



FACULTY PROMOTION AND TENURE DOSSIER FORMAT GUIDELINES

This memorandum is a companion document to Fort Wayne Senate Documents 88-13, 88-25 and 94-3; 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.

OAA 99-1 provides detailed suggestions for a standard format for your promotion and/or tenure dossier. Consult your departmental and school guidelines for adaptations appropriate to your discipline. Because you alone bear responsibility for the content and organization of your dossier, your use of the suggested format is optional. You should be aware, however, that the format presented here, as amended from time to time, has a long tradition. Indeed, the Senate affirmed that tradition in SD 88-13 as amended in April 1998 (SD 97-22), which states that “in tenure and/or promotion dossiers 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 99-1 is designed to be responsive to these stipulations. It provides you with ready-made means to present your qualifications; it provides reviewers with the information they require, organized in a predictable fashion.

As you complete your documentation, you should keep these central notions in mind:

1. Consider your audiences. While the initial review is usually undertaken by departmental colleagues who have a relatively clear understanding of the specific content and conventions of your discipline, later committees and administrators are likely to be unfamiliar with these matters. You should therefore prepare your materials so that they can be adequately understood by nonspecialists responsible for assessing the accuracy, comprehensiveness, and significance of your dossier.
2. Get feedback on drafts. Most successful applicants seek collegial assistance throughout the process of dossier preparation. Discussing options and reviewing dossiers prepared in earlier years often prove invaluable.
3. Be specific and selective. Your readers will expect your dossier to be factual, accurate, and comprehensive. You should therefore provide specific evidence of your significant professional accomplishments and, generally, allow this evidence to inform your readers' judgment. You should also avoid diluting the effectiveness of important evidence by intermixing it with trivial examples.
4. Be concise. A long dossier is seldom more convincing than a short one. It is suggested that in most cases, the dossier should not exceed 30 pages in standard format (1-inch margins, 12-point font), exclusive of the CV.
5. Document your area(s) of excellence. Your documentation, including external reviews, should address your area(s) of excellence.

6. Letters from reviewers. Sufficient external, unbiased reviews of faculty work from appropriate professional peers contribute to a more effective system of review. A target of six letters enhances the reliability and accuracy of recommendations. **Note that under state law, reviewers' letters are not confidential.** Your department is expected to share them with you unedited. Department chairs should ensure that external and internal reviewers understand that candidates are to have access to the letters.

The Senate has specifically prohibited “direct submission . . . of materials which are not part of the promotion and/or tenure dossier” to members of the campus committee (SD 88-13, as amended by SD 97-22). The only exceptions are: (1) copies of books, articles or other materials already noted in the dossier which may be added in the appendices; and (2) items for information, such as notification that an article submitted for publication has been accepted or an anticipated award has been received, may be inserted. Such materials should be submitted directly to the chair of the campus P&T Committee.

The suggested promotion and/or tenure portfolio consists of five sections:

- Section I (OAA Form 153), the cover sheet, is the application and an outline of actions taken on it.
- Section II contains the recommendations of administrators and committees charged with reviewing the dossier, and copies of the criteria on which the recommendations are based.
- Section III is your overview of your qualifications for tenure and/or promotion (candidate's statement).
- Section IV is the promotion and/or tenure dossier itself.
- Section V contains the appendices, which should include supporting documents, appropriately cross-referenced to Section IV.

The appendices are returned to candidates who are promoted and/or tenured shortly after the conclusion of the promotion and tenure process. All materials submitted by candidates who are denied promotion or tenure are retained in the OAA for one year.

SECTION I—The Cover Sheet. You complete only Items 1-4 on this document; later items are filled in by the appropriate reviewer. Be sure to sign.

SECTION II—Evaluations and Recommendations Concerning the Dossier. As the dossier passes through the various levels of review, each review committee and administrator provides a separate professional judgment of your qualifications for promotion and/or tenure, including “a clear and complete statement of the reasons therefor” (SD 88-13). Each evaluation identifies your accomplishments—in teaching/librarianship, research and creative endeavor, and service—as excellent, satisfactory, or unsatisfactory with respect to the criteria of the department/program, school/division, and university/campus. Memoranda summarizing the evaluations and recommendation are inserted in Section II, along with copies of the criteria on which the evaluations and recommendations were based.

