewed paper or poster; a written report on internally funded or unfunded research; submission of a grant proposal; or publication of a book chapter, monograph, an additional journal article, etc. ~~every year.~~

C. Evidence/Supporting Material

In preparation of the section entitled "Evaluation of Research and Scholarship," the candidate should select evidence that supports the specific criteria the candidate is using to make her or his case. The following areas should be considered as possible documentation for research and scholarship:

1. Professional texts or other books published by a reputable publisher together with comments by prepublication reviewers and by comments or reviews from the profession.
2. Papers published in generally available professional journals, which are refereed by her or his peers. The comments of peers through the refereeing process and through citations to the published work, ultimately establish the significance of the work.

When joint papers are referenced, the contribution of the faculty member under consideration should be identified. The bibliographic references should include the authors' names in the same order as in the original paper with an explanation of the significance of the ordering of the names. If there is a senior or principal author, he or she should be indicated by an asterisk.

3. Papers or chapters published in an independently edited book but not previously published in a refereed journal together with comments upon the contribution and upon the book as a whole.
4. Papers accepted by a refereed journal but not yet published together with evidence of acceptance for publication. Comments by referees or editors may be included.
5. Computer software and multi-media productions than can be used by others in education or training. Recognition by others of the utility and benefits of these technological innovations should be included.
6. Substantial presentations at respected professional conferences or meetings. Ordinarily such a presentation will be presented in the form of a completed paper to be presented to the Promotion and Tenure Committee. The candidate should explain whether the presentation was invited or refereed.

7. Because social work is an applied profession, its theory building and research is often focused on practice issues and may be published within the format, for example, of a manual or monograph. Such work may be submitted if the scholarly contributions to the overall work are clearly indicated. Such publication is valuable within the profession but is less often refereed or critiqued. Evidence of acceptance and use within the profession could be submitted for review purposes.
8. External grant proposals that reflect intellectual, conceptual, and scholarly effort may be submitted for critical evaluation even if the grant itself was denied, whether or not the proposal has been funded. All funded grants should include the dollar amounts awarded.
9. Internal grant proposals that reflect a scholarly effort. Include dollar amounts for all funded grants.
10. Papers which have been submitted to journals but not yet accepted for publication should be identified as to the journal or journals to which they have been submitted. The status of the submission should be indicated and a copy of the paper should be provided to the Promotions and Tenure Committee.
11. Papers in preparation are not meaningful for the purposes of tenure and promotion and should not be included in the final dossier. However, current scholarly activity may be described within the narrative section in order to support the ongoing nature of a candidate's research interests. If an adequate draft has been completed, such manuscripts may be submitted in order to reflect a continuation of the process of development or to gain the critical assistance of the committee members as partial evidence in support of the candidate's identified scholarly agenda.

D. Unusual Circumstances

If applicable, the candidate should communicate information regarding unusual circumstances (including illness, special workload assignments, problematic situations, etc.) affecting workload and performance.

IX. SERVICE

A. *Description*

In higher education three broad categories of activities have come to be labeled service. These include university service (committee or other governance activities internal to the school or university related to program development and institutional policy), professional or disciplinary service (committee, editorial, or other work for local, regional, national, or international professional or disciplinary associations), and community service (activities other than basic research and teaching involving direct relationships with groups external to the academic and professional communities).

The Indiana University School of Social Work is uniquely positioned, as a result of having a mission and philosophy which not only supports but expects its social work and labor studies faculty to be engaged in professional service, to provide leadership to the University. In an era where there is widespread public support for the University to contribute to the well-being of the broader community, the contributions made by the faculty in the area of service take on added significance in the overall assessment process.

B. *Criteria*

Service is not totally quantifiable nor can it be narrowly defined. Therefore, the following broad guidelines are provided to assist faculty members in determining their readiness for promotion and tenure. The items below should guide faculty as examples of useful ways to document positive work in teaching, but should not be used as a checklist for which every item should be checked. In addition to the criteria shown in this document, candidates are also urged to consult the Appendix of the IUPUI Dean of Faculties' *Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers* for detailed charts summarizing how and where to document performance and suggested standards for evaluation in the area of service.

Satisfactory Performance (required if service is not designated as the area of excellence)

Minimal service expectations include acceptable service in at least one of the areas below.

