

**Indiana University East**  
**Promotion and Tenure Policy and Procedures**

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## A. Promotion and Tenure Procedures

### 1. INTRODUCTION

Promotion and tenure involve two different decisions. Promotion to any rank is recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. Tenure shall be granted to those faculty members and librarians whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. Tenure will generally not be conferred unless the faculty member or librarian achieves, or gives strong promise of achieving, promotion in rank within the University.

### 2. RIGHTS AND RESPONSIBILITIES OF THE CANDIDATE

The requirements of the University govern the nature of individual assignments in teaching, service, and research. However, the individual needs to receive assignments that are consistent with professional goals for career development. Chairpersons\* will thoroughly discuss rights and responsibilities with each faculty member to reach an understanding that will maximize the benefit of assignments to both the University and the faculty member. Individual faculty at different points in their career may well emphasize the three areas of teaching, service, and research and creative work to different degrees. However, regardless of the particular emphases, at no time will expectations in any of the three areas be reduced to zero. That is, while individual faculty may, with the approval of the University, place greater emphasis on teaching, service, and/or research and creative work at different points in their career, each faculty member will continue to maintain at least minimal expectations in all of the other areas. The faculty member has the right to be evaluated on the basis of the established objectives and criteria. The faculty member shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the academic handbook. Special procedures customarily employed in the department, school, program, or library unit of the University in which the faculty member or librarian is appointed shall be given to the faculty member in writing, before or at the time of initial appointment. (See "Policies Governing Reappointment and Non-Reappointment during Probationary Appointment Period," in the current Indiana University [Academic Handbook](#).)

\* In all cases the word Chairperson means the School Dean or appropriate supervisor if holding another title.

The School Dean and the candidate are jointly responsible for preparing the dossier and for providing supporting materials. The School Dean or Supervisor will provide the candidate with guidance and assistance in dossier development. Indiana University promotion and tenure policies are given in the Indiana University [Academic Handbook](#), which can be located at URL: <http://www.indiana.edu/~deanfac/acadhbk/>.

### 3. JOINT AND/OR DUAL APPOINTMENT

In the case of an academic joint and/or dual appointment, the candidate's "administrative home" School is the one recognized in the original contract with Indiana University.

#### 4. ROLE OF THE SYSTEM-WIDE PROGRAMS

It is the responsibility of the Executive Vice Chancellor for Academic Affairs to acquire in writing from each appropriate system-wide program an agreement specifying the rights and responsibilities of the candidate, system promotion and tenure procedures, timetables, and method of reconciling potential disagreements between I.U. East and the system-wide program, and inform the candidate and Dean and/or supervisor at the time of the initial appointment. In any case, the recommendation of the system-wide program Chairperson, Dean, Supervisor is forwarded to the Campus Promotion and Tenure committee.

#### 5. PROMOTION AND TENURE PROCESSES

##### a) Eligibility

###### (1) Tenure

An individual appointed to the faculty for full-time tenure track service is eligible to be considered for tenure after a probationary period of not more than seven years. This period may include full-time service with faculty rank at other institutions if similar services at Indiana University East would have been applicable towards tenure. In the case of persons with three or more years of applicable service in other institutions, a probationary period of not more than four years may be required, if agreed upon in writing at the time of the appointment. This agreement is binding upon both parties. The Executive Vice Chancellor for Academic Affairs will notify candidates eligible for tenure during September of the year prior to the candidate's tenure review.

###### (2) Promotion

The Indiana University does not specify a timetable for promotion. It is the privilege of any faculty member or librarian to submit a recommendation for the promotion of any faculty member or librarian including that of him/herself. These recommendations should speak to the established criteria for promotion. The nomination is given in writing to the faculty member's School Dean or Supervisor, who then notifies the nominated faculty member. The School Dean will then notify the Executive Vice Chancellor for Academic Affairs and the Chairperson of the Promotion and Tenure Committee. The nominee may withdraw his/her candidacy at any time.

b) Role of Candidate and Dossier Preparation

The candidate and School Dean or Supervisor are jointly responsible for the preparation of the dossier. During the pre-tenure years a candidate should maintain records of activities that support teaching, service, and research and creative work. These activities should be the basis of the candidate's annual report and should be consistent with the candidate's long-range plan and should demonstrate growth in each of these areas. The candidate's long-range plan will address school, campus and university expectations toward tenure. The candidate should regularly communicate with the Dean about progress and should incorporate suggestions from the Dean and other senior faculty within the school as appropriate.

The Dean will be responsible for including all university information about the candidate that would include a copy of the candidate's letter of appointment, annual service reports, supervisor's annual reviews, a summary of student evaluations of teaching contained in the annual service reports, letters about the candidate and other appropriate documents. The candidate will be responsible for including analyses of information, philosophies and histories, assessment of work, copies of appropriate documents and an index of dossier contents. In cases of promotion, the candidate must specifically indicate whether his/her own performance is "excellent" or "satisfactory" in teaching, service and research and creative work, or whether a balanced case is sought.

