



**FACULTY PROMOTION AND TENURE DOSSIER CONTENT
AND FORMAT GUIDELINES***

(Supersedes OAA Memoranda 89-2 and 93-1)

OAA 98-4 is considered a companion document to Fort Wayne Senate Documents 88-13, 88-25, 94-3 and 97-22; the various school, division, and department statements concerning promotion and tenure criteria and procedures; the Academic Handbook of Indiana University; and the Faculty and Staff Handbook and related Executive Memoranda of Purdue University.

Since "the most important decisions in the academic profession, for the individual and for the institution, regard the granting of tenure and the awarding of promotion" (SD 88-25), OAA 98-4 provides detailed suggestions for a concise and functional format for your promotion and/or tenure dossier. Because you alone bear the final responsibility for the content and organization of your dossier, your use of these guidelines is optional. However, you should be aware that these suggestions have a long tradition at IPFW. In fact, the Senate emphatically affirmed that tradition in

SD 97-22 now amended to SD 88-13, which states that "in tenure and/or promotion cases wherein tenure and/or promotion is awarded at IPFW, the dossiers shall be prepared according to IPFW guidelines and considered according to IPFW criteria, policies and practices." OAA 98-4 is designed to be responsive to these stipulations.

As you prepare your dossier, keep in mind that "promotion is a recognition of past achievement; tenure, a statement of confidence in future achievement" (SD 94-3). To these ends, please consider the following points in preparing your dossier:

1. FUNCTIONALITY AND LENGTH

The purpose of your dossier is to make the best case possible for being promoted and/or tenured. To do that, your case needs to be complete, concise, well organized, and easily understandable by colleagues who are not specialists in your field. It should be long enough to represent your professional accomplishments and future promise. Please be aware, however, that a long dossier is seldom more convincing than a short one.

[*Takes effect for cases being prepared for 99-2000 academic year.]

2. PERSUASIVENESS

Colleagues who are engaged in a review of your case expect that it will be accurate, comprehensive, well-ordered, and reasoned. Expect reviewers to compare facts and opinions across the key documents upon which your case is based, and present the case so that it is easy for them to do so. Provide specific evidence of your significant professional accomplishments and generally allow this evidence to inform your reviewers' judgements.

3. PROFESSIONALISM

Your dossier should exhibit the highest form of professionalism possible in advancing your case. The appearance of your dossier should display attractiveness, care, and depth. A slapdash dossier sends messages to reviewers beyond inattentiveness to detail. Some of your colleagues will not know you personally. They will form an impression of you by the manner and care you take in constructing your case. Start early and take the time to think through the presentation of every section. Seek out senior colleagues to critique the successive drafts of your case. Their suggestions should be quite helpful and informative.

SUGGESTED DOSSIER DIVISIONS IN YOUR CASE

The suggested promotion and/or tenure dossier sections are designed to be responsive to SD 88-13, which specifies that cases for promotion and tenure will pass sequentially through the decision levels. SD 88-13 also indicates that at each level of the process, the committee chair and/or academic administrator will inform you in writing of the vote or recommendation on your case. SD 97-22 now amended to SD 88-13 further clarifies that this statement will be "clear and complete."

SECTION 1: (OAA Form 153), the cover sheet, is the application and record of actions which occur at each level of the process.

SECTION 2: This section contains the recommendations and statements of reasons of committees and administrators charged with reviewing your dossier.

SECTION 3: This division contains an overview of your case.

SECTION 4: This section is the actual promotion and/or tenure case itself, containing or referencing (for books, etc.) the supporting data and referenced documents in the appendices.

SECTION 1--THE COVER SHEET (OAA Form 153)

You complete only Items 1-3 on this document; later items are completed by the appropriate personnel.

- Item 1 - Sign prior to submission of your dossier to your department/division promotion/tenure committee;
- Item 2 - Identify the action you seek (promotion and/or tenure) and the date. Effective dates for promotion and tenure differ between IU and Purdue. Seek guidance from the faculty records office if there is any question;
- Item 3 - Provide the requested information regarding rank desired and the appropriate academic title. Example: "Associate Professor of Biology." If you are applying for tenure only, insert "same" in the space provided for proposed rank and title.

Complete the remainder by showing current rank and title and the year awarded. Complete the section showing previous ranks and titles, year awarded and the appropriate institution.