- University Service (includes service to campus, school, and educational program)
 - Evidence that candidate fulfills routine, required, and expected school and program service functions in a satisfactory manner (e.g., active participation in faculty senate, school or educational program committees)
- Service to Profession or Discipline

- Evidence that candidate fulfills routine, required, and expected service functions associated with the profession or discipline; and does so in a satisfactory manner
- Service to Community
 - Evidence that the candidate engages in professional or discipline related service in the community

Highly Satisfactory Performance (Required for a “balanced case” application)

Minimal service expectations include acceptable service in at least two of the areas below.

- University Service (includes service to campus, school, and educational program)
 - Accompanied by independent testimony of value of work (e.g., letter from the committee chair; acceptance by Faculty Council; “wrote a policy that was approved by committee”) that is above and beyond what is “required or expected”
 - Played a major role in initiative over a period of time that contributed to campus, school, or educational program goals, with independent evidence of significance, role, impact, and effective communication to others
- Service to Profession or Discipline
 - Accompanied by independent evidence of success, impact (e.g., ratings by participants; “organized a workshop series for conference that was successfully offered”)
 - Played a major role in an initiative over a period of time that contributed to discipline’s goals or organization’s mission, with independent evidence of significance, impact, role, and effective communication to others
- Service to Community
 - Accompanied by independent evidence of impact (e.g., “chaired a subcommittee of the board that accomplished X, Y, & Z”; “played a leadership role in developing the capacity of a community-based organization”)
 - Played a major role in an initiative over a period of time that contributed to community goals, with independent evidence of significance, role, impact, and effective communication to others

Excellent Performance

Minimal service expectations include excellent performance in two of the areas below and highly satisfactory performance in one.

As noted in the preamble, the level of documentation varies in relation to the rank being sought. Normally, candidates applying for promotion to Associate Professor with service as an area of excellence are expected to provide evidence to support a claim that they are well on the way to establishing an emerging national reputation for excellence in service. Candidates for Full Professor are expected to

provide evidence to support a claim that they have established such a national reputation. Typically, such a reputation is evidenced by publications related to service in highly regarded national journals, service leadership beyond the local level, participation in national conferences, hearings or review committees and by major invited presentations at a national level. Any peer-reviewed products that are related to service must be clearly indicated as such, both in Section 09 of the dossier and in the curriculum vita. Note that excellence in the area of service requires evidence of accomplishments beyond exemplary performance of assigned administrative responsibilities. The following are required if service is designated as the area of excellence. University Service may include service to the university, campus, school, and educational program.

- Service to the University
 - Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work
 - Awards and recognition that reflect on the significance and academic nature of the work have been received
 - Evidence of the impact of one's university service (e.g., adoption of a policy, revision of a program, procedure, or process, etc.)
- Service to Profession or Discipline
 - Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work
 - Awards and recognition that reflect on the significance and academic nature of the work have been received
 - Evidence of the impact of one's professional or disciplinary service (e.g., adoption of a policy, revision of a program, procedure, or process, etc.)
- Service to Community
 - Significant contributions that clearly demonstrate the attributes of scholarly work, including peer refereed presentations and publications and national recognition of the quality of work
 - Awards and recognition that reflect on the significance and academic nature of the work have been received
 - ◆ Evidence of the impact of one's community service (e.g., adoption of a policy, revision of a program, procedure, or process, etc.).

C. Evidence/Supporting Materials

In preparation of the section entitled "Evaluation of Service," the candidate should select evidence that supports the specific criteria the candidate is using to make her or his case. The following areas should be considered as possible documentation for service:

1. Documents indicating service as a reviewer or editor for a manuscript, newsletter, or textbook.

2. Copies of reports of school or university committees.
3. Records of activities and accomplishments as a result of administrative assignments, such as chair or coordinator.
4. Faculty Annual Summary Reports.
5. Logs of student recruiting, counseling and advising.
6. Records of advising student organizations.
7. Programs or announcements of organized colloquia, seminars, continuing education programs, conferences, workshops or special events.
8. Copies of publications produced as a result of one's service (describe nature and extent of contribution) including school or university bulletins, brochures, as well as grant proposals.
9. Records of public relations activities with accrediting agencies, trustees, news media, legislative bodies or representatives.
10. Letters of recommendation from committee chairs, deans, or other administrators in the University.
11. Letters of acknowledgment or recommendation from groups, offices, or agencies in the private or public sector.
12. Letters of acknowledgment or recommendation from alumni or students.
13. Announcements of honors or awards received for service.
14. Announcements of grants received for the development or implementation of service activities.
15. Records of consultations with various organizations and the benefits to the University which accrued from such activity.
16. Documents indicating leadership in professional societies.
17. Documents indicating editorship of professional journals.
18. Copies of public statements or testimonies given in areas of service.