SECTION III—Candidate’s Statement. In no more than 1,000 words, write an essay that synthesizes and lends coherence to your portfolio. Your essay should provide readers with an orientation to your key professional goals and accomplishments and should gain power from appropriate references to documentation appended to the dossier. Here, and throughout, you should avoid extensive excerpting of appended materials. The statement should address such topics as the following:

- Your professional philosophy
- Your long-term goals in teaching/librarianship, research and creative endeavor, and service
- Your indication of what you believe to be your area(s) of excellence : teaching/librarianship, research and creative endeavor, and/or service
- How your activities in the three areas are related to one another
- The overall significance of your accomplishments
- Unusual terms and conditions of employment of which reviewers of your dossier should be aware

SECTION IV—The Promotion and/or Tenure Dossier. The promotion and/or tenure dossier presents the primary quantitative and qualitative documentation supporting the candidacy. The dossier contains five major parts:

- A. General Information
- B. Teaching/Librarianship
- C. Research and Creative Endeavor
- D. Service
- E. Curriculum vitae
- F. External review letters (originals)

Rather than being labeled “Not Applicable,” irrelevant entries within the sections are skipped. The upper-right corner of each page contains your last name followed by page numbers (e.g., “DOE 5 of 10”).

A. GENERAL INFORMATION

1. Educational Experience

Starting with the most recent, list institutions attended and degrees earned.

2. Professional Experience

Starting with the most recent, list relevant professional experience, e.g., academic, industrial, business, creative-arts, and government positions.

3. Licenses, Registrations, and/or Certifications

Starting with the most recent, list relevant professional credentials, with dates.

4. Awards and Honors

Starting with the most recent, list awards and honors not cited elsewhere in the dossier.

5. Memberships in Academic, Professional, and Scholarly Societies

Starting with the most recent, list organizations and inclusive dates of membership

B. TEACHING (for Librarians, PERFORMANCE—see IU Library Faculty Handbook).

1. Credit Courses Taught

If you are applying for tenure, list all credit courses taught at IPFW; otherwise, list all courses taught at IPFW since your appointment or most recent promotion, whichever came last. Starting with the most recent academic session, list courses in a table. Indicate whether enrollment figures represent the initial enrollment in the course or the end-of-semester enrollment.

<u>Academic Session</u>	<u>Course Prefix and Number</u>	<u>Course Title</u>	<u>Contact Hours</u>	<u>Enrollment</u>
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2. Other Courses Taught

If you are applying for tenure, list all other courses taught since your appointment at IPFW; otherwise, list all other courses taught since your appointment or most recent promotion, whichever came last. Courses appear in a table, as in IV.B.1.

3. Student Evaluations of Credit and Noncredit Courses

Student evaluations usually include questionnaires or surveys consisting of multiple choice items and/or open-ended questions. Such instruments measure the responses of current students during a semester or, more typically, near the end of a semester. Departments may also survey alumni or former students using similar instruments. In all cases the procedures used to collect, compile, and score or summarize this information should be explained clearly and completely, including information about who did the collection, scoring, compilation, and summarizing.

Summaries of student evaluations based on questionnaires or surveys for all classes taught at IPFW or since the last promotion should normally be provided in tables or figures/graphs in the dossier. If many years have elapsed between promotions, the candidate may elect to present a representative subset of the student evaluations in the dossier, assuming all evaluations are available in an appendix.

When appropriate, student evaluation data should be presented as means, medians, or percentages of students choosing various scale values (e.g., “poor” through “excellent”; or “strongly disagree” through “strongly agree” or the like). Summary tables should be organized within courses and presented over time. The summaries presented in the dossier may include a subset of the questions, but an explanation should be provided as to why the particular items were chosen. Ideally, departmental and/or school, college, and/or university norms should be provided as a comparison.

Ordinarily appendices will include student evaluations of all classes taught at IPFW or since the last promotion. Usually the appendix material will be in the form of computer printouts or typed compilations of individual student responses for each class taught. The forms completed by individual students may be included in cases where typed compilations or computer printouts are not available. If appendix material does not represent all classes taught at IPFW or since the last promotion, such materials may be requested by reviewers or promotion committees.

Open-ended student comments may be summarized and analyzed in the dossier, ideally prepared by disinterested third parties. Avoid extensive quotes of student comments in the dossier. Compilations of all open-ended comments for each class, or if compilations are not available, a complete set of the forms completed by individual students for each class taught at IPFW or since the last promotion, should be included in an appendix.

If complete data for every course are not presented, accompanying information should enable readers to know how and by whom the selection of a subset of classes was made.

Comparable alumni evaluations (questionnaire, survey, multiple-choice, and/or open-ended) may also be included, summarized in the dossier, and included in their entirety in an appendix.

When relevant directly to classes taught by the candidate, student performance on national achievement tests and normative data for such tests, or pre-post measures of student performance in the candidate's classes may also be included in this section of the dossier.