SECTION 2--RECOMMENDATIONS AND ACTIONS

The recommendations of each committee and administrator which considers your dossier are appended to your case in this section. These memoranda or letters provide a record of the separate professional judgments (vote or recommendation) promulgated on your dossier and provide a "clear and complete statement of the reasons therefore" (SD 88-13) by evaluating your accomplishments in teaching, research and creative endeavor, and service as excellent, satisfactory, or unsatisfactory with respect to the criteria of the department/program/area, school/division, and university/campus.

SECTION 3--YOUR OWN PERSONALIZED STATEMENT/ESSAY

This section contains your own personalized statement or essay regarding your case. In not more than 1,000 words, inform your colleague reviewers of your most significant accomplishments and promise in teaching, research and service. This section is not merely a chronology of your career or accomplishments. Rather, it provides a framework and context to enable readers to understand your goals in teaching, research and service, the progress you have made toward these goals, and the significance of your accomplishments. You may wish to provide appropriate references to documents which appear in the appended materials. Avoid extensive excerpting in this section from publications or other information. Employ clear and direct prose.

Typically, a candidate for promotion and/or tenure speaks to the following matters in this section:

- Your professional orientation and/or philosophy
- Your long term goals or aspirations in teaching, research, creative endeavor and service
- Your strengths and/or unique contributions in the three areas
- The way you have integrated teaching, research and service
- The overall significance of your accomplishments

- Any unusual terms or conditions of your employment of which the reviewers should be aware.

SECTION 4--THE ACTUAL PROMOTION AND/OR TENURE CASE

This section contains your actual case for tenure and/or promotion. The section contains six major parts.

- A. GENERAL PROFESSIONAL INFORMATION**
- B. TEACHING AND CLASSROOM EFFECTIVENESS**
- C. RESEARCH AND CREATIVE ENDEAVOR**
- D. CAMPUS/COMMUNITY/PROFESSIONAL SERVICE ACTIVITIES**
- E. PAST ANNUAL EVALUATIONS AND REAPPOINTMENT REVIEWS**
- F. APPENDICES AND OTHER RELEVANT MATERIALS**

A. GENERAL PROFESSIONAL INFORMATION

1. Educational Preparation
Starting with the most recent, list institutions or agencies attended and degrees/certificates earned.
2. Professional Experience
Starting with the most recent, list relevant professional experience, e.g. academic, industrial, business, creative arts, government and international positions
3. Licenses, Registrations
Starting with the most recent, list other relevant professional credentials, with dates.
4. Awards, Honors, Citations
Starting with the most recent, list awards, honors or other meritorious citations not shown elsewhere in your dossier.
5. Memberships in Academic, Professional, Scholarly Societies
Starting with the most recent, list organizations and inclusive dates of membership. List any leadership positions you have held in these groups and describe the duties involved with them.

B. TEACHING AND CLASSROOM INSTRUCTION

SD 94-3 states that "IPFW faculty are expected to be effective teachers and to have demonstrated a significant commitment to teaching. If teaching is the primary basis for promotion to Associate Professor, the candidate's performance should be clearly superior to the standard of acceptability at IPFW and comparable institutions; if the primary basis for promotion to Professor, the candidate should not only have established a record of excellent teaching but also have contributed to the general improvement of instruction at IPFW or in the discipline."

SD 94-3 also indicates that "teaching includes not only classroom instruction, but all other activities with a direct bearing on student learning." Multiple measures of effectiveness, including evidence from colleagues and self-evaluations, are pertinent in this section of your dossier to address the range of instruction-related roles and responsibilities.

1. A HISTORY OF CREDIT COURSES TAUGHT

If you are applying for tenure, list all credit courses taught at IPFW since your initial employment or your most recent promotion, whichever came last. Course data should appear in a table following the format below:

<u>Subject Code</u>	<u>Course Number</u>	<u>Course Title</u>	<u>Contact Hours</u>	<u>Enrollment</u>	<u>Session</u>
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2. OTHER COURSES TAUGHT

In this section list all non-credit or other courses taught at IPFW since your initial employment or your most recent promotion, whichever came last. Course data should be presented in the same format as above.

3. SUMMATIVE EVALUATIVE DATA FOR ALL RELEVANT COURSES

In this section, summarize succinctly in tabular or graphic form data from student evaluations of all courses since your initial employment or your most recent promotion. Provide analytical or contextual commentary regarding significant or exceptional trends. Also include summaries of student narrative comments for all courses taught. Relevant instruments, evaluation policies, and certifications of third party summarizers and analysts, if included, appear in the appendices.