D. Unusual Circumstances

If applicable, the candidate should communicate information regarding unusual circumstances (including illness, special workload assignments, problematic situations, etc.) affecting workload and performance.

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PENDING TEACHING GRANTS AND FELLOWSHIPS

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

Title	Granting Agency	Role	% Effort	Amount	Dates
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INVITED PRESENTATIONS - TEACHING

LOCAL

Title	Organization	Date
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REGIONAL

Title	Organization	Date
-------	--------------	------

NATIONAL

Title	Organization	Date
-------	--------------	------

INTERNATIONAL

Title	Organization	Date
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RESEARCH/CREATIVE ACTIVITY:

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

ACTIVE RESEARCH GRANTS/FELLOWSHIPS

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

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

PENDING RESEARCH GRANTS/FELLOWSHIPS

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

Title	Granting Agency	Role	% Effort	Amount	Dates
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INVITED PRESENTATIONS - RESEARCH

LOCAL

Title	Organization	Date
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REGIONAL

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Title	Organization	Date
NATIONAL Title	Organization	Date
INTERNATIONAL Title	Organization	Date

SERVICE:

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

UNIVERSITY SERVICE:

DEPARTMENT Activity	Role	Inclusive Dates
SCHOOL Activity	Role	Inclusive Dates
CAMPUS Activity	Role	Inclusive Dates
UNIVERSITY Activity	Role	Inclusive Dates

PROFESSIONAL SERVICE:

LOCAL Organization	Activity	Inclusive Dates
REGIONAL Organization	Activity	Inclusive Dates
NATIONAL Organization	Activity	Inclusive Dates
INTERNATIONAL Organization	Activity	Inclusive Dates

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

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

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ACTIVE SERVICE GRANTS/FELLOWSHIPS

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

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

PENDING SERVICE GRANTS AND FELLOWSHIPS

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

Title	Granting Agency	Role	% Effort	Amount	Dates
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INVITED PRESENTATIONS - SERVICE

LOCAL

Title	Organization	Date
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REGIONAL

Title	Organization	Date
-------	--------------	------

NATIONAL

Title	Organization	Date
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INTERNATIONAL

Title	Organization	Date
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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)

XI. PROCESS AND RESPONSIBILITIES

A. Process and Responsibilities: Third-Year Review

1. In **September** of the candidates' third year, the Dean will tell the Chair of the Promotion and Tenure Committee who will be doing a third-year review during the spring semester. The chair will give each candidate the third year review schedule.
2. Faculty whose promotion and tenure decisions are made on IUN can request that the IUSSW Promotion and Tenure Committee do a third year review by notifying the chair of the IUSSW Promotion and Tenure Committee no later than **December 1** of their third year.
3. The third-year dossier is due on **March 1**, during the spring semester of the candidate's third year. The dossier should be turned into the Office of the Dean. All materials must be organized into a searchable PDF portfolio consisting of the following PDF files: a signed curriculum vita prepared using the standard CV format as it appears in the Red Book Section X; a narrative, no longer than **five**, single-spaced pages, discussing teaching, research, and service, identifying the area of excellence; a copy of all publications; syllabi of all courses taught; a table summarizing student course evaluations and a comparison of these to data from other sections of the same course and/or the IUSSW standards on teaching found in Section VII of the Red Book; unsolicited letters of support from students and/or colleagues (optional); and a statement of plans related to teaching, research, service, and professional development for the next few years. Products referenced in the narrative such as peer review summaries, reports of creative teaching practices, etc. should also be included as PDF files. The emphasis should be on work done since coming to the School. For help with constructing a searchable PDF portfolio, see the link on p. iii for [Instructions for Creating PDF Portfolios](#) or contact UITS or the CTL as they may be able to provide one-on-one help.
4. The third-year dossier will be turned into the Office of the Dean who will record the time and date of submission and then file the materials. The dossier will be reviewed to assure that the materials listed in #3 above have been included. The Office of the Dean will arrange for appropriate, secure, confidential storage of the dossiers during the review process and will provide access to the dossier to members of the Promotion and Tenure Committee.
5. The Promotion and Tenure Committee Report will be completed by no later than **April 15**. It will be given to the Office of the Dean, where it will be held in a secure location until all promotion and tenure committee members have signed it. A copy of the signed report will be given to the Promotion and Tenure Committee Chair, to the Dean, and to the candidate.
6. The Dean will also provide a written assessment of the candidate's third-year review dossier. The Office of the Dean will submit this letter, the committee report, and the dossier to the Executive Vice Chancellor's Office by **May 1**.