The dossier provides the evidence upon which the promotion and tenure decisions are to be made. At each stage of the dossier review (external reviewers, school P & T committee, Dean, the campus P & T Committee, the Executive Vice Chancellor and the Chancellor) the candidate may be asked for additional clarifying information. All requests for additional clarifying information must be in writing and state with specificity the information requested, the rationale for the request, and the deadline for receipt of the materials. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and the responses shall then become part of the dossier.

A candidate who receives a request for clarifying information must respond to the request in writing. The response may provide the clarifying information, refuse to provide the information, or aver that the information is unobtainable. The candidate's response becomes part of the dossier. The candidate may review his/her dossier at any time during the review process.

c) Role of the School Dean

The School Dean works with a promotion or tenure candidate continuously throughout the candidate's time at IU East.

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- (1) The Dean will inform the candidate of school, campus and university requirements for promotion and tenure soon after hiring. The Chairperson will clarify written documents and explain how the P&T process works and will provide the candidate with a copy of (a) Indiana University policies pertaining to promotion or tenure or both, (b) Indiana University East policies pertaining to promotion or tenure or both, (c) the School policies pertaining to promotion or tenure or both.
- (2) Annually the Dean of the school will communicate with the candidate about progress toward promotion and/or tenure. The supervisor's written annual review will indicate progress toward promotion and/or tenure.
- (3) During the year prior to the review process the School Dean will work with the candidate to identify possible external reviewers. Upon determining the identity and qualifications of the external reviewers the Dean will submit those names to the Executive Vice Chancellor for Academic Affairs.
- (4) As the actual promotion or tenure process commences the Dean will be responsible for assembling the university documents that are part of the dossier.
- (5) The Dean will read and evaluate the complete dossier including the recommendations of the external reviewers and the School Promotion and Tenure Committee, if applicable. The Dean will add his/her written recommendation to the candidate's dossier and send a copy to the candidate. In cases of promotion, the evaluation must specifically indicate whether performance is "excellent", "satisfactory" or "unsatisfactory" in teaching, service and research and creative work. For candidates who seek promotion based on a balanced-case-argument the evaluation shall also state whether promotion based on a balanced case is justified. (The Dean will not make a recommendation in his/her own case for promotion or tenure.) The Dean and/or supervisor will then forward the candidate's dossier to the campus P&T Committee with a letter of transmittal that describes the purpose of the candidacy, e.g., "candidate for tenure" and/or "candidate for promotion". In the event that a Dean has not supervised a candidate, for example the Dean or supervisor is new, the candidate may request that a senior faculty member or administrator familiar with the candidate's work write a recommendation to be included in the dossier prior to its submission to the Office of Academic Affairs. At the correct stage of the sequence of review of the dossier as explained in Section A.5.j of the IUE Promotion and Tenure Policy and Procedures, the Dean will write a recommendation. This letter will explain that he or she has not supervised the candidate, and explain how he or she has drawn conclusions from the materials presented in the dossier, including the recommendations in it.

### d) Role of School Promotion and Tenure Committee

All members of the School's promotion and tenure committee must have access to the entire dossier. Meetings of this committee shall be in executive session. Members of this committee may not participate or vote by proxy. The School Promotion and Tenure Committee\*<sup>a</sup> will read and collectively evaluate the complete dossier on the basis of the promotion and/or tenure criteria, including

the comments from the external reviewers. Only members who fully participated in the committee deliberations are eligible to vote. The School's P & T Committee completes a written recommendation describing the candidate's strengths, which is included in the dossier stating with specificity the rationale for the recommendation. In cases of promotion, the evaluation must specifically indicate whether performance is "excellent", "satisfactory" or "unsatisfactory" in teaching, service and research and creative work. For candidates who seek promotion based on a balanced-case argument the evaluation shall also state whether promotion based on a balanced case is justified. (The dossier with recommendation(s) included is forwarded to the School Dean.)

\* In cases of system schools, the system school review may constitute the School P&T committee review.

<sup>a</sup> In cases where there is no School P&T committee, this step is omitted.

e) Role of External Reviewers

The candidate's dossier will be sent to four (4) external reviewers within the candidate's discipline. All external reviewers will be tenured faculty at the college or university level and hold at least the rank for which the candidate is seeking promotion. In cases where the candidate is seeking tenure only, all external reviewers must be tenured and hold at least the rank that the candidate currently holds. External reviewers should not have a significant relationship with the candidate (such as thesis advisor, post-doctoral mentor, co-author, or former colleague or classmate, or personal relationship). At a minimum, such relationship must be clearly disclosed by the candidate or the reviewer. Reviewers' comments will be added to the dossier before the School Promotion and Tenure Committee members make their recommendation. External reviewers will be selected using the following procedure: (1) The candidate and school dean will jointly develop a list of at least six external reviewers whose qualifications meet the university criteria and who are acceptable to both the candidate and the dean. (2) The candidate's dean and the Executive Vice Chancellor for Academic Affairs will jointly select the external reviewers from the submitted list. (3) The full complement of reviewers will consist of at least one faculty member from another Indiana University campus and at least one faculty member from outside Indiana University. (4) The names of the external reviewers will be submitted to the Executive Vice Chancellor for Academic Affairs, who will make the formal request to the selected reviewers. In cases where the candidate is the dean of a school, the remaining deans will select one of their number to serve in the role of the school dean as described in parts (1) and (2) of the preceding procedure. In such cases, the candidate must notify the EVCAA of his or her candidacy in sufficient advance time to allow the timely selection of the external reviewers.

