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DRAFT INCLUDING PROPOSED REVISIONS TO THE GUIDELINES  
FOR DISCUSSION AT NOV. 12, 2004  
SLA FACULTY ASSEMBLY

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SCHOOL OF LIBERAL ARTS  
INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS  
SCHOOL OF LIBERAL ARTS PROMOTION AND TENURE  
GUIDELINES

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INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS  
SCHOOL OF LIBERAL ARTS PROMOTION AND TENURE GUIDELINES

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## SLA Promotion &amp; Tenure Guidelines 3

## I. PURPOSE

The following guidelines for preparing promotion and tenure dossiers are intended to supplement the guidelines and comments issued each year by the IUPUI Dean of the Faculties. Chairs and candidates should also consult the *Indiana University Academic Handbook* and the *IUPUI Academic Handbook Supplement*. It is the primary intention of these guidelines to assist candidates and chairs in preparing well-documented dossiers. If a dossier does not contain sufficient information and documentation a candidate's case for promotion and tenure may be perceived as weak or unconvincing.

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School guidelines for chairs were first issued during the 1983-84 academic year. They are intended to assist faculty in responding to University policies, procedures, and criteria; they do not replace or alter University policies, procedures, or criteria. Chairs are expected to assist faculty in preparing the best possible cases for promotion and tenure through the annual review process and individual counseling throughout the year and not merely the weeks immediately preceding departmental review.

University policy requires that recommendations for tenure be prepared by chairpersons and or other appropriate administrative officers and that such recommendations be submitted through the academic administration of each campus. Only the board of Trustees can award tenure (see *Indiana University Academic Handbook*). Similarly, the names of those members of the department who are deemed worthy of promotion on the basis of the established criteria and all recommendations must be submitted through the academic administration of each campus. Only the Board of Trustees may approve recommendations for promotion (see *Indiana University Academic Handbook*).

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In addition to the policies contained in the *Indiana University Academic Handbook* and the *IUPUI Faculty Handbook*, the Dean of Faculties annually issues instructions for the preparation of dossiers, including the specification of contents and timetables for submission. These campus instructions are forwarded to department chairs who are responsible for following them in accord with supplemental directions from the Dean of the School of Liberal Arts; this document constitutes one such supplementation.

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All faculty, but especially untenured faculty and lecturers, must be aware of the University's "Policies

Governing Reappointment and Non-Reappointment during probationary period." The full statement may be found in the *Indiana University Academic Handbook* and the *IUPUI Faculty Handbook*. Chairs should review this statement annually and also inform faculty who may not be recommended for reappointment to review it as well.

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## II. GENERAL ISSUES

**A.** Immediately upon assuming their duties, all newly-hired tenured or tenure-eligible faculty members and lecturers, regardless of rank, will receive from their respective department chairs copies of four documents:

1. The promotion and tenure guidelines adopted by their respective departments.
2. The SLA Promotion and Tenure "Criteria Statement."
3. The SLA Promotion and Tenure Guidelines Document (i.e., this document)
4. The Tenure Timetable, which clearly states the expected year in which a tenure eligible faculty member will be put forward for tenure. For lecturers, a promotion timetable which clearly states the year in which a lecturer should be considered for promotion to senior lecturer.

**B.** All persons who are or will be associated with the tenure and promotion process of the School of Liberal Arts, IUPUI, including candidates, chairs, and members of various committees, should review these documents carefully.

**C.** The specific qualifications required for tenure and/or promotion are discussed in full in the departmental promotion and tenure documents and in the IUPUI School of Liberal Arts Statement on Promotion and Tenure. Campus guidelines are found in the Indiana University Academic Handbook. What follows here pertains only to the "Guidelines" to be followed in conducting tenure and/or promotion reviews.

**D.** In preparing dossiers, it is important to remember the audiences which will be evaluating them. There are six campus levels of review. All reviewers, whether colleagues in the department and School of Liberal Arts, administrators at various levels, or faculty from other academic units of IUPUI, will come to the dossiers with their own sets of presumptions and assumptions. They will inevitably be less swayed by assertions and claims of excellence than by demonstrations of unambiguous evidence. Selective statements, whether coming from a student, a colleague, a community leader, or a nationally prominent individual, should be supported by demonstrable evidence such as peer evaluations, student evaluations, and professional assessments.

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**E.** At each stage in the review process every candidate is to be informed, promptly, of the recommendations made regarding her or his tenure and/or promotion, in order that her or his response may go forward to the next level with the recommendation. Therefore, before the department chair's recommendation concerning a candidate is sent to the dean, the candidate too will be furnished with a complete and verbatim copy of that same recommendation. The candidate will also be provided at this time with a copy of the primary committee's report to the department chair, which shall include a record of the committee's numerical vote. However, the

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votes of particular members of the committee, as well as their individual judgments and comments, shall be kept confidential. Each candidate will indicate that she or he has received

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and read these documents by signing a copy of each and returning it to the department chair, along with any comment or reply she or he may wish to make. At this point the file will be forwarded to the dean's office.

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F. Before the dean's recommendation concerning a candidate is sent to the next level, the candidate will be furnished with a complete and verbatim copy of that same recommendation. The candidate will also be provided at this time with a copy of the SLA Promotion and Tenure Committee's report to the dean, which shall include a record of the committee's numerical vote. However, the votes of particular members of the committee, as well as their individual judgments and comments, shall be kept confidential. Each candidate will indicate that she or he has received and read these documents by signing a copy of each and returning it to the Dean's office, along with any comment or reply she or he may wish to make. At this point the file will be forwarded to the Office of the Dean of the Faculties by a date specified in the Campus Guidelines.

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G. The following provides detailed information on the responsibilities of: candidates for promotion and tenure; the department's primary committee (i.e., the committee at the department level charged with responsibility for promotion and tenure issues); the department chair; and the SLA Promotion and Tenure Committee. The information required for each of these persons and committees, however, is not limited to that described in these guidelines. In addition, information is provided on: guidelines for evaluation of applied research; external letters of recommendation; and candidates in interdisciplinary programs. The appendices contain the following: a sample copy of a letter to an external reviewer and the candidate's vitae in the format specified by the campus promotion and tenure guidelines (see Appendix F).

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*Note: Throughout this document, the terms "publication," "publisher," and "published" shall be understood to refer both to work available in printed form (books, articles, etc.) and to work available in electronic media (Internet, computer programs, software, etc.).*

### III. RESPONSIBILITIES OF THE CANDIDATE

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It is the responsibility of the candidate to document her or his accomplishments during the probationary period. The following list indicates several responsibilities of the candidate. They are not listed in any specific order of importance, and the list is not intended to limit the responsibilities of candidates to those listed.

Tenure-line faculty are responsible for demonstrating satisfactory performance in all three of the areas of teaching, research and creative activity, and service. Consideration for promotion or tenure, of course, requires demonstrated excellence in at least one of the three areas or, in exceptional cases, evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. Consideration of promotion of Lecturers to the rank of Senior Lecturer is based on demonstrated excellence in teaching, with at least satisfactory performance in service. Criteria for tenure and promotions are stated in the Indiana University Academic Handbook and page 1 of IUPUI's policy regarding Lecturer appointments, approved by the Faculty Council 7 Feb. 2002 ("Lecturer Appointments at IUPUI" <http://www.jaguars.iupui.edu/frames/home/lecturerpolicy.html> 1).

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A. Since a promotion is based primarily on accomplishments in rank, those achievements in teaching, service, and research and creative activity which are being cited as the basis for promotion should be clearly noted as having occurred subsequent to the candidate's attaining the current rank.

B. Accomplishments which are pending (e.g., articles submitted but not yet accepted or nominations for teaching excellence awards) should be clearly designated as such and considered appropriately within the context of the rank for which the candidate is being recommended.