7. The candidate will be invited to meet with the Promotion and Tenure Committee to discuss the report, preferably by the end of the spring semester. If the candidate's Third-Year Review raises significant issues, the candidate is encouraged to seek a fourth-year review.
8. All deliberations of the Promotion and Tenure Committee will be confidential.
9. Observing this schedule assures that the Promotion and Tenure Committee will have adequate time to review each dossier and the candidate will have time to complete the work necessary to be successful at the time of promotion and/or tenure. Any variation to this schedule must be requested in writing at least one week before the deadline. These written requests should be sent to the Chair of the Promotion and Tenure Committee.

B. Process and Responsibilities: Promotion and Tenure

Note: If specified dates fall on weekends or holidays, the next business day should apply. Persons or entities underlined in the items below are those responsible for initiating actions.

1. The Eligible Candidate Reports from the Faculty Records Office will be forwarded from the Dean to the Chair of the Promotion and Tenure Committee by **January 15**. If any of these dates falls on a weekend, the materials will be due at 5:00 pm on the following Monday.
2. By no later than **February 1**, the Chair of the Promotion and Tenure Committee will inform the candidates of their eligibility for tenure and/or promotion as well as the promotion and tenure schedule.
3. Candidates will send written notification of their intention to stand for promotion and/or tenure to the Chair of the Promotion and Tenure Committee by no later than **March 1** in the year when the dossier will be turned in. The Chair of the Promotion and Tenure Committee will give the Dean a list of people who intend to stand for promotion and/or tenure by no later than **March 7**.
4. Although normally candidates are not supposed to recommend possible external reviewers, if a candidate believes that the Dean and members of the P&T Committee may not be aware of leading scholars in the candidate's area of expertise, the candidate may submit a list of up to **ten** possible external reviewers to the Chair of the Promotion and Tenure Committee no later than **March 15**. For each possible external reviewer the candidate will identify why this person would be qualified to review the materials; how this person meets the "arm's length" independence criteria regarding the relationship the candidate has to the external reviewer; and the name, address, phone number, and e-mail address of the possible reviewer. The candidate may also submit a list of individuals who he or she would definitely **not** want to have considered as an external reviewer to the Chair of the Promotion and Tenure Committee,

also no later than **March 15**.

5. The Chair of the Promotion and Tenure Committee will submit a prioritized list of potential external reviewers for each candidate to the Office of the Dean no later than **April 1**. If the Promotion and Tenure Committee members have been unable to identify six external reviewers for a candidate, they will consider the names suggested by the candidate for inclusion on this list. They will not include those identified by the candidate as **not** wanted. For each possible external reviewer the Chair will identify why this person would be qualified to review the materials; what relationship the candidate has to the external reviewer; and the name, address, phone number, and e-mail address of the possible reviewer.
6. All Promotion and Tenure materials will be turned in to the Office of the Dean who will stamp the time and date on the materials and then file the material. "Office of the Dean" refers to the person or persons designated by the Dean to manage certain aspects of the promotion and tenure process.
7. Each candidate will prepare **seven** packets of information and submit them to the Office of the Dean no later than **April 15**. Packets of information generally include the candidate's curriculum vita, personal statement, and core evidence (see Guidelines, throughout, for definition and examples of core evidence), as available at that time. **Six** of these packets will be sent to the external reviewers; the remaining packet will be retained by the Office of the Dean in the candidate's file.
8. The Dean will write a letter soliciting each external review that will be sent with the candidate's packet of information. This letter will explain our promotion and tenure guidelines, identify the candidate's area of excellence, request a letter evaluating the candidate, ask for a copy of the external reviewer's resume or curriculum vita, and remind the external reviewer that their letter must be sent back by **June 1**. In addition to the materials provided by the candidate, the materials sent to the external reviewers will also include copies of the School and Campus criteria for promotion and tenure, and an External Reviewer Form, to be completed and returned by the external reviewer. Letters and packets of material will be sent out by the Office of the Dean by **May 1** via Fed Ex.
9. When the external evaluation letters are returned, the originals will be scanned and included in **Section 04** of the candidate's dossier by the Office of the Dean. Hard copies of the letters and completed External Review Forms will be filed in the candidate's paper files by the Office of the Dean. The Office of the Dean will notify the Dean of any letters that have not been received by **June 10**. By **June 30**, the Dean will either send a reminder letter or make a telephone call to any external reviewers who have not sent an evaluation letter, resume or curriculum vita, and completed External Reviewer Form. Candidates may **not** request to see these letters **until the final submission of**