It is helpful to readers if the candidate includes some information about how he or she responded to student feedback and comments to modify and improve his or her teaching; this kind of analysis is encouraged in this section of the dossier.

4. Peer Comments on Credit and Noncredit Teaching

Supply collegial assessments of the teaching covered in IV.B.1. and IV.B.2., such as those in reappointment recommendations and annual evaluations; also include reports of peer reviews produced under a formal system of collegial classroom visitation, along with a description of the procedures used in obtaining the reviews.

Solicited outside reviews of teaching and/or teaching materials, if included, are supplemented by an explanation of how the reviewers were selected; their credentials; the relationship, if any, of the reviewer to the candidate; how the reviews were solicited and by whom; how many reviews were requested, received, and submitted; the conditions of the review; what access you had to the reviews; and how decisions were made about which reviews to include in the dossier. Letters from independent external reviewers have the greatest credibility. External review letters collected within the two-year period prior to submission of your dossier may be included. The evaluators' names, ranks, and institutions and the letter of solicitation are included in the appendix

5. Contributions to Course and Curriculum Development

Describe course, laboratory, and curricular innovations for which you are responsible; your teaching-related administrative or supervisory responsibilities; and your contributions to the (re)design of teaching facilities and equipment.

6. Publications and Productions Related to Teaching

In a citation format appropriate to your discipline but avoiding abbreviations likely to confuse colleagues in other disciplines, list publications and productions intended primarily for use by students or by teachers in fulfilling instructional roles. 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. For commissions, exhibits, performances, productions, etc., indicate the title, sponsoring agency, and location and date.

If appropriate, items listed here may be cross-referenced in section C. Generally, pedagogical publications that have a conceptual/theoretical orientation and that provide evidence that the efficacy of the pedagogy has been systematically studied and evaluated may be cross-referenced under research. Each item is classified into one of the following categories:

- Textbook
- Book chapter
- Article
- Edited work, such as an anthology
- Paper published in proceedings
- Published reviews of textbooks
- Auto-tutorial module or self-instruction unit
- Instructional videotape, film, tape/slide, or computer-based presentation
- Software
- Manual, such as a laboratory or instructor's manual
- Commission
- Exhibit
- Performance or production
- Other

7. Unpublished Work Related to Teaching

Within categories, list the most recent first, and briefly describe the nature and impact of the project(s). Common types of work included here are lectures or papers presented at professional conferences, workshop presentations, departmental position papers, current papers or proposals. Use the same format for describing significant works in progress.

8. Student Research Direction

Starting with the most recent, identify the undergraduate and graduate student research projects you have overseen, the number of students involved, and the thesis or project titles; specify your role in the projects and such outcomes as presentation or publication.

9. Grants for Teaching Improvement

List any grants that involved teaching improvement or curricular/pedagogical change. Include a copy of any funded grant(s) in the appendix.

10. Student Academic Advising

In this section, identify your contributions to student academic advising. Include a description of your role in the process of advising students and the result of any measures of advising effectiveness.

11. Institutes, Workshops, Conferences, Expositions, and Other Programs Attended

List professional-development activities that contributed to your teaching effectiveness and/or subject mastery.

12. Teaching Awards

List awards received for effective teaching, naming the organization, date, and nature of the award.

13. Other Evidence of Teaching Effectiveness

Supply information not included in earlier portions of IV.B.

C. RESEARCH AND CREATIVE ENDEAVOR

1. Publications and Productions Related to Research and Creative Endeavor

In the citation format appropriate to your discipline but avoiding abbreviations likely to confuse colleagues in other disciplines, list scholarly publications and creative activities and indicate with an asterisk the accomplishments which are juried/refereed. 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. For commissions, exhibits, performances, productions, etc., indicate the title, sponsoring agency, and location and date. Each item is classified into one of the following categories:

- Book
- Book chapter
- Article in a scholarly journal (print or electronic)
- Applied research report
- Translation
- Edited work, such as an anthology, diary, letters, etc.
- Paper published in conference proceedings
- Published reviews of scholarly or creative work
- Research abstract
- Software
- Commission
- Exhibit
- Performance or production
- Other

2. Unpublished Work Related to Research and Creative Endeavor

Within categories, list the most recent item first, and briefly describe the nature and impact of the item(s). Each work is classified into one of the following categories:

- Lecture or paper presented at a professional meeting
- Report or study
- Other

3. Research and Creative Endeavor in Progress

Starting with the most recent, describe the project(s), mentioning purpose, the procedures utilized, the results and outcomes sought, the current project status, and the plan for dissemination.