C. Prior work of candidates hired with credit toward tenure should be considered in whole if the work is accomplished in rank. In some instances professional work completed while the candidate was not in a tenure track position, e.g., as a research associate, may count toward tenure. This will be subject to approval by the chair/program director and dean. Such approval should be arranged as early as possible in the candidate's career, and should be documented in writing.

D. All published or forthcoming works listed in a dossier must be cited according to the complete citation form, i.e., all citations must include title, publisher, place and date of publication, and page numbers.

E. Each publication should include a notation as to whether or not it was refereed and whether or not it was solicited. The significance of this information is always contextual and should be explained if it is not obvious.

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F. Publications which are in whole or in part derived from the candidate's dissertation should be so noted. The candidate should also carefully document which part of the work, both the underlying research as well as the writing, was drawn directly from the dissertation and which part of the work moved beyond the dissertation.

G. Works in print should be listed under "publications" in the vitae in the standard bibliographic format in chronological order. Works accepted for publication but which have not yet appeared in print should be included, but the notation "in press" or "forthcoming" should be added. Works submitted but not yet accepted may also be listed under the heading "submitted." It is important to make these three distinctions clear. In all cases, the manuscripts should be available for review. For the purposes of promotion and tenure, the following definitions apply:

1. An "In Press" publication, be it an article, chapter, or book, is one that has been accepted for publication and the author is awaiting final copy proofs. Candidates must provide a letter, from the editor and/or publisher of the manuscript, stating that final copy proofs are in production, for a publication to be listed as "In Press" on the candidates *curriculum vitae*.
2. A "Forthcoming" publication, be it an article, chapter, or book, is one that has been fully accepted for publication, but still requires revisions by the author. For an article or chapter to be listed as "Forthcoming" on a candidate's vitae the candidate must supply a letter from the editor stating that the manuscript has been accepted for publication. For a book length manuscript to be listed as "Forthcoming", the candidate must provide a copy of the contract from the publisher. Whether the publication be an article, chapter, or book, copies of all written reviews of the work upon which the publisher based her or his evaluation must also be included.
3. Letters from editors/publishers must be provided by the candidate to chairs in a timely fashion, such that they may be included with letters to referees.
4. If the candidate cannot provide the documentation described in 1 and 2 immediately above, then the work should be described as "submitted", and it should be listed as such.

H. It is the responsibility of the candidate to provide one copy, offprint, or preprint of each work published or accepted for publication (It is the chair's responsibility to provide multiple copies of these).

I. “Work in progress” should not be listed on the CV but should be reported in the personal statement.

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J. All known reviews (and not a selection) of a book or other work should be forwarded along with the book. The candidate should also provide copies of any published reviews of those works which he or she wishes the committees to consider.

K. If a candidate for promotion and/or tenure presents published or soon-to-be-published materials which cannot be given adequate evaluation because they are written in a language insufficiently known to members of the departmental or the SLA committee, the chair of either committee may request that the candidate prepare an English translation of selected portions of the materials (or a *precis* of them) that would permit the committee to make an informed evaluation. In certain cases it may be deemed

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necessary to invite a consultant, fluent in the language in question, to participate in the committee's discussions (but not to vote).

L. Papers given at professional meetings should be listed as a separate category under this heading.

M. A candidate's teaching record must be documented, not merely asserted. It is the responsibility of the candidate to provide an evaluation of teaching and advising materials. The candidate will provide summary statements of the results of teaching evaluations conducted since the candidate's last formal promotion evaluation, or for at least the three years preceding the year of the current review. If the department requires a peer review of teaching as part of the candidate's dossier, it is the candidate's responsibility to have this review completed in a timely fashion such that it may be included with other materials.

N. Proof of professional honors or recognition and proof of professional service, both within and without the University, is the responsibility of the candidate. She or he should submit all pertinent documentation when citing such honors, awards, or service, e.g., letters of appointment to committees; letters of recognition from local, regional, national organizations, etc. In any case in which a professional honor or award is cited, the candidate should also provide some information or documentation about the award or honor.

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O. Copies of all annual review summaries of the candidate, as reflected in chair's letters and letters from the department primary committee, should be included in an appendix to the dossier. If an annual summary of the candidate is excluded from the dossier, the candidate must offer a compelling explanation for its exclusion. In addition, the candidate should discuss with the department chair submission of any other documents that may be

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deemed pertinent to promotion or tenure action. These annual reviews will not be forwarded to the Dean of Faculties unless specifically requested by that office.

P. Significant new materials may be added to the candidate packet during the review process. If such materials are introduced and are considered by one of the levels of

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review, then all previous reviewers, as well as the candidate, are obligated to receive copies. Earlier reviewers need not take any action as a consequence, but they must have an opportunity to reconsider their recommendations.

Q. It is the responsibility of the candidate to ensure that her or his materials, including the curriculum vitae, are placed in the proper format. In order to facilitate this, three-ring binders, divided into labeled sections, are available from the dean's Administrative Assistant. To facilitate evaluation, candidates are advised to include a sufficiently detailed table of contents for the dossier and for any appendices. The format of the curriculum vitae is available in Appendix F of this document. Model dossiers are available from the Dean's Administrative Assistant.

R. Should a candidate believe that procedures have not been followed by the department's primary committee, a written appeal may be directed to the department chair. Should a candidate believe that procedures have not been followed by the department chair or by the SLA Promotion and Tenure Committee, a written appeal may be directed to the dean.

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#### IV. RESPONSIBILITIES OF THE DEPARTMENT PROMOTION AND TENURE COMMITTEE: THE PRIMARY COMMITTEE

In commenting on the documentation, including the external letters, primary committees should address all of the aspects of the dossier including written recommendations and evaluations of the candidate's teaching, research or creative activity, professional service, and university citizenship. The primary committees should also consider the candidate's strengths and weaknesses, real or apparent. Overlooked strengths and weaknesses can gain serious negative proportions in the review process. This is especially true of weaknesses. They gain importance by being ignored. When a dossier is reviewed at levels beyond the department without explanation of a perceived weakness, the latter can assume much greater importance than it may warrant, and candidates should be aware of this possibility.

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It is recommended that the term of appointment to a department's primary committee begin in January and end the following December. In this manner the primary committee that initiates the process of promotion and tenure in the spring will be the same primary committee that evaluates the candidate in the fall.

The responsibilities of the department promotion and tenure (primary) committee include, but are not limited to, the following:

A. At the department level, appointment to the primary committee shall be made in such a way that no one who is otherwise qualified shall be barred from service on the basis of ethnicity, gender, physical disability, race, religion, or sexual orientation.

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B. The department chair shall explain to the committee at their first meeting that, should there arise in the course of deliberation any questions regarding race, gender or other sorts of bias, then, at the request of one or more members, the committee will consult with a representative of the University's Affirmative Action Office for advice and guidance in such matters.

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C. Members of the department's primary committee are not permitted to discuss the candidate's evaluation with her/him, unless the committee as a whole should formally request such a discussion. Any such request on the part of a committee must be communicated to the candidate through the chair of the department committee. Any questions the candidate may have regarding the committee's procedures must also be directed to the chair of the department's primary committee

D. Primary Committee Evaluation of the Candidate's Research and Creative Activity.

1. The committee will summarize the content of all available reviews of the candidate's publications.

2. The committee will evaluate anthologies, books, and journals in which the candidate's works have appeared or will appear, and will summarize their relative

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standing in the candidate's field (The chair will provide an evaluation of the stature of journals, presses, etc., as described below in section V, "Responsibilities of the department chair").

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3. The committee will summarize and evaluate invited and volunteered conference papers, talks, poetry readings, performances, etc. that the candidate has given, while also assessing the relative importance of the meetings (conferences, colloquia, etc.) at which the contributions were made.

4. The committee will summarize the relative importance to the department and institution of the candidate's scholarly and creative production. If the candidate is said to have national or international standing, this claim must be substantiated.

5. In addition to judging the quality of the candidate's individual contributions, the committee will also assess the coherence, quality, development, and potential value of the candidate's overall research and creative activity program and will assess the relevance to that general program of all individual research products.