4. OTHER MEASURES OF YOUR TEACHING EFFECTIVENESS

In this section, display alumni feedback, questionnaire results, student performance on national tests, pre- and post-measures, and other measures of recognition or influence upon students. "Outside" colleague observations and evaluations are often weighted heavily (SD 94-3). Also include colleague observations/evaluations of your courses. Identify these colleagues, any relationships (professional or personal) you have to them and indicate how and why they were selected for inclusion in your dossier. The

colleagues' qualifications should be evident from this material. A copy of the solicitation letter should also be included in the appendices.

5. CURRICULUM CONTRIBUTIONS AND DEVELOPMENT

If appropriate, identify relevant course or laboratory curricular changes or innovations you helped initiate. Include here colleague reviews of syllabi you used in your teaching. Identify these colleagues, any relationships (professional or personal) you have to them and indicate how and why they were selected for inclusion in your dossier. The colleagues' qualifications should be evident from this material. A copy of the solicitation letter should also be included in the appendices.

6. PUBLICATIONS AND/OR PRODUCTIONS RELATED TO TEACHING

In a citation format (APA, Chicago, etc.) appropriate to your discipline, list publications and/or productions which you authored/created regarding teaching or related pedagogical topics. For publications with multiple authors, identify the extent of your contribution.

Within categories, list refereed/juried items first, marked with an asterisk, most recent item first, followed by unrefereed/unjuried items, most recent item first. Acceptance rates for these publications, if known, should be noted to help reviewers judge the significance of the entries.

Each listing may be classified into one of the following types of contributions:

- Textbook
- Book chapter
- Article
- Edited work
- Paper published in proceedings
- Instructional videotape or film
- Software
- Lab or instructor's manual
- Guest lecture
- Commission
- Exhibit
- Performance or production
- Other

7. UNPUBLISHED WORKS AND/OR WORKS IN PROGRESS

In this section, list works created but unpublished which relate to teaching. List the most recent first and briefly describe the nature and use of the works. Common types of

works are lectures or papers at professional conferences, workshop presentations, departmental position papers, curricular papers or proposals.

Use the same format for describing significant works in progress.

8. STUDENT RESEARCH DIRECTION/MENTORING

Starting with the most recent, identify the undergraduate and graduate research projects you have supervised, the number of students involved, and the thesis or project titles. Indicate your role in each project or activity and such outcomes as presentations or publications.

9. GRANTS FOR TEACHING IMPROVEMENT

If applicable, place a copy in your dossier of any grant submitted which involved teaching improvement or curricular/pedagogical change.

10. PROFESSIONAL DEVELOPMENT ACTIVITIES

List here the professional development activities that you attended and/or contributed to your teaching effectiveness and/or subject/topic mastery such as institutes, conferences, workshops, expositions or other programs.

11. TEACHING AWARDS

List any awards/citations for effective teaching. Name the organization, date and nature of the award.

12. OTHER

C. RESEARCH AND CREATIVE ENDEAVOR

According to SD 94-3, "IPFW faculty with release time for research are expected to be engaged in long-term programs of research, scholarship, or creative endeavor. This work should reach and be favorably acknowledged by an audience that extends beyond the campus."

1. PUBLICATIONS AND PRODUCTIONS

This section is one in which your discipline-specific research and/or creative endeavor has resulted in publications and productions, or other media for presenting original work. Use a citation format (APA, Chicago) which is appropriate to your discipline. For publications with multiple authors, identify your contribution. List your refereed/juried contributions first, most recent items first. For commissions, exhibits, guest lectures, performances or productions, indicate the title, sponsoring agency, location and date. Then list your non-refereed publications and productions, most recent item first. Use the following categories in describing your research and creative endeavor:

- Book
- Book chapter
- Article in a scholarly journal
- Applied research report
- Translation
- Edited work (anthology, letters, etc.)
- Paper published in conference proceedings
- Research abstract
- Software
- Guest lecture
- Commission
- Exhibit
- Performance or production
- Other

2. SIGNIFICANT WORKS IN PROGRESS

List significant works in progress or other unpublished works, most recent item first. Explain the importance of each entry.

3. GRANT ACQUISITION AND GRANT DEVELOPMENT

List all funded grant proposals which you developed. If co-authored, identify your contribution. List any grants pending or in progress. Describe how the grants pertain to your research agenda and other publications/productions. List the most recent item first, showing the funding agency, date funded, amount of the grant and the time period for the work to be completed.