f) Role of the Campus Promotion and Tenure Committee

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All members of the Promotion and Tenure Committee must have access to the entire dossier. Meetings of the committee shall be in executive session. Members of the committee may not participate or vote by proxy. The Committee members (1) will read and collectively evaluate each completed dossier on the basis of the promotion and/or tenure criteria, including the recommendations of the external reviewers, the School Promotion and Tenure Committee, and the School Dean. (2) The committee's recommendation for or against promotion or tenure or both will be determined by secret ballot. Only members who fully participated in the committee deliberations are eligible to vote. (3) The recommendation of the P & T Committee to the Executive Vice Chancellor for Academic Affairs, with a copy to the candidate, will include a written, comprehensive and detailed rationale for the recommendation. It will also include a numerical tabulation of the vote on tenure. In cases of promotion the letter will include numerical tabulations of the votes on promotion, and rating (“excellence”, “satisfactory” or “unsatisfactory”) in teaching, service and research and creative work. For candidates who seek promotion based on a balanced-case argument the evaluation shall also state whether promotion based on a balanced case is justified. If there is not a unanimous vote, reasons for the differences in opinion will be included. (4) The chairperson or designated secretary will keep written notes from committee meetings. These notes and the ballots will then be placed in a sealed envelope and placed in a confidential file in the I.U. East archives. In cases of appeal or dispute the Executive Vice Chancellor for Academic Affairs shall authorize access to these archives.

### g) Role of the Executive Vice Chancellor for Academic Affairs

The Executive Vice Chancellor for Academic Affairs will make a written recommendation for or against promotion or tenure or both to the Chancellor, with a copy to the candidate, after evaluating the dossier and the recommendations of the external reviewers, School Promotion and Tenure Committee, the School Dean, and the Campus Promotion and Tenure Committee. In cases of promotion, the evaluation must specifically indicate whether performance is “excellent”, “satisfactory” or “unsatisfactory” in teaching, service and research and creative work. For candidates who seek promotion based on a balanced-case argument the evaluation shall also state whether promotion based on a balanced case is justified.

### h) Role of the Chancellor

The Chancellor will make a written recommendation to the President of the University after evaluating the dossier and the recommendations of the external reviewers, the School Promotion and Tenure Committee, the School Dean, the Campus Promotion and Tenure Committee, and the Executive Vice Chancellor for Academic Affairs. In cases of promotion, the evaluation must specifically indicate whether performance is “excellent”, “satisfactory” or “unsatisfactory” in

teaching, service and research and creative work. For candidates who seek promotion based on a balanced-case argument the evaluation shall also state whether promotion based on a balanced case is justified. The Chancellor will send a written notification to the candidate, the School Promotion and Tenure Committee, the School Dean, the Campus Promotion and Tenure Committee, and the Executive Vice Chancellor for Academic Affairs of the Chancellor's recommendation prior to the recommendation being sent to the President of Indiana University.

i) Reporting the Decisions

When the Chancellor's review process is completed the Chancellor will inform the candidate, in writing, with his/her summary of the decisions, the rationales, and the strengths and weaknesses in the candidacy. In the event of a negative decision, the candidate will be advised of his/her rights to appeal the decision and referred to the relevant section in the current Indiana University Academic Handbook.

j) The Summary Sequence of Review of the Promotion and/or Tenure Dossier is as follows:

- (1) Completed dossier is submitted to the Office of Academic Affairs.
- (2) Dossier is reviewed by the external reviewers.
- (3) Dossier is reviewed by the School Promotion and Tenure Committee, if applicable.
- (4) Dossier is reviewed by the School Dean.
- (5) Dossier is reviewed by the Campus Promotion and Tenure Committee.
- (6) Dossier is reviewed by the Executive Vice Chancellor for Academic Affairs.
- (7) Dossier is reviewed by the Chancellor of Indiana University East.