6. Scholarly editing, where it can be shown to require sustained research and original or critical activity, may be offered as another example of scholarly activity. In most instances, however, journal editing or similar activity will be understood as "professional service."

#### E. Primary Committee Evaluation of the Candidate's Teaching.

1. The committee will evaluate local, regional, national awards or recognition the candidate may have won for teaching, and determine their importance.

2. The committee will evaluate and comment on the candidate's teaching effectiveness. This evaluation and commentary will be based on summary statements of the results of teaching evaluations – by both students and peers – conducted since the candidate's last formal promotion evaluation, or for at least the three years preceding the year of the current review. This information is to be provided by the candidate.

3. The committee will evaluate materials developed by the candidate that include, but are not limited to, the following:

- a. course development/revisions
- b. "peer evaluations" for others

- c. presentations on teaching (both local and elsewhere)
- d. program development/revisions
- e. textbooks
- f. web based materials

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4. The committee will include any other pertinent information concerning the quality of the candidate's teaching.

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#### F. Primary Committee Evaluation of the Candidate's Service.

1. The committee will evaluate and summarize all evidence provided by the candidate concerning service, and will carefully weigh all claims made about the significance of such service. The committee's responsibility includes, but is not limited to, an evaluation of service to the following:

- a. The candidate's department or program
- b. SLA and campus programs that are not covered under the candidate's service to the department
- c. The IUPUI Campus (and/or units on Campus other than SLA)
- d. The University
- e. The community (locally and elsewhere)
- f. The candidate's profession

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2. The committee will evaluate any service leadership (e.g., involvement in a special task force, or leadership of the reorganization of a program) performed by the candidate, at all levels of the University

3. The committee will evaluate the candidate's service in faculty governance and boards of review

## V. RESPONSIBILITIES OF THE DEPARTMENT CHAIR

The chair is expected to provide a candid, independent recommendation regarding each candidate for promotion or tenure. The chair's recommendation should be made after a review of the dossier and the recommendations of the primary committee. However, the chair is to make an independent assessment and recommendation which need not coincide with that of the primary committee. Departmental bylaws do not bind a chair to support the recommendation of the primary committee. In assessing a candidate, the chair should *evaluate* the candidate in each of the areas of teaching, research and creative activity, and service, and not provide a description of his or her activities and accomplishments. The quality of the candidate's work should be emphasized and not overlooked for the quantity. Superlatives which cannot be supported with substantive evidence are likely to detract from the candidate's strengths. References to documents omitted in the dossier may do likewise.

While evaluations by home departments in consideration of tenure have priority over a faculty member's association with other units, chairs much evaluate the activity in other units of faculty who have nominal or adjunct appointments in those units, and this activity must be considered when faculty members are reviewed for promotion and/or tenure. When the candidate has an appointment in an external unit, it is the responsibility of the department chair to obtain an assessment of the candidate's contribution to the external unit from the unit's director (or other appropriate person/s). If the candidate has an appointment with more than one program, or is engaged in an active inter-disciplinary program it is the responsibility of all chairs and directors involved to ensure that the procedures in section IX are followed, and that a written document detailing how the review is to occur is produced well in advance of the review. In addition, the department chair shall ensure that the department promotion and tenure committee consult with appropriate representatives of the external unit, as described below under "IX. Joint and Adjunct Appointments and Involvement in Multiple Programs."

Throughout the probationary period, chairs (or designees) should advise candidates about both adequacy of the documentation as well as the effective presentation of information in their dossiers, particularly in regard to the quantity of evidence offered. Dossiers should not overwhelm reviewers with so much information that significant accomplishments are lost among endless details. In assembling the actual dossier, do not use plastic sheet covers or other binders which make the dossier difficult to use.

The chair's responsibilities also include, but are not limited to, each of the following:

- A. The chair is responsible for ensuring that the departmental review process operates effectively and fairly within the established time constraints and that recommendations are submitted by the established deadlines.

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1. The chair is responsible for making certain that three additional copies of the dossier, excluding publications, appendices, and other supporting materials, are submitted with the original dossier. The chair is also responsible for ensuring proper format and completeness and signing the checklist.

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2. The chair is responsible for adding external letters to the dossier before it is reviewed by the primary committee. However, it is important to note that when referring to letters from external reviewers, direct quotations should not be attributed to a reviewer by name.

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The chair is responsible for providing all newly-hired tenured or tenure eligible faculty members, or lecturers, regardless of rank, copies of four promotion and tenure related documents:

a. The promotion and tenure guidelines adopted by their respective department.

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b. The SLA Promotion and Tenure "Criteria Statement."

c. The SLA Promotion and Tenure Procedures Document (i.e., this document).

d. The Tenure Timetable, which clearly states the expected year in which a tenure eligible faculty member will be put forward for tenure. For lecturers, a promotion timetable which clearly states the year by which the lecturer should be considered for promotion should be given.

3. The department chair shall ensure that the candidate's file remain intact and the identical file as was reviewed at the department level be forwarded intact to the dean's level.

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B. By March 1 of each year department chairs will write to all members of their departments who are eligible for tenure and/or promotion, inviting candidates for mandatory or optional review to submit their candidacies to the department chair and the chair of the departmental primary committee.

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C. The department chair will document the stature and nature of journals, presses, or other media that are noted in a candidate's dossier. In noting the stature of journals, circulation (compared with other journals in the field), date of founding, and rejection rate should be included whenever possible. It is recommended that departments have on file such information and that:

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1. it be easily available to candidates and potential candidates

2. it be regularly updated.

D. Candidates for promotion or tenure should be given at least one month to provide materials for the dossier. However, whenever possible, candidates should have much more time, even several months; moreover, the review process should be based on effective annual reviews. In accord with departmental procedures, the chair may delegate the task of assisting in the actual preparation of a dossier to a member of the department other than the candidate. The chair is still responsible, however, for ensuring that department members involved with promotion and tenure are acquainted with all information and guidelines issued by the Dean of the Faculties and the Dean of Liberal Arts.

E. In instances where the chair is a candidate for promotion or tenure and approved departmental policies do not make appropriate provisions, the chair of the primary committee will also assume the procedural responsibilities of the chair of the department.

F. To avoid any possible conflict of interest, the chair must take necessary steps to ensure that the review of a candidate for promotion or tenure has been conducted without the participation of a spouse or a person with an intimate personal or a substantial financial relationship with the candidate. Because these terms cannot be precisely defined, chairs must exercise their own judgment on how to comply with this requirement.

## VI. RESPONSIBILITIES OF THE SCHOOL OF LIBERAL ARTS PROMOTION AND TENURE COMMITTEE

The SLA Promotion and Tenure Committee is elected by the faculty, as described in the bylaws of the School of Liberal Arts. In evaluating a candidate for promotion and/or tenure, the committee will carefully consider all of the information provided by the candidate, as well as the recommendation of the department's primary committee and the department's chair. The committee shall also take into consideration the guidelines and criteria for promotion and tenure of the candidate's department.

In addition to the above, the responsibilities of the SLA Promotion and Tenure Committee include, but are not limited to, the following:

A. The person charged by the SLA Agenda Council with calling the first meeting of the SLA Promotion and Tenure Committee in the Fall of any given year shall take to that meeting copies of the University's affirmative action policies and guidelines. In addition, this person shall explain to the entire committee that should there arise in the course of deliberation *any* questions of bias as related to ethnicity, gender, physical disability, race, religion, or sexual orientation, then, at the request of one or more members, the committee will consult with a representative of the University's Affirmative Action Office for advice and guidance in such matters.

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B. At their first meeting, the committee shall elect a chair. This person is responsible for organizing future meetings of the committee. In addition, this person shall serve as the SLA representative to the IUPUI Campus Promotion and Tenure Committee.

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C. In any given year, it is likely that the committee will include members from departments that are presenting candidates. It is therefore stipulated that a committee member may not participate in discussions concerning candidates from his or her own department, that he or she must leave the room during such discussions, and that he or she must abstain from voting on those cases.