4. EXTERNAL COLLEAGUES COMMENTS ON RESEARCH AND OR CREATIVE ENDEAVOR

It is important that external evaluations be solicited to convince your colleagues of the quality and significance of your accomplishments in research and or creative endeavor (SD 88-13, SD 94-3, SD 97-22, now part of 88-13). Display the reviewers' comments in this section. As an introduction to each review, identify how the reviewer was selected and by whom, the relationship, if any, of the reviewer to you (it is wise to avoid co-authors of your publications/productions), and the qualifications of the reviewer to engage in the review (SD 88-13). Also list the reviewers' title and rank. Include a copy of the solicitation letter in the appendices. Please note that under state law the letters of reviewers are not confidential. If requested, they must be shared with you—unredacted. Please ensure that your external reviewers understand this important point.

5. INVOLVEMENT OF STUDENTS IN RESEARCH AND CREATIVE ENDEAVOR

Student involvement and participation in research and creative endeavor is considered

good practice and is encouraged. List the names of students involved, the type of effort, time frame and resultant demonstrations, presentations or publications in which they participated.

6. PROFESSIONAL DEVELOPMENT ACTIVITIES REGARDING RESEARCH

List any professional development activity you attended that contributed to your research or creative endeavor. Provide the program title, sponsoring agency, location and date. This should not duplicate citations shown in B.9.

D. CAMPUS/COMMUNITY PROFESSIONAL SERVICE ACTIVITIES

SD 94-3 stipulates that "IPFW faculty are expected to take an active role in the campus beyond teaching and research or creative endeavor; they are encouraged to contribute their expertise to the community, state, and nation and to participate in professional organizations. If service is the primary basis for promotion, it should represent a unique achievement of special value to the campus, community, or profession."

1. UNIVERSITY SERVICE

List all university committees upon which you have served. Indicate dates of the service and any unique role or task you helped complete. Describe your service as follows:

- University system or intercampus committees/task forces
- IPFW
- School or division
- Department or program
- Other
- Student counseling and advising
- Authorship of reports or studies. Indicate the title, date, purpose, extent of the study and outcomes. If co-authored, list your contributions.
- Other

2. PROFESSIONAL SERVICE

Cite service to your profession as follows:

- Offices held in academic, professional, and scholarly societies, dates and nature of duties
- Editorships of journals or other publications
- Book reviews
- Journal reviewer (indicate approximate number of articles reviewed)
- Reports and studies (if co-authored, list your contributions).
- Other

3. COMMUNITY SERVICE

List the community services that you have performed, most recent first using the following categories:

- Consulting engagements
- Public or governmental services
- Publications for lay audiences (unless cited in an earlier section)
- Other

4. EXTERNAL REVIEWS OF SERVICE

If you determine to have external reviewers comment on the nature of your service work, follow the same procedures as described in C.4.

5. Other

E. PAST EVALUATIONS AND REAPPOINTMENT REVIEWS

Include all past performance reviews and evaluations of your work by academic administrators. Start with the most recent.

F. APPENDICES AND OTHER RELEVANT MATERIALS

This section will contain actual articles, off-prints of articles, the key documents mentioned in the case and other materials. Employ a user-friendly indexing method and tabs to separate different types of materials.

G. OBSERVING TENURE AND PROMOTION PROTOCOLS

Once your dossier has been assembled and submitted for the first level of review, it may not be altered, except that copies of books or articles or other materials already noted in the dossier may be added in the appendices and items for information such as acceptance for publication of an article under consideration or receipt of an award which was anticipated. Additions to the dossier after it has been submitted for review at the first level or beyond should be pursued through your respective academic dean who will enter the material for you.

Under no circumstances should you initiate communication with members of promotion and tenure committees regarding any aspect of the processing of your case: not to add materials, not to explain passages, not to comment on the recommendation and reasonings of other committees, nor to inquire about the status of your case. You should refrain from making similar inquiries and overtures to the administrators who act on your case. The Senate has specifically prohibited "direct submission . . . of materials which are not part of the promotion and/or tenure case dossier" to the campus committee (SD97-22 now amended to SD 88-13).

Cases are returned to candidates who are promoted or tenured shortly after the conclusion of the promotion and tenure process; cases of candidates who are denied promotion or tenure are retained for one year.

Fenwick W. English
Vice Chancellor for Academic Affairs