Indiana University Northwest
Department of Mathematics and Actuarial Science
Promotion and Tenure Guidelines

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When applying for promotion and/or tenure every candidate should make sure that their dossier includes the following:

Press-board Bound Principal Dossier
There should be 13 tabs titled as specified in IUN’s P&T guidelines. These six are filled by the candidate and the chair:

1. Summary list of External Reviewers.
   Required information for each review received includes name, rank, institution, and relationship to candidate. Credential information of the reviewers is required. A copy of the letter sent to reviewers must be included.
2. Letters from External Reviewers
   From external reviewers who have mentored or collaborated with the candidate, commenting on their roles in the research, or internal letters from faculty who have peer-reviewed his or her teaching or have direct knowledge of service activities. The first page should be the list of supplemental reviewers, with their short biography/credential information and the reason why they were asked to write a review.
4. Candidate’s Narratives—of teaching, research and creative activities, and service.
5. Curriculum Vitae.

Supplementary Dossier (arranged at candidate’s discretion)

1. Teaching
   a. End of semester student evaluations for the past three years
   b. Printouts of grade distributions and grade indices for the past three years
   c. Solicited letters from students (all students with C or better in the last three years)
   d. Syllabi, course descriptions, exams, and relevant handouts for three courses.
   e. Additional peer reviews
2. Research
   a. List of articles/results published in refereed journals
   b. Copies of publications
   c. Other relevant supporting materials
3. Service
   a. Relevant supporting documentation of service
4. Annual Reports (not mandatory)

The items listed above are required to be included in the dossier. The rest of this document will try to explain the practice of preparing some of these items for inclusion, as well as offer advice and suggest some additional sources of documentation that may or may not be relevant to a particular case.

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1 At least six or seven!
2 Included by the department chairperson.
3 Note that the Indiana University Academic Handbook clearly prohibits including any anonymous comments (except for end-of-semester student evaluations) in the candidate dossier.
Explanation and Advice for Candidates

This Mathematics Department statement of guidelines is to supplement and support the procedures, guidelines, and criteria for tenure and promotion of faculty as outlined in the "Indiana University Academic Handbook" and the IU Northwest "P&T Guidelines."

Although candidates only need to announce their intention of applying for promotion or tenure by May 1 to present their file for consideration the following September, they are well-advised to indicate this intention-and their area of excellence-to the Department early the preceding semester. They, especially those who are working toward tenure, are urged to consult widely during their pre-tenure years with other faculty in the Department to discuss their research and to invite classroom visits.

The responsibility for the preparation of all materials, except for outside letters of recommendation, to be presented to the P&T Committees and succeeding levels of the University Administration is the ultimate responsibility of the candidate. The dossier should be organized to be of maximal assistance to P&T committees in evaluating the candidate’s performance with a table of contents and appendices as appropriate. It is important that the dossier be carefully proofread and free from errors as typos and misprints are frequently circled as the dossier is passed on in the evaluation process. In assembling a file for promotion to full professor, the candidate should concentrate on materials produced or published since promotion to associate professor, rather than simply augmenting the earlier file.

For a positive recommendation from the departmental committee, the candidate is expected to have made a convincing case for adequacy in two of the three areas of teaching, research, and service, and excellence in one of those areas. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University.

When reviewing for reappointment, the department seeks evidence that the candidate is making progress and establishing a record of accomplishment in one of the areas with contributions on and beyond the campus. When reviewing for tenure and promotion to the rank of associate professor, the department seeks evidence that the candidate has established a solid record of excellence in one of the areas, and that the candidate demonstrates the potential for further accomplishment which, in time, could establish a case for promotion to full rank. Additionally, candidates will have established adequacy in the other two areas. When reviewing for promotion to the rank of professor, the department seeks evidence that the candidate has achieved a record of excellence, leadership, and innovation, sustained over a period of years, in areas deemed appropriate by the reviewing committee. Additionally, candidates will need to establish adequacy in the other two areas.

Candidates for tenure and/or promotion should study carefully the criteria established for tenure and/or promotion by the Indiana University Faculty Handbook, IU Northwest, and this Department.

Teaching

Indiana University Academic Handbook:

“The prime requisites of any effective teacher are intellectual competence, integrity, independence, a willingness to consider suggestions and to cooperate in teaching activities, a spirit of scholarly inquiry which leads the teacher to develop and strengthen course content in the light of developments in the field as well as to improve methods of presenting material, a vital interest in teaching and working with students, and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for an individual’s promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors, and of colleagues who have visited other classes or who have been closely associated with his or her teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses.”