D. Faculty under review for possible promotion and tenure are to have no direct or indirect contact with the committee or its members regarding their own cases.

E. The SLA promotion and tenure committee will evaluate the recommendations of the primary committee and the department chair, taking into consideration whether the recommendations are based on adequate peer review, whether the rights of the candidate have been safeguarded in accordance with university-established procedures, and whether the recommendation takes into account the academic mission in support of which the



candidate has been hired and with respect to which her or his expectations have been formed and contributions rendered.

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F. In the event that the SLA promotion and tenure committee makes a recommendation that differs with the primary committee with regard to the designation of the candidate's area of excellence or their vote, the SLA promotion and tenure committee will not forward that recommendation to the dean without having first consulted with that committee and, as appropriate, the chair of the candidate's home department. This consultation will be facilitated by the SLA dean's office to avoid any improper communication between deliberative levels.

## VII. EXTERNAL LETTERS OF RECOMMENDATION

A. External Letters Required in All Tenure or Promotion Cases

For tenure-line faculty, a minimum of six letters from persons outside Indiana University is recommended for evaluation of each candidate. None should ordinarily come from the candidate's Ph.D.-granting institution.

For lecturers pursuing promotion to senior lecturer, a minimum of six letters is also required. However, these letters need not come exclusively from colleagues external to Indiana University, but may come from colleagues at IUPUI provided that they are outside the department or school.

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B. Protocols for Soliciting and Including External Letters

1. Each candidate may submit up to ten names of potential reviewers from outside the School of Liberal Arts to the chair of their department, but in so doing must take care to nominate only those persons whose objectivity will not be put in question (for example, by previous close association with the candidate as a research collaborator, co-editor, or dissertation adviser).

2. To the list of possible reviewers nominated by the candidate the department chair will add the names of other persons of his or her own choosing who are knowledgeable in the candidate's field.

3. The full list of potential reviewers, i.e., the list of all those whom the candidate has suggested together with all others whom the department chair is considering, will be discussed with the candidate, who will be given the opportunity to present compelling and legitimate reasons for removing any person(s) from the list. A list of all potential reviewers to whom the candidate has objected will be kept as a part of the official promotion and tenure file.

4. The final decision as to which persons will serve as reviewers will be made by the department chair, in consultation with the department's primary committee. Candidates may suggest names, but the department chair, after consulting with the department primary committee, will select the individuals to be contacted. It is understood, however, that in any case in which a candidate has presented compelling reasons for removing a particular person from the list of potential reviewers, the candidate's wishes will be respected and a letter will not be solicited from that person.

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5. Some (but no more than half) of those finally selected to serve as reviewers will be from the candidate's list of nominees.

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#### SLA Promotion & Tenure Guidelines 19

6. All letters from external reviewers must be included in the dossier. Neither the candidate nor any reviewer (or reviewing body) should exclude or remove any letters.

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7. Although external reviewers need not hold academic appointments, they should have the credentials and skills requisite for providing an expert evaluation of the materials submitted to them. External reviewers with academic appointments should hold at least the rank for which the candidate is being considered; exceptions to this rule must be justified.

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8. The names of all reviewers finally chosen, including those suggested by the candidate, will be kept confidential. *At no point in the process will the candidate contact, either directly or indirectly, external reviewers or potential reviewers regarding the tenure and/or promotion review.* If contacted by a reviewer, the candidate shall refrain from responding to questions about the promotion and tenure case and, instead, shall direct the reviewer to the department chair or the chair of the departmental promotion and tenure committee for any required information or directions.

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9. By June 1 of the year in which a candidate will go forward for tenure or promotion, the department chair will write a standard letter to all outside reviewers requesting an evaluation of the candidate. (Sample letters are provided.) Referees will be assured that their letters of reference will be held in strictest confidentiality, within the limits of applicable law, and University regulations. The letters to all reviewers must be substantively identical.

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10. In order to allow candidates time to gather materials for inclusion with the external letters, department chairs will notify candidates of the June 1 deadline in a timely fashion. At the latest, candidates should be made aware of this deadline by May 1.

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11. At least three of the letters of reference included in any promotion and tenure file must be dated after June 1 of the year in which the candidate seeks tenure and/or promotion. Letters must be solicited simultaneously in the year in which the candidate goes up for tenure or promotion.

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12. It is possible that an external reviewer's initial letter will prompt further questions from the department chair or from members of the primary committee. In such cases the department chair may request a second letter of reference from the reviewer,

asking for clarification of points in the initial letter or requesting additional information. All such follow-up requests, and all responses to them, must be in writing. Referees will again be assured that all such correspondence will be held in the strictest confidentiality within the limits of applicable law.

### C. Other Types of External Letters

In certain cases, it is strongly recommended that chairs solicit and submit additional letters. These may include the following:

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1. External assessments of publication venues. When publications are interdisciplinary or outside conventionally conceived disciplinary work, it may be necessary to contact others to assist in judging an individual's publications.

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2. Letters from collaborators are required in order to document how much credit the candidate deserves for jointly authored work. Collaborators are well positioned to comment on the degree of participation of a colleague, but they should not be enlisted to review the quality or significance of the candidate's work.

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3. Letters assessing the candidate's contributions to interdisciplinary work, including written evaluations from appropriate peers in research centers or other departments.

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## VIII. GUIDELINES FOR EVALUATING APPLIED RESEARCH

A. Introduction

Applied research has three important consequences for academic departments and faculty who become involved in its practice. First, applied research expands the audiences to which research results are directed. These audiences include a range of groups outside of the academy (e.g., community organizations, government agencies, businesses and corporations, primary and secondary school teachers, legal firms, archives, and other agencies). Second, applied researchers legitimately use an array of vehicles to communicate their research, analysis, and professional perspective to these audiences. These may include government reports, project papers, slide/tape and videotape presentations, and other forms of research reports and presentations. Third, applied research in the wider sense may include the application of learning as in the case of scholarly editing of publications. For instance, editing primary materials that are made accessible to secondary researchers or the editing of a special issue of a scholarly journal could be considered examples of scholarly editing.

B. General Guidelines

1. Differences between traditional and applied research must be recognized. The research and creative activities of applied researchers will take both traditional and applied forms, and it is the responsibility of the candidates initially to explain and to document the quality and quantity of their work and the contribution to knowledge behind their submissions.

2. Applied research displays considerable overlap between research and service. The result of such overlap creates scholarly activities in which service aspects enhance the impact of the research.

3. If an applied researcher chooses research as her or his area of excellence, then publications in media of quality are expected as evidence of scholarly work. Furthermore, candidates whose principal specialization is applied research are expected to present papers and to participate in scholarly meetings and colloquia, demonstrating a commitment to current scholarship in the field.

4. In addition to publications in various media, applied research may also include such work as the securing of grants and research contracts for themselves, their students, and their collaborators; serving as consultants, working with a range of non-university groups and organizations, and participating in national organizations; scholarly editing; recorded

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**Deleted:** Applied researchers have to demonstrate excellence in their work to peers in their field if it is to contribute to promotion and tenure. The profession of academics in a field of applied research who teach and do research and service in that field, has to evaluate the quality of accomplishments in applied research as members of the university community.

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**Deleted:** When applied researchers are candidates for tenure or promotion, the candidates should select either research or service as the area of excellence, noting that the area chosen is part of a continuum that includes the other and that has to be evaluated accordingly. Nonetheless, if service is the chosen area, there has to be genuine research at a satisfactory level apparent in the file regardless of the excellence in service. Outside evaluators should be asked to evaluate all aspects of candidates' work from this perspective, including (but not limited to) letters from nonacademics and professionals from other disciplines who are in a position to help document the candidates' work.

oral documents; reports and collaborative projects; visual productions; exhibits, and other activities that demonstrate the application of scholarship both to the needs of the public and the profession.