the complete dossier on the first day of classes for the fall semester on the IUPUI campus (see #14 below) after **June 30**.

10. One copy of each resume or curriculum vita from the external reviewers will be made by the Office of the Dean. The original curriculum vita will be filed with the rest of the candidate's material in a separate file identified as curriculum vita related to (name of the candidate). The copies of the curriculum vita for external reviewers related to each candidate are not sent forward with the candidate's dossier.
11. The Office of the Dean will use the CVs of the external reviewers to write a brief description of each external reviewer describing and documenting the external reviewer's area of expertise. The Office of the Dean will include these summaries in the beginning of **Section 04** of the completed dossier, followed by the letters from the external reviewers and the completed External Review Forms, placed in the order they appear in the expertise statement list.
12. By **May 1**, each candidate whose area of excellence is teaching will give the Office of the Dean a copy of class rosters from the last five years. For candidates whose area of excellence is research or service or who are presenting a balanced case, submitting class rosters is optional. By **June 1**, the Dean will write a letter to students soliciting either letters of support or completion of an evaluation form. This evaluation form will be developed by the Promotion and Tenure Committee. Some system of random selection will be used to decide which fifty students should be asked for letters. When the letters are sent in, they will be filed by the Office of the Dean along with other material related to the candidate in a file titled letters of support from students for (name of the candidate). Note: to protect the confidentiality of the students and the integrity of the process, candidates will not have access to these individual letters or surveys.
13. By **May 15**, each candidate will give the Office of the Dean a list of colleagues and professionals who are familiar with the candidate's work and might be willing to write a letter of support. For candidates whose area of excellence is service, obtaining these letters is particularly important to document the candidate's service achievements. By **June 1**, the Dean will write a letter asking these people for letters of support to be returned by **July 15**. When the letters are sent in, they will be filed by the Office of the Dean along with other material related to the candidate in a file titled solicited letters of support for (name of the candidate). The Office of the Dean will prepare **Section 05** of the candidate's final electronic dossier, beginning with a sample of the internal reference solicitation letter, followed by the internal letters received. Note: candidates may have not request access to these solicited letters of support at any time upon request until the final dossier has been submitted.
- 14.** The final dossier sections prepared by the candidate (**Sections 06-11**) are due

on the **first day of classes for the fall semester on the IUPUI campus**. One electronic and one hard copy of **Sections 06-101** should be turned in to the **Office of the Dean**. ~~One hard copy of Section 11, the supportive, appendix material is adequate. The hard copy of S~~supportive material (**Section 11**) should be organized in file folders or notebooks which will fit in a file cabinet.

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- ~~14.~~**15.** ~~After submitting the dossier, the candidate may request to see the external review letters. Upon such request, the Office of the Dean will provide copies of this letter to the candidate.~~
- ~~15.~~**16.** The **Office of the Dean** will arrange for appropriate, secure, confidential storage of the dossiers during the review process. The full dossier will be placed in a locked file cabinet by the **Office of the Dean**, and, until October 15, members of the promotion and tenure committee will have priority access.
- ~~16.~~**17.** When the candidate submits his or her portions of the dossier to the Office of the Dean, the **Office of the Dean** will begin to assemble the final dossier, including the sections not prepared by the candidate (see Section IV.B of this document for a list of dossier sections and who is responsible for preparing them). **By one week after the first day of fall classes**, a checklist letter will be sent by the **Office of the Dean** indicating which materials have been received. A copy of this letter will be sent to the candidate and to the Chair of the Promotion and Tenure Committee.
- ~~17.~~**18.** By **September 15**, the **Chair** of the Promotion and Tenure Committee will tell each candidate about any materials added to or deleted from the dossier that will be sent forward to the campus committee and ask the candidate to sign off on the routing sheets. By no later than **October 15**, the **Chair** will give the Dean the original and three copies of the candidate's signed routing sheet. The **Office of the Dean** will scan the original for inclusion in **Section 01** of the electronic dossier, put the original signed routing sheet in **Section 01** of the candidate's paper dossier, and place the hard copy in the **Section 01** of the paper copy of the dossier to be retained by the School.
- ~~18.~~**19.** If extenuating circumstances exist, no later than **September 20**, the **Candidate** may submit a written request to the Dean and to the Chair of the Promotion and Tenure Committee to extend the time to submit the dossier. Under no circumstances will the deadline to submit dossiers extend beyond the **Wednesday before Thanksgiving**. If approved by the Dean, the **Office of the Dean** will forward the extension request by **September 30** to the Assistant Dean of the Faculties for FAA. Within one week of the extension being approved, the **Office of the Dean** must send the following information for each candidate electronically to ofaa@iupui.edu: (First, Middle and Last name; University ID Number; Area of Excellence; Type of Review (promotion, tenure or both); and Title sought (does not apply to tenure only candidates)).