## **B. Promotion and Tenure Criteria**

### **1. THE PRINCIPLE OF TENURE**

"The principle of tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty members and librarian. In order to meet its responsibilities to its students and to society, the University must attract and retain faculty and librarians of outstanding quality. To that end the University provides academic freedom and economic security, which are implicit in the principle of faculty and librarian tenure. The faculty members, on their part, are obligated to maintain high standards of teaching, research, service, and professional conduct. Librarians, on their part, are obligated to maintain high standards of professional service, research and creativity, and performance in the development of library services and the communication of information and knowledge to others." (Indiana University Academic Handbook, June 1997)

## 2. CRITERIA FOR TENURE

"After the appropriate probationary period, tenure shall be granted to those faculty members and librarians whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for tenure and the criteria for promotion are similar, but not identical. Tenure considerations must recognize the diversity of the missions and the contexts of the campuses of the University and must not ignore the mission of the particular unit as defined in its statement of criteria and procedures and the individual's contribution to that mission. Tenure will generally not be conferred unless the faculty member or librarian achieves, or gives strong promise of achieving, promotion in rank within the University." (Indiana University Academic Handbook, June 1997)

The award of tenure is based on the qualifications and performance of individual faculty members and the long-term needs, objectives, and missions of the program, the school, and the university. Teaching, scholarly achievement, professional qualifications, and professional service shall be used in evaluating the performance of a candidate for tenure. To be awarded tenure, the faculty member should enhance the academic environment of the academic unit and the university. Tenure may be denied on legitimate grounds including the lack of need for a faculty member in the particular academic unit or academic specialization, financial exigency, or a failure to meet the performance standards required for promotion to associate professor. Tenure documents should present all post-terminal degree work.

In all cases a candidate for tenure may withdraw without prejudice from consideration prior to receiving official notification of the tenure decision. Withdrawal from tenure consideration in the penultimate year of the probationary period will be considered resignation from the university effective at the end of the probationary period.

## 3. CRITERIA FOR PROMOTION

"Teaching, research and creative work, and services which may be administrative, professional, or public are long-standing University promotion criteria. Promotion considerations must take into account, however, differences in mission between campuses, and between schools within some campuses, as well as the individual's contribution to the school/campus mission. The relative weight attached to the criteria above should and must vary accordingly. A candidate for promotion [or tenure] should normally excel in at least one of the above categories and be satisfactory in the others. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments." (Indiana University Academic Handbook, June 1997)

Promotion dossiers should present only work done while the candidate has been in the present rank, either at Indiana University or elsewhere.

#### 4. PROMOTION IN RANK

"[Individuals in clinical ranks should refer to the specific promotion statements relating to their ranks elsewhere in this handbook.] When considered for promotion, the individual should be assessed in regard to all three criteria of teaching, service, and research and creative work. Favorable action should result when the individual has demonstrated a level of excellence or distinction appropriate to the proposed rank in one area of endeavor and is satisfactory in the other two. Failure to promote may arise from unsatisfactory performance in the other areas." (Indiana University Academic Handbook, June 1997)

##### a) From Assistant Professor to Associate Professor.

"This advancement is based on continued improvement, whether in quality of teaching, in scholarship, or in the performance of service roles.

If teaching is the primary criterion, it should be distinctly superior to that of effective teachers at this and other similar institutions. If service to the University, profession, or community is the primary criterion, it should be discharged with merit and should reflect favorably on the University and on the individual's academic status. If research or other creative work is the primary criterion, the candidate should have demonstrated a broad grasp of his or her own and related fields and should be establishing a national reputation as a scholar. A definite and comprehensive plan for future scholarship covering a number of years and a beginning thereon which extends well beyond the limits of the doctoral dissertation should be evident." (Indiana University Academic Handbook, June 1997)

##### b) From Associate Professor to Professor

"This promotion is based upon achievement beyond the level required for the associate professorship.

If teaching is the primary criterion, the candidate must have demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work. Wherever feasible he or she should have demonstrated the ability to direct the research of advanced students. If service to the University, profession, or community is the primary criterion, distinguished contributions must be evident. If research or other creative work is the primary criterion, the candidate should have shown a continued growth in scholarship that has brought a national reputation as a first-class productive scholar." (Indiana University Academic Handbook, June 1997)

At Indiana University East, candidates for promotion to professor on the basis of teaching or service will often have forms of peer-acknowledgement, such as awards (local, regional, national), that attest to the distinguished quality of their teaching or service work. As an excellent teacher, the candidate will have demonstrated an ability to stimulate advanced research or creative work among students. If service is the primary criterion, the candidate will have an established record of distinguished service, the quality of which is evidenced through the acknowledgement of those served. If research and creative work is the primary criterion, a national reputation will be evidenced through the external reviewers' statements and supported with evidence from publications and readings and/or showings of creative works directed at a national audience.

## 5. EVALUATION OF TEACHING ACTIVITIES

Teaching is the primary responsibility of Indiana University East faculty. As such, the faculty engages in on-going professional development activities on teaching and learning and strives to create quality learning environments for all students. Quality teaching promotes learning and intellectual development by the students. Teaching evaluation systems should therefore be organized around characteristics crucial to the success of the teaching endeavor. Research indicates that there are multiple components involved in effective college teaching and fundamental to student success. The major research on teaching and learning has been summarized in the following six criteria and their respective components, known to have an effect on the quality of teaching and learning. These criteria form the basis for evaluating the quality of teaching at Indiana University East.

### a) Framework for judging the quality of Teaching:

The following provides a framework for faculty members to present their teaching and enable evaluators to judge the quality of that teaching. **NOTE:** These criteria should apply to a wide variety of teaching situations; however, their individual salience will vary depending upon the particular teaching environments involved.