## SLA Promotion & Tenure Guidelines 22

5. When applied research is included in the dossier, it must be reviewed by peers in the candidate's field if it is to contribute to the case for promotion and tenure. External evaluators should be asked to evaluate all aspects of candidates' work including such items as letters from non-academics and professional s from other disciplines who are in a position to help document the candidates' work. It is also necessary to document that the candidates' work has made a contribution to knowledge either within the discipline or to the range of audiences listed above.

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¶  
D. While publications represent a desirable demonstration of scholarship, research and creativity in applied research may also take forms beyond those of traditional scholarship.¶

¶  
E. Closely related to applied researchers' scholarship is their role in the securing of grants and research contracts for themselves, their students, and their collaborators.¶

¶  
F. Applied research often includes serving as consultants, working with a range of nonuniversity groups and organizations, and participating in national organizations.¶

¶  
G. Internships are at the heart of many applied research programs. Supervising interns represents graduate-level teaching and should be evaluated as such.¶

¶  
H. Specific Criteria: Candidates for tenure and promotion should present evidence that documents the following more specific criteria.¶

¶  
1. Teaching ¶

¶  
a. Candidates whose principal specialization and teaching responsibility is in applied research are expected to demonstrate their ability to conceive, secure, and administer a strong internship program that gives students practical experience. Applied researchers are also responsible for liaison with the agencies or organizations in which they place interns and for securing grants and contracts for the support of the intern program and its students.¶

¶  
b. Applied researchers should also be judged by the criteria regularly used to determine good teaching at IUPUI. See: June 1992 Academic Handbook: Indiana University, p. 27.¶

¶  
2. Research and Creative Activities¶

¶  
a. Sound applied research depends on sound research, which can be made available to the public. Active commitment to scholarship is as important for applied researchers as for any other faculty members.¶

¶  
b. Candidates whose principal specialization is applied research are expected to publish and to present papers and to participate in scholarly meetings. At the same time, research and creative activities related to applied research may take forms beyond those of tradi( ... [1]

## IX. JOINT AND ADJUNCT APPOINTMENTS AND INVOLVEMENT IN MULTIPLE PROGRAMS

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### A. Joint Appointments

When a candidate has a joint appointment with another department, program, center, or other University unit, the chair of the department with the larger fractional appointment should assume responsibility for coordinating the preparation of the dossier and for ensuring proper consultation of the respective faculties (or comparable bodies) with each other. Should no unit have a larger fraction of the appointment, then the administrators in charge of the units should jointly determine the procedure to be followed in consultation with the candidate. If the involved parties cannot reach consensus, then they should consult the dean(s).

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When the larger fraction of a joint appointment is in a non-departmental unit, responsibility ordinarily resides with the chair of the department in which promotion or tenure would be granted, even when the candidate's departmental appointment is nominal.

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**Deleted:** In consultation with the chair, for example, the promotion and tenure committee might add to its membership an ex officio representative of the external unit. When the larger fraction of a joint appointment is in a non-departmental unit, responsibility ordinarily resides with the chair of the department in which promotion or tenure would be granted, even when the candidate's departmental appointment is nominal. In this situation, the department chair should confirm with the dean, by June 1 of the year in which the candidate will go forward for promotion and/or tenure, the procedures to be followed. By July 1, the chair should notify the candidate in writing of the procedures to be followed. It is important that annual reviews for faculty with joint appointments be conducted in a manner consistent with the consultation and coordination required for promotion and tenure decisions. Candidates should reasonably expect their respective administrators to have conferred over the entire period of their appointments.

For all faculty members with joint appointments, a memorandum of agreement that outlines review procedures should be developed at the time of appointment or when responsibilities change. For tenure track faculty such as agreement should be in place by the time of the faculty member's third year review. At the very latest, the procedures to be followed should be submitted to the dean(s) in writing on or before March 1 of the year in which the candidate will go forward for promotion and/or tenure. A copy should be provided to the candidate at the same time that it is provided to the dean. It is important that to every extent possible annual reviews for the faculty member be conducted in a manner consistent with the review for promotion and tenure decisions.

### B. Adjunct Appointments

In instances of an adjunct appointment, the chair of the primary appointment department should ensure that the department promotion and tenure committee consults with appropriate representatives of the external unit in a form which provides for adequate consideration of all relevant information.

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### C. Faculty Without Adjunct or Joint Appointments Who Are Active in Another Program Active participation in the activities of interdisciplinary programs may comprise an ongoing and integral part of a faculty member's professional activities. To the extent that

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this is so, these efforts should be recognized, alongside other relevant activities, in the evaluation procedures for promotion and tenure.

a. The candidate will be asked to include, as part of her or his promotion and tenure dossier, a detailed statement of all teaching, research, and service activities that she or he has undertaken as a participant in the relevant interdisciplinary program.

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The chair of the candidate's home department shall request from the director or chair of the relevant department, center or program a written evaluation of the degree and quality of the candidate's contributions for inclusion in the candidate's promotion and tenure dossier. This evaluation will be written by the director of the program.

Once documentation of a candidate's interdisciplinary or other program activities has been incorporated into the candidate's dossier it will be considered – at all stages of review and by all reviewers - as integral to the evaluation of the candidate.

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**Deleted:** 1. Participation in the activities of interdisciplinary programs may comprise an ongoing and integral part of a faculty member's professional activities. To the extent that this is so, these efforts should be recognized, alongside other relevant ¶ activities, in the evaluation procedures for promotion and tenure.¶

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**Deleted:** b. The Chair of the candidate's home department shall request from the ¶ Director or Chairperson of the relevant interdisciplinary program an ¶ evaluation of the degree and quality of the candidate's contributions to the ¶ interdisciplinary program.¶

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**Deleted:** This evaluation will be written by the Director of the Program in consultation with an *ad hoc* committee comprising two tenured faculty of appropriate rank who are also involved with the program. The evaluation ¶ document will be sent to the Chair of the candidate's home department for inclusion in the candidate's promotion and tenure dossier.

**Deleted:** d. Membership on such an *ad hoc* committee will be drawn from the faculty of the interdisciplinary program and will include the Director or Chairperson of the interdisciplinary program. The candidate will choose one member of the *ad hoc* committee and the Director or Chair will choose the other.¶

¶  
e. When the *ad hoc* committee mechanism appears unnecessary or redundant (e.g., when the candidate's involvement in the interdisciplinary program is minimal, or when there is a large overlap between the membership of the home department's promotion and tenure committee and the interdisciplinary program), two tenured member of the interdisciplinary program may be invited to serve as *pro tempore* and *ad hoc* voting members of the home department's promotion and tenure committee. In this situation, the candidate will choose one of these *ad hoc* members and the home department chair, in consultation with the home depart... [2]

**Deleted:** Once documentation of a candidate's interdisciplinary program activities has been incorporated into the candidate's dossier it will be considered – at all stages of review and by all reviewers - as integral to the evalu... [3]



APPENDIX A: SLA SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION  
(BASED ON THE SAMPLE LETTER OF THE DEAN OF THE FACULTIES)

Area of Excellence: TEACHING

Date

Title

Dear ( ):

Professor ( ) is being considered for promotion (and/or tenure) at the rank of ( ) in the department of ( ) within the School of Liberal Arts at Indiana University-Purdue University Indianapolis (IUPUI). Professor ( ) has identified teaching as her/his area of excellence. This is the area where the evaluation of peers is most important. I write to ask you to help us evaluate Professor ( )'s teaching.

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According to the Tenure and Promotion Criteria of the IUPUI School of Liberal Arts, if teaching is the primary criterion for promotion and/or tenure, then the candidate must have demonstrated a superior ability and interest in stimulating in students a genuine desire for study and creative work. Candidates should also provide evidence of a significant educational impact on their particular discipline or across disciplines, both inside and outside the School of Liberal Arts. Evidence of outstanding teaching might include indications of the success of students, student and peer evaluations, publication of textbooks or teaching materials, active participation in organizations and initiatives devoted to teaching, and other pertinent documentation. The standards for evaluation of the quality of the candidate's teaching are to be comparable to those of IUPUI's peers.