Teaching effectiveness may be documented by traditional instruments such as peer review of classroom and laboratory teaching, student evaluations, or evidence of student success in professional or academic fields. The teaching record should demonstrate an effect beyond the instructor’s own classroom and campus. Teaching effectiveness may also be evaluated via other evidence, including (not limited to nor in any rank order):

♦ Pedagogical Publications (preferably refereed in the discipline or closely related to the discipline)
♦ The Scholarship of Teaching and Learning
♦ Development of new traditional or interdisciplinary curricula or teaching techniques
♦ Awards for excellence in teaching
♦ Development of new traditional or interdisciplinary degrees or certificate programs
♦ Mentoring and advising
♦ Authorship of texts or other teaching materials
♦ Establishment, development, and maintenance of labs necessary for effective instruction
♦ Establishment and development of instructional or student internship venues with community or professional organizations
♦ Development of grants, contracts, etc. which support or are associated with teaching, curriculum development, studio and lab development, etc.
♦ Remaining current with developments in the discipline
Some common forms of evidence that have been used in the Department of Mathematics and Actuarial Science to evaluate teaching include:

- **A statement prepared by the candidate concerning his or her own teaching (philosophy, practice, and reflection):**
  This is limited to 3-5 pages (in the principal dossier – a longer one can be included in supplementary dossier). Since student evaluations are not included in the principal dossier, it is highly recommended that the candidate presents a summary of student evaluations (numerical and written) and reflects on the effect these had on her/his teaching practice.

- **Evaluations and responses of colleagues who have visited the candidate's classes**
  Perhaps the most persuasive evidence of a teacher's effectiveness is the judgment of his or her peers. For this reason, it seems important that members of the Department's Promotion and Tenure Committee and the chair should make multiple visits to the candidate's classes. Other faculty are, of course, also encouraged to make class visits. The discussions and letters that result from these visits constitute important evidence concerning teaching. Some of the letters commenting on the teaching and reviewing the classroom effectiveness should be from a faculty outside the department.

- **End of semester student evaluations and unsolicited letters from students:**
  A significant number of unsolicited student letters (presumably laudatory, but possibly critical) would represent another strong indication of classroom effectiveness. The Department expects tenure-track faculty to evaluate almost all of their classes and that all of these evaluations for the last three years will be included in the file. Student evaluations can be very useful in evaluating teaching when they are consistent and speak with one voice. If, however, student evaluations are equivocal, then they are less useful. It is also important for the committee to be aware that evaluations from required courses are likely to differ statistically from those delivered by elective courses. Ultimately, it is up to the Committee and the chair to judge the evaluations. Candidates should include some analysis and summary of their evaluations as part of their teaching statement.

- **Solicited letters from students**
  In consultation with the chair, the candidate should select several classes for solicited letter requests from former students who received C or better in the classes. The standard practice is that the chair solicits a reflection upon candidate’s performance in the classroom and his teaching effectiveness, usually including topics such as: knowledge of the subject matter, organization of course materials, organization of daily class presentations, appropriate level of materials for the course, responsiveness to student questions and comments, availability to students outside of the classroom, relationship of class materials to examinations… The chair should add a short note to the dossier clearly indicating how these letters were selected, i.e., describe the process of solicitation, the method of selecting students and note the return rate. Between 10 and 20 letters should be included (since the return rate is usually between 10-20% of the solicited number of students, the request should be therefore made of 100-200 students).

- **Awards and nominations for teaching awards and grants. The development of new or significantly revised courses, curriculum development, the development of new, innovative, and useful teaching techniques, Textbooks, instructional publications, and articles on pedagogy.**
  Each candidate will submit evidence of continued growth as it relates to his/her teaching by providing a list of his/her teaching activities. These could include the design and structuring of new courses, the use of innovative techniques of teaching, attendance at conferences in the areas of specialization, and willingness to keep abreast of new teaching techniques. Any consulting work or research with an impact on teaching might also be listed. Authorship of textbooks, if any, would play a vital role as an indicator of continued growth.
  **Excellence:** When the candidate is claiming excellence in the teaching category, it is expected that she/he has a strong and successful record of being nominated and applying for teaching awards, possibly winning some. Receiving grants for teaching activities and course development and/or publishing textbooks and article(s) on pedagogy would also be considered evidence in support of strong teaching record.