#### (1) Teacher's Content Expertise

##### (a) **Effective teachers understand their academic field well.**

A teacher's knowledge base in a subject area is fundamental to the creation and enhancement of students' opportunities to learn well. A teacher's expertise assures that content is current and taught in adequate depth. Competence includes not only content knowledge but also the ability to organize, integrate, adjust, and adapt this content in ways that make it accessible and thought-provoking to the learner.

##### (b) **Effective teachers match their instruction to institutional and program learning objectives.** Indiana University East

has a set of learning objectives that defines outcome expectations for all students. Several academic programs have additional learning objectives tied to program review requirements. Faculty integrate their content expertise with these learning objectives to foster learning of the objectives across the disciplines.

(2) Course Design

- (a) **Effective teachers have a clear purpose that organizes course elements.** A teacher needs to provide an organizing framework that orients students to the course's ideas, materials, and activities.
- (b) **Effective teachers communicate high but realistic expectations.** The goals of a course must be challenging enough to motivate students, yet not so demanding as to overwhelm them.
- (c) **Effective teachers match the instruction to students' learning needs and interests.** The design of a course must include deliberate connections between the subject matter and students' needs and interests that engage them in the learning process. Good courses should be designed to help students extract main points and they should incorporate activities that connect learning to applications.

(3) Instructional Delivery

- (a) **Effective teachers use good communication skills.** The ideas and directions presented in class are clear and understandable. Good communicators go beyond clear information delivery to create environments that encourage comfortable, two-way communication between students and teacher.
- (b) **Effective teachers design learning environments that encourage time on task.** An effective teacher uses what is known about how people learn to design productive learning time so that teachers and students spend time on tasks that aid learning.
- (c) **Effective teachers engage students to use knowledge actively.** Learning is enhanced when students are engaged in active cognitive processes. Effective teachers can describe specific ways in which their understanding of cognitive processes shapes the design of instructional activities to ensure that students encounter the subject thoroughly.

(d) **Effective teachers use an appropriate array of methods.**

Teachers must be prepared to alter instructional methods to suit immediate goals and to accommodate students' different learning styles or developmental levels. However, it is the aptness of methods that is important to learning, not simply the presence of different teaching techniques.

(e) **Effective teachers encourage students to work together to learn.**

Peers are one of the most powerful learning aids. Effective teachers structure activities that use peer relationships to assist in the learning enterprise.

(f) **Effective teachers give regular, helpful evaluations of learning.**

To improve the quality of their work, students need continual, immediate, and helpful feedback. This evaluation system must provide specific information that both confirms knowledge gains and highlights the next steps for improvement.

(4) Instructional Relationships

(a) **Effective teachers and students are enthusiastic.**

The effective teacher is energetic and enthusiastic and finds ways to create student interest and commitment to the learning task.

(b) **Effective teachers and students need to know and respect each other.**

At the very least, it is important that students feel welcomed to talk to the instructor. The teacher's ability to connect with students constitutes a significant factor in learning success.

(c) **Effective teachers acknowledge and adjust to student differences.**

Teachers must be responsive to student differences such as class, race, gender, ethnic and lifestyle backgrounds, learning styles and developmental learning stages.

(d) **Effective teachers are fair and impartial in dealings with students.**

Students' perception that the teacher treats all students fairly is fundamental to the integrity of a class.

(e) **Effective teachers are open to receiving feedback and adjusting courses appropriately.**

The teacher provides, receives, and makes use of regular, timely, specific feedback about course procedures. The teacher develops a reflective approach to teaching by collecting feedback and using it to continually modify the approach to teaching.

(5) Course Management

(a) **Effective teachers organize instructional environments well.**

The way in which the classroom is organized as an environment determines how effectively it will support learning. Course management encompasses a range of issues such as: regular meetings with classes; timely assignment of tasks and return of feedback, and so on.

(b) **Effective teachers are available to help students, both in and out of the classroom.**

(6) Professional Development

(a) **Effective teachers hold high standards and engage in ongoing professional development.**

Good teaching requires that teachers have a rich understanding of pedagogical theory and practice and are able to engage in the on-going development and adaptation of their teaching approach. They use research on teaching and learning as it applies to instruction in their disciplinary field.

(b) **Effective teachers show improvement in their teaching through student feedback, peer review, and other appropriate feedback and review methods.** As teachers engage in appropriate professional development activities and apply what they are learning in their own teaching, the quality of their teaching and of their student's learning will improve.

(Adapted from *Report of the Task Force on Assessing and Improving Teaching and Learning at Indiana State University*, 1998)

b) Forms of evidence on the quality of Teaching:

- (1) Every dossier will contain a narrative, which includes a philosophy of teaching, in which candidates relate specifics of their teaching to the criteria for judging the quality of teaching. To do this, candidates will describe in detail up to three courses that they feel best demonstrate the evaluation criteria. It is the responsibility of candidates to make explicit the connections between their teaching documentation as evidenced in the selected courses and the evaluation criteria. It will be most helpful if at least one of the selected courses provides evidence over multiple semesters. In the narrative, candidates present an argument that their teaching has met or exceeded the criteria for judging the quality of teaching. Supporting documents, including the annual service reports and supervisor's annual reviews, may be

referred to in the narrative but do not by themselves constitute the candidate's argument.