For those areas where you have sufficient knowledge, will you please provide us with your evaluation of Professor ( )'s teaching? Of special importance will be your comments on the significance of Professor ( )'s teaching publications [or other creative work]. [Your evaluation of the journals or any other publication or exhibition media in which Professor ( ) has published will be most useful.] If you are aware of any of Professor ( )'s contributions to professional organizations or her/his discipline through professional service activities or participation in professional meetings, I will welcome your comments. Indeed, any information you may have about Professor ( )'s qualifications will be appreciated. To assist you in your evaluation, I am enclosing a *curriculum vitae* and additional information on Professor ( )'s teaching.

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Since promotion (and/or tenure) requires at least satisfactory performance in all three of the areas of teaching, research (or creative activity), and service, please also include whatever evaluation you are in a position to provide of Professor (\_\_\_\_\_)’s research and service, taking into account both the enclosed materials and any other relevant information you may have. Of special importance to us are your views of the quality, significance, and impact of Professor (\_\_\_\_\_)’s research writings (or other creative work) and of the stature of the journals, presses, or other media in which (she/he) has published (or exhibited). [If the referee is receiving writings or creative work listed in the cv under teaching, add: We would also value a separate evaluation of the writings (or other creative work) that Professor (\_\_\_\_\_) has listed in (her/his) curriculum vitae under the heading of teaching, and an evaluation of the journals, presses, or other media in which those writings (or other creative work) have been published (or exhibited).]

It will help us in our evaluation if you also comment on how long and under what circumstances you have been familiar with Professor (\_\_\_\_). If for some reason you believe that there may be a conflict of interest in your evaluation of Professor (\_\_\_\_), please comment on this. To

SLA Promotion & Tenure Guidelines 26

provide other reviewers at the campus level with a context for your comments, I also ask that you include a copy of your vitae or a brief biography with your evaluation of Professor (\_\_\_\_)’s teaching.

On behalf of Professor (\_\_\_\_) and the Department of (\_\_\_\_) at IUPUI, I want to note that we very much appreciate your assistance. We are keenly aware of the demands this request places on you, and we assure you that your comments will be very highly valued. Although letters are not normally disclosed to candidates, a state law permits employees to gain access to their personnel files. We can appreciate concerns you might have about writing a candid assessment under this condition, but we sincerely hope you will agree to assist us. If upon reflection you feel that you cannot be completely candid, however, we will respect your decision not to write an evaluation.

In order to complete Professor (\_\_\_\_)’s dossier for University review, we would appreciate receiving your comments by (\_\_\_\_). I hope you will be able to assist us. Finally, although we are in the electronic age, IUPUI regulations require that evaluation letters like yours be signed originals. I will welcome questions by e-mail (chair@iupui.edu), but please remember that your final evaluation must be signed hard-copy.

Sincerely,

Chair

*NOTE: If a candidate waives right of access and this condition is stated in the letter requesting a reference, please note in the letter that there may be some circumstances under which the candidate may gain access at a later time, such as through legal proceedings.*

SLA Promotion & Tenure Guidelines 27

APPENDIX B: SLA SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION  
(BASED ON THE SAMPLE LETTER OF THE DEAN OF THE FACULTIES)

| Area of Excellence: RESEARCH AND CREATIVE ACTIVITY

Date

Title

Dear (\_\_\_\_\_):

Professor (\_\_\_\_\_) is being considered for promotion (and/or tenure) at the rank of (\_\_\_\_\_) in the Department of (\_\_\_\_\_) within the School of Liberal Arts at Indiana University-Purdue University Indianapolis (IUPUI). Professor (\_\_\_\_\_) has identified research as her/his area of excellence. This is the area where the evaluation of peers is most important. I write to ask you to help us evaluate Professor (\_\_\_\_\_)’s research and creative activity.

According to the Tenure and Promotion Criteria of the IUPUI School of Liberal Arts, if research [or other creative activity, or public and applied scholarship, including collaborative work] is the primary criterion for promotion and/or tenure, then the candidate must have achieved a major body of work in a substantial field, and must also provide evidence of scholarly work for the future. The standards for evaluation of the quality of the candidate’s research and creative activity are to be comparable to those of IUPUI’s peers.

For those areas where you have sufficient knowledge, will you please provide us with your evaluation of Professor (\_\_\_\_)'s research or other creative activity, etc.? Of special importance will be your comments on the significance of Professor (\_\_\_\_)'s publications [or other creative work]. Your evaluation of the journals [or any other publication or exhibition media] in which Professor (\_\_\_\_) has published [or other appropriate language] will be most useful.

In addition, if you are aware of any of Professor (\_\_\_\_)'s contributions to professional organizations or her/his discipline through professional service activities or participation in professional meetings, I will also welcome your comments. Indeed, any information you may have about Professor (\_\_\_\_)'s qualifications will be appreciated. To assist you in your evaluation, I am enclosing a *curriculum vitae* and copies of publications [or other creative work]. It will help us in our evaluation if you also comment on how long and under what circumstances you have been familiar with Professor (\_\_\_\_). If for some reason you believe that there may be a conflict of interest in your evaluation of Professor (\_\_\_\_), please comment on this. To provide other reviewers at the campus level with a context for your comments, I also ask that you include a copy of your vitae or a brief biography with your evaluation of Professor (\_\_\_\_)'s research and creative activity.

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On behalf of Professor (\_\_\_\_) and the department of (\_\_\_\_) at IUPUI, I want to note that we very much appreciate your assistance. We are keenly aware of the demands this request places on you, and we assure you that your comments will be very highly valued. Although letters are not normally disclosed to candidates, a state law permits employees to gain access to their personnel files. We can appreciate concerns you might have about writing a candid assessment under this condition, but we sincerely hope you will agree to assist us. If upon reflection you feel that you cannot be completely candid, however, we will respect your decision not to write an evaluation.

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In order to complete Professor (\_\_\_\_)'s dossier for University review, we would appreciate receiving your comments by (\_\_\_\_). I hope you will be able to assist us. Finally, although we are in the electronic age, IUPUI regulations require that evaluation letters like yours be signed originals. I will welcome questions by e-mail (chair@iupui.edu), but please remember that your final evaluation must be signed hard-copy.

Sincerely,

Chair

*NOTE: If a candidate waives right of access and this condition is stated in the letter requesting a reference, please note in the letter that there may be some circumstances under which the candidate may gain access at a later time, such as through legal proceedings.*

SLA Promotion & Tenure Guidelines 29

APPENDIX C: SLA SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION  
(BASED ON THE SAMPLE LETTER OF THE DEAN OF THE FACULTIES)

Area of Excellence: SERVICE

Date

Title

Dear ( ):

Professor ( ) is being considered for promotion (and/or tenure) at the rank of ( ) in the Department of ( ) within the School of Liberal Arts at Indiana University-Purdue University Indianapolis (IUPUI). Professor ( ) has identified service as her/his area of excellence. This is the area where the evaluation of peers is most important.

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According to the Tenure and Promotion Criteria of the IUPUI School of Liberal Arts, if service is the primary criterion for promotion and/or tenure, the service should be exceptional and the documentation should demonstrate the impact of this service on the candidate's profession as well as contributions to the School of Liberal Arts and the community. The standards for evaluation of the quality of the candidate's service are to be comparable to those of IUPUI's peers.

For those areas where you have sufficient knowledge, will you please provide us with your evaluation of Professor (\_\_\_\_)'s service? Of special importance will be your comments on the significance of Professor (\_\_\_\_)'s service publications [or other creative work]. [Your evaluation of the journals or any other publication or exhibition media in which Professor (\_\_\_\_) has published will be most useful.] If you are aware of any of Professor (\_\_\_\_)'s contributions to professional organizations or her/his discipline through professional service activities or participation in professional meetings, I will welcome your comments. Indeed, any information you may have about Professor (\_\_\_\_)'s qualifications will be appreciated. To assist you in your evaluation, I am enclosing a *curriculum vitae* and additional information on Professor (\_\_\_\_)'s service.