- **Syllabi, course descriptions, exams, and relevant handouts, (perhaps some graded/edited student exams/projects):**
  The task of planning any course of instruction is to specify the desired results of the course and the best and most effective methods to achieve those results. The faculty member is expected to demonstrate effective planning in courses of instruction. The faculty member should periodically review course materials to incorporate current scholarship, texts, evaluation instruments, and instructional media. The faculty member should evaluate students effectively, fairly, and promptly. The candidate should be selective in including syllabi, manuals, exams, and assignments, not burdening the file with repetitive or irrelevant material.

- **Description and responses from any on-campus, off-campus or outreach teaching situations in which the candidate has been involved;**
Faculty should seek opportunities to interact with colleagues to improve instruction. Such interaction is demonstrated by attendance at professional conferences, conventions, and meetings relevant to teaching, discussion of pedagogy and course subject matter with senior colleagues, and helping less experienced faculty. The faculty member should demonstrate a desire to include students in academic research or creative projects, out of class discussions in the faculty member's academic subject area, and to assist students outside of the classroom in learning both course and non-course material.

The candidate should also be aware that promotion and tenure committees do pay serious attention to grade distributions.

When reviewing for reappointment, the department seeks evidence that the candidate is making progress and establishing a record of accomplishment in these or other areas related to teaching effectiveness with contributions on and beyond the campus. When reviewing for tenure and promotion to the rank of associate professor, the department seeks evidence that the candidate has established a solid record of excellence in the area of teaching, and that the candidate demonstrates the potential for further accomplishment which, in time, could establish a case for promotion to full rank (Professor). When reviewing for promotion to the rank of professor, the department seeks evidence that the candidate has achieved a record of excellence, leadership, and innovation, sustained over a period of years, in areas deemed appropriate by the reviewing committee. Additionally, candidates will need to establish adequacy in both research/creative activity and service.

Research and Creative Activity

Indiana University Academic Handbook:

“In most of the fields represented in the program of the University, publications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should possess a definite continuing program of studies, investigations, or creative works.”

Although "research" has the reputation of being a far more objective province to survey than teaching, it is not without its ambiguities. Two decisions need to be made by the Department: What exactly do we include under research activities distinguished from published material that is primarily a teaching support or a service, and, how much represents "excellence" and how much "adequacy"? It is not sufficient merely to have published a number of items on various subjects; the candidate must show evidence of a continuing and evolving "research program".

Evidence of scholarly accomplishment (that includes reference to the candidate’s IU Northwest affiliation) may include (not limited to nor in any rank order):

- Publications in peer-reviewed journals in the discipline or closely related to the discipline (including the scholarship of teaching)
- Monographs
- Grants (especially external ones)
- Textbooks
- Presentations in the discipline or closely related to the discipline at professional meetings, colloquia, and symposiums
- Scholarship used to develop public policy or serve the community (applied research)
- Pedagogical Research
- Scholarship of Teaching and Learning
- Research Awards
- Involving students in research and scholarship

Some common forms of evidence that have been used in the Department of Mathematics and Actuarial Science to evaluate teaching include:

- **Publication of results in refereed journals.**

  Please be aware that the quality of the published work as judged by the Departmental Tenure and Promotion Committee and supported by outside letters is the primary criteria. The Committee must also judge, in case of joint publications, that the candidate's contribution to the collaboration is substantial. In the spirit of the IU handbook – quality is more important than the quantity; a seminal contribution to the field, published in a top-ranking international journal could be considered as important as two or three articles in a regional peer-reviewed journals. This comparison should be supported by the independent outside referees. Description of the journals and their quality should be provided by the candidate and the outside reviewers should be asked to comment on this topic. The departmental committee should summarize the quality of the journals in which the candidate has published. It is possible for a candidate to make contributions to research equivalent to publication in refereed journals, but such equivalent activity would be substantial, such as the publication of a research monograph, which could potentially be the equivalent of many papers.
• **Presentation of contributed or invited papers and abstracts at national or international conferences or workshops.**
Papers delivered at professional conferences, especially those national conferences which referee their submissions, are also evidence of research. They are obviously less weighty than articles in respected, refereed journals, but they should be judged individually for their merit and substance and respected accordingly.