- (2) Every dossier will provide appendices containing the following evidences of the quality of the candidate's teaching:
  - (a) Examples of class syllabi, reading lists, examinations, and handout materials from courses selected in "b)(1)" above.
  - (b) List of courses taught at IU East and their enrollments, organized by semester and academic year.
  - (c) Summaries and analyses of all student evaluations included in the annual service reports, organized by course and semester, including the procedures used for collecting the evaluations, enrollment in each section and number of students responding to the evaluation forms in each section.
  - (d) At least two peer evaluations of teaching and teaching materials.
  - (e) List of teaching awards and honors, if any; annotated if desired.
  - (f) An annotated list of professional development activities in teaching and learning.

A faculty member's teaching is SATISFACTORY when it can be demonstrated that the instruction is effective, taking into account the nature of the courses and their role in the mission of the university. A faculty's member teaching is EXCELLENT when it can be demonstrated that it is unusually effective or distinguished. The evidence to document excellent teaching must be based on a continuing record of effective instruction and it must also demonstrate how the teaching is unusually effective or distinguished.

Teaching is a central role of faculty at Indiana University East. All faculty have been asked to assume various roles in the on-going assessment of our academic programs. In addition, faculty often find themselves in the roles of developing and designing new curricula for their programs or the campus. The following statements are intended to provide some guidance on how these particular responsibilities are reflected in the promotion and tenure criteria. Some of the teaching criteria, e.g. 2)(c), 3)(b), 3)(d), 3)(f), 4)(c), 4)(e), and 6)(b) among others, clearly speak to these faculty activities. A faculty member might therefore choose a course that he or she developed as one of the three selected courses to include in the portfolio, relating the curricula development to the stated teaching criteria. These activities could also, if selected by the faculty member, be addressed in the service section of the dossier as service to the institution. In fact, the concluding statement about excellence in service includes a reference to initiating or effecting substantial change in curriculum of the unit, campus, or university. We recognize pedagogical scholarship, as evidenced through publications, presentations, and grants, on a par with more traditional forms of research and creative work. Evaluation of such work, if selected by the faculty member, will be through the criteria presented in the research and creative work section of the dossier.

## 6. EVALUATION OF SERVICE ACTIVITIES

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Indiana University East possesses a valuable resource in the educated talent, technical competence, and professional skill of its faculty and expects that this resource will be tapped as professional, community, and university needs warrant. Service activities by faculty members enhance their professional status and the status of the university. Effective service will receive the same consideration as proficiency in teaching or scholarship and creative work.

Service applies a faculty member's knowledge, skills, and expertise as an educator, a member of a discipline or profession, and a participant in an institution to benefit students, the institution, the discipline or profession, and the community in a manner consistent with the missions of the university and the campus. From year to year a faculty member's service duties will vary in terms of the extent of involvement and the constituencies that are served. It is expected that the levels of faculty participation in such functions will vary directly with seniority. Junior faculty should normally have less responsibility in the service area than senior faculty for whom more responsibility is generally expected. Among senior faculty members, there may be variations in responsibilities so that service duties do not become consistently burdensome for any specific individual.

Service to students:

Service to students involves activities that assist individual students and groups of students beyond the normal teaching responsibilities of every faculty member. These activities may involve support for curricular, co-curricular, and extra-curricular activities or organizations.

Service to the institution:

Academic programs, departments, schools, the campus, and the university as a whole are not simply organizations but are communities. As such, these communities rely on their members for the necessary energy, time, and leadership to sustain and develop them as viable and effective systems for accomplishing their missions. Faculty and administrators are members of these communities who share responsibility for their governance and advancement by contributing through institutional service. Service to the institution involves activities that help sustain or lead academic endeavors.

Service to the discipline or profession:

Service to the discipline or profession involves activities designed to enhance the quality of disciplinary or professional organizations or activities.

Service to the community:

Service to the community involves activities that contribute to the public welfare beyond the university community and call upon the faculty member's expertise as scholar, teacher, administrator, or practitioner.

a) Framework for judging the quality of Service:

The following provides faculty members a framework to present their service work and enable evaluators to judge the quality of that work. These quality indicators will be useful in evaluating all service work; however, their salience will differ depending on the work being evaluated and the instances of application (i.e., a single service activity or an overall service record). While faculty members may engage in many types of service as individuals, their service as faculty at Indiana University East will be evaluated on the following five criteria. Each criterion is accompanied by a list of characteristics that define how that criterion will be evidenced in a faculty member's service activities. **NOTE:** These characteristics will apply in varying degrees depending on the individual service activities of the faculty member.