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Since promotion (and/or tenure) requires at least satisfactory performance in all three of the areas of teaching, research (or creative activity), and service, please also include whatever evaluation you are in a position to provide of Professor (\_\_\_\_)'s research and teaching, taking into account both the enclosed materials and any other relevant information you may have. Of special importance to us are your views of the quality, significance, and impact of Professor (\_\_\_\_)'s research writings (or other creative work) and of the stature of the journals, presses, or other media in which (she/he) has published (or exhibited). [If the referee is receiving writings or creative work listed in the cv under teaching, add: We would also value a separate evaluation of the writings (or other creative work) that Professor (\_\_\_\_) has listed in (her/his) *curriculum vitae* under the heading of teaching, and an evaluation of the journals, presses, or other media in which those writings (or other creative work) have been published (or exhibited).]

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It will help us in our evaluation if you also comment on how long and under what circumstances you have been familiar with Professor (\_\_\_\_). If for some reason you believe that there may be a conflict of interest in your evaluation of Professor (\_\_\_\_), please comment on this. To provide other reviewers at the campus level with a context for your comments, I also ask that you include a copy of your vitae or a brief biography with your evaluation of Professor (\_\_\_\_)'s service.

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On behalf of Professor (\_\_\_\_) and the Department of (\_\_\_\_) at IUPUI, I want to note that we very much appreciate your assistance. We are keenly aware of the demands this request places on you, and we assure you that your comments will be very highly valued. Although letters are not normally disclosed to candidates, a state law permits employees to gain access to their personnel files. We can appreciate concerns you might have about writing a candid assessment under this condition, but we sincerely hope you will agree to assist us. If upon reflection you feel that you cannot be completely candid, however, we will respect your decision not to write an evaluation.

In order to complete Professor (\_\_\_\_)'s dossier for University review, we would appreciate receiving your comments by (\_\_\_\_). I hope you will be able to assist us. Finally, although we are in the electronic age, IUPUI regulations require that evaluation letters like yours be signed

originals. I will welcome questions by e-mail (chair@iupui.edu), but please remember that your final evaluation must be signed hard-copy.

Sincerely,

Chair

*NOTE: If a candidate waives right of access and this condition is stated in the letter requesting a reference, please note in the letter that there may be some circumstances under which the candidate may gain access at a later time, such as through legal proceedings.*

SLA Promotion & Tenure Guidelines 31

APPENDIX D: SLA SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION  
(BASED ON THE SAMPLE LETTER OF THE DEAN OF THE FACULTIES)

Area of Excellence: BALANCED

Date

Title

Dear (\_\_\_\_\_):

Professor (\_\_\_\_\_) is being considered for promotion (and/or tenure) at the rank of (\_\_\_\_\_) in the department of (\_\_\_\_\_) within the School of Liberal Arts at Indiana University-Purdue University Indianapolis (IUPUI). Professor (\_\_\_\_\_) is seeking promotion (and/or tenure) under the provision of a “balanced case.” It is very important that we receive a peer evaluation of Professor (\_\_\_\_\_)’s balanced case. I write to ask you to help us in this evaluation.

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According to the Tenure and Promotion Criteria of the IUPUI School of Liberal Arts, in a balanced case, the candidate’s overall contribution to the School of Liberal Arts, the University or one of its constituent units must be shown to be comparable in strength to that of a candidate with a single primary area. In research and creative activity, this requires evidence of significant contribution to a substantial field. In teaching, it requires evidence of an important contribution to teaching inside the School of Liberal Arts and, where possible, outside it. And in service, it requires evidence of significant impact on the School or Liberal Arts and/or the candidate’s discipline. The standards for evaluation of the quality of the candidate’s balanced case are to be comparable to those of IUPUI’s peers.

For those areas where you have sufficient knowledge, will you please provide us with your evaluation of Professor (\_\_\_\_\_)’s [teaching/research/service]? Of special importance will be your comments on the significance of Professor (\_\_\_\_\_)’s [teaching/research/service publications/or other creative work]. [Your evaluation of the journals or any other publication or exhibition media in which Professor (\_\_\_\_\_) has published will be most useful.] If you are aware of any of Professor (\_\_\_\_\_)’s contributions to professional organizations or her/his discipline through professional service activities or participation in professional meetings, I will welcome your comments. Indeed, any information you may have about Professor (\_\_\_\_\_)’s qualifications will be appreciated. To assist you in your evaluation, I am enclosing a *curriculum vitae* and additional information on Professor (\_\_\_\_\_)’s [teaching/research/service].

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It will help us in our evaluation if you also comment on how long and under what circumstances you have been familiar with Professor (\_\_\_\_\_). If for some reason you believe that there may be a conflict of interest in your evaluation of Professor (\_\_\_\_\_), please comment on this. To SLA,

#### Promotion & Tenure Guidelines 32

provide other reviewers at the campus level with a context for your comments, I also ask that you include a copy of your vitae or a brief biography with your evaluation of Professor (\_\_\_\_\_)’s [teaching/research/service].

On behalf of Professor (\_\_\_\_\_) and the department of (\_\_\_\_\_) at IUPUI, I want to note that we very much appreciate your assistance. We are keenly aware of the demands this request places on you, and we assure you that your comments will be very highly valued. Although letters are not normally disclosed to candidates, a state law permits employees to gain access to their personnel files. We can appreciate concerns you might have about writing a candid assessment under this condition, but we sincerely hope you will agree to assist us. If upon reflection you feel

Deleted: Department



that you cannot be completely candid, however, we will respect your decision not to write an evaluation.

In order to complete Professor (\_\_\_\_)'s dossier for University review, we would appreciate receiving your comments by (\_\_\_\_). I hope you will be able to assist us. Finally, although we are in the electronic age, IUPUI regulations require that evaluation letters like yours be signed originals. I will welcome questions by e-mail (chair@iupui.edu), but please remember that your final evaluation must be signed hard-copy.

Sincerely,

Chair

*NOTE: If a candidate waives right of access and this condition is stated in the letter requesting a reference, please note in the letter that there may be some circumstances under which the candidate may gain access at a later time, such as through legal proceedings.*

APPENDIX E: SLA SAMPLE LETTER TO REQUEST AN EXTERNAL EVALUATION FOR  
THE PROMOTION OF A LECTURER  
(BASED ON THE SAMPLE LETTER IN APPENDIX A)

Area of Excellence: TEACHING

Date

Title

Dear ( )::

Dr./Mr./Ms. ( ) is being considered for promotion to the rank of Senior Lecturer in the department of ( ) within the School of Liberal Arts at Indiana University-Purdue University Indianapolis (IUPUI). To be considered for a promotion to Senior Lecturer, a candidate must have achieved excellence in teaching and at least a satisfactory performance in university-related service. For that reason, I am writing to solicit your help in evaluating Dr./Mr./Ms. ( )'s teaching.

According to the Promotion Criteria of the IUPUI School of Liberal Arts, when teaching is the primary criterion for promotion, the candidate must have demonstrated a superior ability to inspire in students a genuine desire for study and creative work. ~~Candidates must also provide evidence of a significant educational impact on their particular discipline or across disciplines, both inside and outside the School of Liberal Arts.~~ Evidence for outstanding teaching might include important contributions to the curriculum of the school or campus; notable contributions in advising or mentoring; pedagogical research and its publication, presentation, or application; effective pedagogical innovations, including the effective use of technology; leadership in teaching; the success of former students; participation in teaching workshops, panels, and conferences; the securing of grants for teaching-related projects; contributions to the success and retention of first-year students; outreach and impact on K-12 education; and contributions to the documenting of student learning. The standards for evaluation of the quality of the candidate's teaching are to be comparable to those of IUPUI's peers.