4. Grant Acquisition and Current Grant Proposals

List all funded grant proposals that you developed. If coauthored, 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.

5. Institutes, Workshops, Conferences, Expositions, and Other Programs Attended

Starting with the most recent, list professional-development activities that contributed to your research and creative endeavor; provide the program title, sponsoring agency, location, and date. Should not duplicate (but may reference) entries listed in IV.B.11.

6. Peer Comments on Research and Creative Endeavor

Supply explanations and evaluations of the work in IV.C.1-3. (e.g. those in reappointment recommendations and annual evaluations; information about journals in which published; forums in which exhibited or performed; co-authors; sponsoring agencies; and reviews, reproductions, and citations of your work).

Solicited outside reviews of research and creative endeavor are supplemented by an explanation of how the reviewers were selected; their credentials; the relationship, if any, of the reviewer to the candidate; how the reviews were solicited and by whom; how many reviews were requested, received, and submitted; the conditions of the review; what access you had to the reviews; and how decisions were made about which reviews to include in the dossier. Letters from independent external reviewers have the greatest credibility. External review letters collected within the two-year period prior to submission of your dossier may be included. The evaluators' names, ranks, and institutions and the letter of solicitation are included in the appendix.

7. Other Evidence of Effectiveness in Research and Creative Endeavor

Supply information not included in earlier portions of IV.C.

D. SERVICE

Throughout, committees or other bodies are named, along with the periods of service and descriptions of significant personal contributions. Within sections, list the most recent item first.

1. University Service

University Committees

University system

IPFW

School/division

Department/program

Service to Student Organizations or Activities

Other

2. Service to the Profession

Offices Held in Academic, Professional, and Scholarly Societies

Editorships of Journals

Refereeing and manuscript reviewing

Reports and Studies

Discuss special studies and/or investigations you have conducted as part of service to the profession; indicate the title, date, purpose, extent of the study, and outcomes. If results were published, include standard bibliographical data.

Other

3. Continuing Education Service

Starting with the most recent, include professionally relevant programs in which you had an initiatory, administrative, or supervisory role (teaching of continuing-education offerings appears in IV.B.2.). Indicate your participation as coordinator, chairperson, etc., and the number of people involved in these activities.

Should not duplicate (but may reference) items listed in earlier sections.

4. Community Service

Starting with the most recent, describe only community service directly related to professional and scholarly activities such as:

Consulting Activities

Public and/or Governmental Service Activities

Publications and/or presentations for lay audiences

Media Interviews

Other

5. Peer Comments on Service

Supply comments concerning your contributions to the university, the profession, continuing education, and the community, as listed in IV.D.1-4., such as those in reappointment recommendations, annual evaluations, and other third-party assessments.

Solicited outside reviews of service accomplishments are supplemented by an explanation of how the reviewers were selected; their credentials; the relationship, if any, of the reviewer to the candidate; how the reviews were solicited and by whom; how many reviews were requested, received, and submitted; the conditions of the review; what access you had to the reviews; and how decisions were made about which reviews to include in the dossier. Letters from independent external reviewers have the greatest credibility. External review letters collected within the two-year period prior to submission of your dossier may be included. The evaluators' names, positions, and institutions and the letter of solicitation are included in the appendix.

6. Other Evidence of Effectiveness in Service

Supply information not included in earlier portions of IV.D.

E. CURRICULUM VITAE

In a format appropriate to your discipline, include a complete curriculum vitae. The CV should provide comprehensive information about your education; professional experience; relevant licenses, etc.; awards and honors; memberships and offices in professional organizations; publications/creative endeavors; conference presentations; and other relevant accomplishments. The CV provides a comprehensive summary of the more detailed information requested in Sections A.-D.

F. EXTERNAL REVIEW LETTERS

The original letters from the professional colleagues outside IPFW who were invited to assess your research and creative endeavor and any other aspects of your professional performance of which they are knowledgeable and for which you are claiming excellence are inserted here. As noted earlier, a target of six external letters enhances the reliability of recommendations.

SECTION V—APPENDICES

The appendices contain supporting materials appropriately cross-referenced in Sections III-IV of the dossier. It is helpful if the appendices are separated by tabs and given short descriptive labels, e.g. “Student Evaluations,” “Chair’s Annual Reviews,” “Publications,” etc.

If you are untenured, the appendices also include all reappointment recommendations and annual reviews written about you since your appointment at IPFW. **If you are tenured**, the appendices also include all annual reviews written about you since your appointment at IPFW or your most-recent promotion, whichever came last.

Susan B. Hannah
Vice Chancellor for Academic Affairs