- (1) **Impact/significance** is characterized by
  - (a) furthering the missions and goals of the appropriate levels of the campus and university
  - (b) influencing constituencies/stakeholders
  - (c) contributing to the professional development of the faculty member
  
- (2) **Intellectual work** is characterized by
  - (a) command and application of relevant knowledge, skills, and technological expertise
  - (b) contribution to a body of knowledge
  - (c) imagination, creativity, and innovation
  - (d) sensitivity to and application of ethical standards
  
- (3) **Importance of role** is characterized by
  - (a) consistency in completing necessary work
  - (b) sustained contribution
  - (c) increasing level of responsibility
  - (d) creative and responsible leadership
  - (e) consensus building
  
- (4) **Communication and dissemination** is characterized by
  - (a) responsible representation of work during and after completion
  - (b) communication with appropriate audiences
  - (c) use of modes of communication and dissemination appropriate to audiences
  - (d) analysis of and reflection on the service

- (5) **Interaction of service, teaching, and/or research** is characterized by
- (a) symbiosis of service, teaching, and research
  - (b) service that contributes to the learning environments for students and for faculty members

(From *Service at Indiana University: Defining, Documenting, and Evaluating*; 1999)

b) Forms of evidence on the quality of Service:

- (1) Every dossier will contain a narrative in which candidates relate specifics of their service to the criteria for judging the quality of service. To do this, candidates will, within the context of their overall plans of service, describe in detail up to three service activities that they feel best demonstrate the evaluation criteria. It is the responsibility of candidates to make explicit the connections between their service documentation as evidenced in the selected activities and the evaluation criteria. In the narrative, candidates present an argument that their service has met or exceeded the criteria for judging the quality of service. Supporting documents, including the annual service reports and supervisor's annual reviews, may be referred to in the narrative but do not by themselves constitute the candidate's argument.
- (2) Every dossier will contain a list of service activities to include:
  - (a) University service, (e.g. committees, taskforces, program assessment, curricula development) listed by semester and year:
    - (i) Department
    - (ii) School
    - (iii) IU East
    - (iv) Indiana University
  - (b) Service to the discipline or profession and external to the university.
  - (c) Service to the community.
  - (d) Annotated list of professional development activities in service.

A faculty member's service is SATISFACTORY when it can be demonstrated that the faculty member has participated actively in departmental, school, campus, university, community, or professional life. A faculty's member service is EXCELLENT when it shows sustained evidence of leadership or participation with distinction. The evidence to document excellent service would include awards or recognition from peer professional groups; initiating or effecting substantial change in curriculum, policy, procedures, or organization of the unit, campus, or university; or extensive, coordinated, fruitful activity in the service categories mentioned above.

## 7. EVALUATION OF RESEARCH AND CREATIVE WORK

Research and creative work are important and distinguishing features of a faculty member's responsibility. Broadly conceived, research entails systematic inquiry into a subject, attainment of a level of expertise, and communication of that expertise to others. Research may mean "new" in the same sense as a discovery or technological breakthrough. Research can also be advanced through the synthesis or integration of existing knowledge, by more effective explanation and dissemination of concepts, interpretations, and information that originated with other scholars, and by the application and engagement of knowledge in addressing contemporary problems. Broadly conceived, creative activity entails the creation of original works of art primarily through an expression of the imagination or the performance of such works created by oneself or others. Regardless of the nature of the research or creative work, they share a set of common elements that provide the basis for a set of standards against which all forms of such activities can be judged.

a) Framework for judging the quality of Research and Creative Work:

The following provides a conceptual framework to guide evaluation of all forms of research and creative work. **NOTE:** These criteria will apply in varying degrees depending on the particular research and creative works of the faculty member.

(1) Clear Goals: **A scholar must be clear about the aims of his or her work.**

The scholar states the basic purposes of his or her work clearly and defines objectives that are realistic and achievable. Clear goals help to define a project, give it structure, recognize relevant material, identify exceptions, and see new possibilities.

(2) Adequate Preparation: **The pursuit of scholarly work depends, fundamentally, on the depth and breadth of the scholar's understanding of subject matter.**

The scholar shows an understanding of existing scholarship in the field and brings the necessary skills to his or her work.

(3) Appropriate Methods: **At the most basic level, appropriate methodology gives a project integrity and engenders confidence in its findings, products, or results.**

The scholar uses and effectively applies methods appropriate to the goals.

(4) Significant Results: **A fundamental indication of a project's significance is its contribution to the field.**

A project should first meet its own goals. Its results should have meaning within the parameters the scholar has set for the project. The

scholar's work sometimes opens additional areas for further exploration and/or adds consequently to the field.

(5) **Effective Presentation: The contribution made by any form of scholarship relies on its presentation.**

Scholarship, however brilliant, lacks fulfillment without someone on the receiving end. The presentation of scholarly work is a public act, and even though some work is highly esoteric, it must ultimately be known and understood by at least the members of that special audience. The scholar must, therefore, present his or her message with clarity and integrity while using appropriate forums for communicating the work to its intended audiences.