For those areas where you have sufficient knowledge, will you please provide us with your evaluation of Dr./Mr./Ms. ( )'s teaching based on the documentation provided with this letter? If you are aware of any of Dr./Mr./Ms. ( )'s contributions in the realm of service to the institution or professional organizations, for example, I would welcome your comments. Indeed, any information you may have about Dr./Mr./Ms. ( )'s qualifications will be appreciated. To assist you in your evaluation, I am enclosing a *curriculum vitae* and additional information on Dr./Mr./Ms. ( )'s teaching.

It will help us in our evaluation if you also comment on how long and under what circumstances you have been familiar with Dr./Mr./Ms. ( ). If for some reason you believe that there may be a conflict of interest in your evaluation of Dr./Mr./Ms. ( ), please comment on this. To provide other reviewers at the campus level with a context for your comments, I also ask that you

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include a copy of your vitae or a brief biography with your evaluation of Mr./Ms. ( )'s teaching.

On behalf of Dr./Mr./Ms. ( ) and the department of ( ) at IUPUI, I want to note that we very much appreciate your assistance. We are keenly aware of the demands this request places on you, and we assure you that your comments will be very highly valued. Although letters are not normally disclosed to candidates, a state law permits employees to gain access to their personnel files. We can appreciate concerns you might have about writing a candid assessment under this condition, but we sincerely hope you will agree to assist us. If upon reflection you feel

that you cannot be completely candid, however, we will respect your decision not to write an evaluation.

In order to complete Dr./Mr./Ms. ( )'s dossier for University review, we would appreciate receiving your comments by ( ). I hope you will be able to assist us. Finally, although we are in the electronic age, IUPUI regulations require that evaluation letters like yours be signed originals. I will welcome questions by e-mail (chair@iupui.edu), but please remember that your final evaluation must be signed hard-copy.

Sincerely,

chair

NOTE: If a candidate waives right of access and this condition is stated in the letter requesting a reference, please note in the letter that there may be some circumstances under which the candidate may gain access at a later time, such as through legal proceedings.

APPENDIX F: CURRICULUM VITAE FORMAT FOR TENURE AND PROMOTION  
DOSSIERS (As supplied by the Dean of the Faculties)

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NAME: \_\_\_\_\_  
(Last) (First) (Initial)

EDUCATION:

Undergraduate: \_\_\_\_\_

Graduate: \_\_\_\_\_

Post Doctoral: \_\_\_\_\_

ACADEMIC APPOINTMENTS (inclusive dates):

OTHER APPOINTMENTS AND PROFESSIONAL CONSULTANTSHIPS (including other remunerated employment):

LICENSURE AND CERTIFICATION:

PROFESSIONAL ORGANIZATIONS (including offices held and committee memberships):

HONORS AND AWARDS:

**TEACHING ASSIGNMENTS:**

List the course number, short title, term, and enrollment for each course taught during at least the preceding two years.

**PROFESSIONAL SERVICE:**

Distinguish carefully between university and professional service and record professional service activities which advance the discipline or interdisciplinary field of inquiry.

**UNIVERSITY SERVICE:**

List committee, administrative, and other University service during the past three years.

**OTHER PROFESSIONAL ACTIVITIES:**

Record professional activities in current rank which you consider significant which are directly related to your work as a faculty member, and which are not covered elsewhere in curriculum vitae, including international activities not listed elsewhere. Please do not include voluntary service, no matter how significant or important to the civic community.

**GRANTS AND FELLOWSHIPS:**

Indicate the name of the granting agency, title of the project, amount, and duration of all grants and fellowships received.

**PRINT AND ELECTRONIC PUBLICATIONS:**

Divide publications or creative works into one of four areas: (I) teaching, (II) research, scholarship, or creative activities, (III) professional service, or (IV) integration of two or more aspects of faculty work. List publications only once, even if a publication might be applicable to more than one area. Refereed and non-refereed works should be noted by separating works into distinct categories within each of the four areas. Publications should be numbered sequentially within each of the four sections.

Authors should be listed as they appear in the publication. Entries should be listed chronologically with the most recent listed last. The exact status of each publication should be noted if the status is ambiguous. For example, unpublished articles which have been officially accepted subject to revision should be identified as “submitted” or “under editorial review.” Work in preparation should be not listed in the vitae. Projected work or work in preparation should be reported in the personal statement.

Software, multimedia presentations, films or videos, and other scholarly or creative works designed for electronic technologies should be similarly listed in one of the three categories and be designated as refereed or not. If additional explanatory information would be helpful to reviewers, this information should be provided in an appendix to the dossier.

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(Date)

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(Signature of Candidate)

Within these conditions, it will be necessary to document that the candidates' work has made a significant contribution to knowledge in the discipline.

D. While publications represent a desirable demonstration of scholarship, research and creativity in applied research may also take forms beyond those of traditional scholarship.

E. Closely related to applied researchers' scholarship is their role in the securing of grants and research contracts for themselves, their students, and their collaborators.

F. Applied research often includes serving as consultants, working with a range of nonuniversity groups and organizations, and participating in national organizations.

G. Internships are at the heart of many applied research programs. Supervising interns represents graduate-level teaching and should be evaluated as such.

H. Specific Criteria: Candidates for tenure and promotion should present evidence that documents the following more specific criteria:

#### 1. Teaching

a. Candidates whose principal specialization and teaching responsibility is in applied research are expected to demonstrate their ability to conceive, secure, and administer a strong internship program that gives students practical experience. Applied researchers are also responsible for liaison with the agencies or organizations in which they place interns and for securing grants and contracts for the support of the intern program and its students.

b. Applied researchers should also be judged by the criteria regularly used to determine good teaching at IUPUI. See: June 1992 Academic Handbook: Indiana University, p. 27.

#### 2. Research and Creative Activities

a. Sound applied research depends on sound research, which can be made available to the public. Active commitment to scholarship is as important for applied researchers as for any other faculty members.

b. Candidates whose principal specialization is applied research are expected to publish and to present papers and to participate in scholarly meetings. At the same time, research and creative activities related to applied research may take forms beyond those

of traditional scholarship, including editorial work, recorded oral documents, reports, collaborative projects, visual productions, grants and research contracts, exhibits, and

other projects that demonstrate the application of scholarship both to the needs of the public and the profession. Applied researchers may be expected to take an active part in applying research outside of the academy through consulting work, advisory reports, and other activities. The research and creative activities of applied researchers will take both traditional and applied forms, and it is the responsibility of the candidates initially to explain and to document the quality and quantity of their work and the contribution to knowledge behind their submissions.

c. In judging applied research against traditional criteria for research and creative activities see: June 1992 Indiana University Academic Handbook, p. 27-28.

### 3. Service

a. Candidates whose specialization is applied research, by the very nature of the field, will demonstrate a strong record of service to the community or the profession, as well as the usual record of service to the department, school, and university.

b. See also, June 1991 Indiana University Academic Handbook, p. 28.

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d. Membership on such an *ad hoc* committee will be drawn from the faculty of the interdisciplinary program and will include the Director or Chairperson of the interdisciplinary program. The candidate will choose one member of the *ad hoc* committee and the Director or Chair will choose the other.

e. When the *ad hoc* committee mechanism appears unnecessary or redundant (e.g., when the candidate's involvement in the interdisciplinary program is minimal, or when there is a large overlap between the membership of the home department's promotion and tenure committee and the interdisciplinary program), two tenured member of the interdisciplinary program may be invited to serve as *pro tempore* and *ad hoc* voting members of the home department's promotion and tenure committee. In this situation, the candidate will choose one of these *ad hoc* members



and the home department chair, in consultation with the home department primary committee, will choose the other.

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Once documentation of a candidate's interdisciplinary program activities has been incorporated into the candidate's dossier it will be considered – at all stages of review and by all reviewers - as integral to the evaluation of the candidate.