- ~~19~~20. The Chair of the Promotion and Tenure Committee will submit to the Office of the Dean the Promotion and Tenure Committee's written recommendation containing its evaluation of the candidate's teaching, research, and service performance to later than **October 15**. This report will be printed on School letterhead and signed by all committee members. The original will be scanned for inclusion in **Section 02** of the candidate's electronic dossier, and two hard copies of the report will be made by the Office of the Dean. The original hard copy will be placed in **Section 02** of the appropriate candidate's paper dossier to be retained by the School. One copy of the signed report will be given to the Promotion and Tenure Committee Chair. The second copy of the Promotion and Tenure report will be given to the candidate no later than **October 15**.
- ~~20~~21. The Dean's report containing his or her recommendation regarding promotion and tenure and a summary evaluation of the candidate's professional activities must be dated, signed, and printed on School letterhead, no later than **October 22**. The original will be scanned for inclusion in **Section 02** of the candidate's electronic dossier, and three hard copies of the report will be made by the Office of the Dean. The original hard copy will be placed in **Section 02** of the appropriate candidate's paper dossier to be retained by the School. One copy of the signed report will be given to the Promotion and Tenure Committee Chair. The second copy of the Dean's report will be given to the candidate no later than **October 22**.
- ~~21~~22. The Office of the Dean is responsible for insuring that the candidate's final dossier is complete and organized as required prior to submitting the electronic dossier to the Faculty Records Office. The Office of the Dean is responsible for assembling **Sections 01-05** of the dossier (note that School of Social Work dossiers to be submitted to the IUPUI campus will not have a **Section 03**, Departmental level review) and the front part of **Section 10** containing the assessment of the quality and stature of journals or other dissemination vehicles containing the candidate's publications. The Dean will inform the Promotion and Tenure Chair when the dossiers are complete.
- ~~22~~23. No later than **the last Friday in October**, the Office of the Dean will send the electronic dossier for each candidate to the Faculty Records Office for the IUPUI Promotion and Tenure Committee by uploading a zipped folder to <https://www.slashtmp.iu.edu/> and sending a secure download link to ofaa@iupui.edu. Appendices (**Section 11**) and the CVs of external reviewers are **not** forwarded with the dossiers. A paper copy of the dossier will be kept with other promotion and tenure reports in a locked file cabinet. All other materials from each candidate will also be kept in a locked file cabinet until the all-campus promotion and tenure review is completed; at that time the supporting materials will be returned to each candidate.
- ~~23~~24. All deliberations of the Promotion and Tenure Committee will be confidential.

| ~~24.25.~~ Observing this schedule assures that the Promotion and Tenure Committee and the Dean will have adequate time to process each application. In the case of extenuating circumstances, a candidate may request in writing an extension of a deadline. These written requests should be sent to the Chair of the Promotion and Tenure Committee.

| ~~25.26.~~ If deadlines are not met by the candidate, the Promotion and Tenure Committee has the authority to not act on the candidate's application.

XII. PROCESS TIMELINES

A. *Third-Year Review Timeline*

SEPT:	Dean's Office informs P&T Chair which faculty are in their third year
SEPT:	P&T Chair provides candidates a Third-Year Review schedule and other materials
DEC 1:	Candidates on IUN notify the P&T Chair of their intent to complete a Third-Year Review
MAR 1:	Candidates turn in Third-Year Review dossiers to Dean's Office
APR 15:	The P&T Committee submits its review and recommendation letter to the Dean's Office and to the candidate.
MAY 1:	The Dean provides a written assessment of the candidate's dossier. The Dean's Office submits the dossier, committee report, and Dean's assessment to the Executive Vice Chancellor's Office.
MAY:	Candidates have the option of meeting with the P&T Committee to discuss the report.