(6) **Reflective Critique: This standard involves the scholar thinking about his or her work, seeking the opinions of others, and learning from this process so that scholarship itself can be improved.**

The scholar uses self and other critical evaluation to improve the quality of research and/or creative work. Through reflection comes creativity. This ability to invent, devise, envisage, and improvise, is the key to success in all types of research and creative work. Effective scholars think about what they are doing while they are carrying out their work.

(From Glassick, Huber, and Maeroff, *Scholarship Assessed: Evaluation of the Professoriate*, 1997)

b) **Forms of evidence on the quality of Research and Creative Work:**

For some, publication in scholarly or professional journals or the publication of specialized monographs or books may be appropriate. For others, a program of applied scholarship resulting in products that may be used within an academic discipline or by other professionals may be an appropriate form of evidence. Presentations at professional meetings, demonstrations to other professionals, or proposals reviewed by other professionals may provide evidence. Faculty members in areas in which creative production plays a significant role may give evidence of their productivity through public exhibitions and showings or public performances and readings, as well as through published works.

- (1) Every dossier will contain a narrative in which candidates relate specifics of their research and creative work to the criteria for judging the quality of such activities. To do this, candidates will describe in detail up to three products that they feel best demonstrate the evaluation criteria. It is the responsibility of candidates to make explicit the connections between their documentation as evidenced in the selected products and the evaluation criteria. Included as part of this narrative should be an outline of the candidate's research and creative work plan, including both an historical review as well as a

look at future goals and work in progress. In the narrative, candidates present an argument that their research and creative work has met or exceeded the criteria for judging the quality of research and creative work. Supporting documents, including the annual service reports and supervisor's annual reviews, may be referred to in the narrative but do not by themselves constitute the candidate's argument.

- (2) Every dossier will contain the following:
- (a) An annotated list of scholarly products (e.g. publications, presentations, art work, creative writing pieces, grants, and so on) to include:
    - (i) Distinctions between peer-reviewed, juried, invited, and other works.
    - (ii) Statement of the candidate's contribution to works having more than one author.
  - (b) An annotated list of works in progress.
  - (c) An annotated list of professional development activities related to research and creative activity.

The case for research and creative work is evaluated on the basis of appropriateness of plan, demonstration of progress, and the quality attained. A faculty member's research and creative work is considered SATISFACTORY when the faculty member demonstrates a continuing program of research and creative work that includes peer-reviewed products or efforts. A faculty member's research and creative work is considered EXCELLENT when the faculty member meets the criteria for satisfactory and has several publications or creative presentations that have been professionally evaluated (peer review, juried, invited) and are judged to be of superior quality.

### **C. Promotion & Tenure Dossier Outline \***

#### **1. COMMENTS ABOUT DOSSIER ORGANIZATION AND SIZE**

- a) No document should appear in more than one section of the dossier. Reference to the original entry should be made in subsequent sections.
- b) Candidates should avoid including in their dossiers any material that is unrelated to promotion, tenure, or reappointment.
- c) Tenure dossiers should present all post-terminal degree work; promotion dossiers should present only work done while the candidate has been in the present rank, either at Indiana University or elsewhere.
- d) Dossiers should fit within a binder that is a maximum of four inches wide. Candidates may use two-sided printing. No supplemental binders will be accepted.

The candidates are responsible for explaining the relevance of evidence submitted in their dossiers, evaluation criteria, and to guide the reader through the material by arranging and presenting it clearly. They should remember that some readers will not be familiar with the candidates' areas of expertise or with the proper weight to be given to some specialized evaluations (e.g., those of external scholars, refereed journals).

## 2. OUTLINE FOR DOSSIER FORMAT

### I. Introduction

- A. Title page (specifying whether for tenure or promotion or both)
- B. Table of contents

### II. University Documents

- A. Letter of appointment
- B. Curriculum vitae
- C. Annual service reports and supervisor's annual reviews

### III. Recommendations

- A. Statements from official P&T levels of review
- B. Statements from outside reviewers
- C. Letters from faculty, administrators, students, and others

### IV. Teaching

- A. Table of contents for the teaching section
- B. Forms of evidence on the quality of teaching (see VIII-3.B.5)
- C. Other relevant evidence of teaching.

### V. Service

- A. Table of contents for the service section
- B. Forms of evidence on the quality of service (see VIII-3.B.6)
- C. Other relevant evidence of service.

### VI. Research and Creative Work

- A. Table of contents for the research and creative work section
- B. Forms of evidence on the quality of research and creative work (see VIII-3.B.7)
- C. Other relevant evidence of research or creative work.

\*Note: Faculty librarians should consult the guidelines issued by the Dean of University Libraries.

### **D. Severability**

If a provision of this policy is held in violation of state or federal laws and regulations, or contrary to Indiana University policy, or otherwise invalid, only the affected part shall be void. This invalidity shall not affect other provisions of this policy which can be given effect without

Promotion and Tenure Policy and Procedures

the invalid provisions. To this end, the provisions of this policy are severable.

Approved by Indiana University East Faculty Senate, 5/1/01; Rev. 3/2/04, 5/4/04; Amended 5/5/09, 3/2/10