B. *Promotion and Tenure Timeline*

JAN 15:	Dean's Office provides list of eligible candidates to P&T Chair
FEB 1:	P&T Chair informs candidates of their eligibility
MAR 1:	Candidates give notice of intent to stand for P&T
MAR 7:	P&T Chair provides list of candidates to Dean's Office
MAR 15:	Candidates provide list of potential external reviewers (if necessary – see Section V)
APR 1:	P&T Chair submits final list of selected external reviewers to candidate
APR 15:	Candidates submit 7 copies of packets for external reviewers (6 for reviewers; 1 for Dean's office)
MAY 1:	Dean's Office sends out packets to external reviewers, including External Referee Form and School and Campus criteria
MAY 1:	Candidates for Excellence in Teaching provide class rosters for last 5 years
MAY 15:	Candidates submit a list of colleagues and professionals for solicited letters to Dean's Office
MAY 30:	Dean's Office solicits support letters from professionals/ colleagues
JUN 1:	External review letters and completed External Referee Forms due
JUN 1:	Dean's Office sends letter/survey sent to sample of 50 students (if necessary) – Excellence in Teaching

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JUN 30:	Reminder letter/call to external reviewers (as needed)
JUN 30:	Dean's Office provides copies of external review letters to candidates
JULY 15:	Solicited letters due to Dean's Office
AUG, 1st day of classes:	Candidate submits complete dossier to the Dean's Office (1 electronic copy; 1 hard copy). <u>The candidate may request to see copies of external review letters and internal letters solicited by the Dean after the dossier has been submitted.</u>
AUG, 2nd week of classes:	Feedback on dossier format sent by Dean's office to candidates. The Dean, in consultation with the Chair of the P&T Committee, provides an assessment of the dissemination outlets in the candidate's area of excellence (or in all areas for a balanced case), such as the quality of journals, peer-reviewed conferences, and venues of presentations or performance. This assessment will be placed in Section 10 of the dossier with the candidate's curriculum vita.
SEPT 15:	P&T Chair informs the candidate of any dossier materials added/deleted
SEPT 20:	If a candidate wishes to request a time extension to submit a dossier due to extenuating circumstances, the Candidate may submit a written request to the Dean and to the Chair of the Promotion and Tenure Committee no later than September 20 to extend the time to submit the dossier.
SEPT, Last Friday:	If extenuating circumstances exist, a request for a time extension to submit a dossier to the Dean of the Faculties through OFAA should be sent by the last Friday in September to the Assistant Dean of the Faculties. Within one week of the extension being approved, the following information for each candidate must be sent electronically to ofaa@iupui.edu : (First, Middle and Last name; University ID Number; Area of Excellence; Type of Review (promotion, tenure or both); and Title sought (does not apply to tenure only candidates)
OCT 15:	P&T Committee Reports given to candidates
OCT, throughout	Office of the Dean assembles Sections 01-05 of the dossier, as well as the front section of Section 10 (assessment of the quality of journals or other dissemination outlets).
OCT 22:	Dean's report given to candidates
OCT, Last Friday:	Deadline for Candidate option to withdraw
OCT, Last Friday:	For campus level review, units/schools need to submit one electronic copy for each candidate to the Dean of the Faculties through OFAA no later than the last Friday in October .
NOV, Weds. before Thanksgiving:	Under no circumstances will the deadline to submit dossiers extend beyond the Wednesday before Thanksgiving. Dossiers submitted late after that date or not submitted in accord with these guidelines may be returned and consideration deferred until the following year.
JAN – MARCH:	Campus committee reviews dossiers and forwards recommendations to the Dean of Faculties and the Chancellor.
LATE MARCH:	Dean of Faculties and Chancellor review dossiers and make recommendations to the University President and Board of Trustees

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APRIL:	Action by Board of Trustees
LATE APRIL:	Official announcement of decisions
JULY 1	(12 month faculty): Promotion takes effect
AUGUST 1	(10-month faculty): Promotion takes effect
JULY 1 (of the following academic year):	Tenure takes effect