• **Letters from external reviewers**
It is the Department's and its Promotion and Tenure Committee's initial responsibility to judge the quality of a candidate's research or creative activity. It is also appropriate and necessary to obtain the written opinions of scholars chosen by the chair in consultation with the candidate. These outside reviewers should be identified professionally and their relationship, if any, with the candidate specified. Their opinions should comment on the originality, depth, and importance of the candidate's research. Evaluation should compare the candidate's work with the work of others of comparable experience, and should note the amount of interest the work stimulates among other mathematical scientists. All tenure and/or promotion applications must have at least six confidential letters of recommendation from outside IU Northwest. It is then the committee's responsibility, after considering the quality and the quantity of a candidate's research, to render an estimate of its overall value: Is the candidate for tenure likely to make an adequate or a significant scholarly and/or creative contribution to the profession; has the candidate for promotion to full professor made an adequate or a significant scholarly and/or creative contribution? Is there evidence of a continuing and evolving program of research and/or creative activity?

In assembling a tenure and promotion file, the candidate should include copies of published research and creative work and other supporting evidence.

**Adequacy in Research**
For adequacy in research, the candidate must show that he or she has established an on-going program of research and/or creative activity resulting in publication in refereed journals, presentations at scholarly conferences, and/or the publication of monographs and involvement in the profession.

**Excellence in Research**
For excellence in research, the candidate must show a consistent program of published work, participation in his/her professional association, frequent presentation of research at professional conferences, awards and recognitions received for scholarly contributions, and the establishment of a national or international reputation as a scholar.

When reviewing for reappointment, the department seeks evidence that the candidate is making progress and establishing a record of accomplishment in these or other related areas. In general, and as may be appropriate for each candidate, the department wishes to see a continuous record of refereed publications, presentations, awards, and/or the pursuit of external grants and financial support of scholarship. When reviewing for tenure and promotion to the rank of associate professor, the department seeks evidence that the candidate has established a solid record of accomplishment in his or her area of excellence and that the candidate demonstrates the potential for further accomplishment which, in time, could establish a case for promotion to full rank. When reviewing for promotion to the rank of professor, the department evaluates the candidate’s record of excellence at the regional and national levels, sustained over a period of years, in areas of design, performance, exhibition, publication, broadcast, and so on. Additionally, the candidate needs to establish adequacy in the areas of teaching and service.

**Service**
Indiana University Academic Handbook:

“Educated talent, technical competence, and professional skills are indispensable in coping with the complexities of modern civilization. Because most technical assistance is carried on by professional persons, and a high proportion of them have university connection, the University must provide people to fill this need. The performance of services for the University or for external organizations may retard accumulation of evidence for proficiency in research or teaching even while contributing to the value of the individual as a member of the University community. In such cases effective service should be given the same consideration in determining promotion as proficiency in teaching or research. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of the individual.”

Every faculty member is expected to perform his or her "adequate" share of service within the university. Evidence of this includes participation in the affairs, discussions, decisions, and governance of the department. Examples of factors which may be considered are: chairing and serving on departmental, college and university committees, organizing and participating in academic panels, serving as an officer in professional organizations, refereeing papers and grant proposals, editorships of professional journals, service to public schools, reviewing papers, evaluating persons or programs within the University or for external groups, organization of meetings, coordinating courses, recruiting and the counseling of students. Non-academic lectures, talks, or programs given
outside the university also count toward service if uncompensated. Working with outside organizations, such as the local school districts or industries, where the university is obviously benefiting, are also to be counted as service. Popular or journalistic publications, because they can be beneficial to the "image" of the university, may also qualify as service. Beyond that, excellence in service would be demonstrated by the chairing of particularly active committees, the setting up and directing of a demanding program, or the performing of any function that was of clear benefit to the university and demanded a great deal of time and commitment. Evidence of adequacy or excellence in service should be built up over years, and should be supported by letters from co-committee members, editors, or those familiar with the activity. These letters should be solicited by the chair.

Since every faculty member is expected to provide service to the university, it is unusual and difficult to base a candidacy for tenure on excellence in service.

**Balanced Case**

The Academic Handbook includes criteria for promotion or tenure resulting from the presentation of a balanced case:

> "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 recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments, and a successful balanced case, like more customary dossiers, must indicate this."

**Promotion Criteria for Senior Lecturers**

The IUN Promotion and Tenure guidelines (Goldenrod) state the following:

> “Promotion to Senior Lecturer is based on continued improvement in and demonstration of excellence in teaching or service, with at least satisfactory performance in the remaining area. Research or creative activity would be recognized when it strengthens the area of excellence. Candidates are ordinarily expected to provide leadership in teaching and to contribute to course and curriculum development. They may have organizational and oversight responsibilities for a course or program, participate in course and curriculum development, and, where appropriate, provide workshops for colleagues. They may oversee and provide mentoring for full and part-time non-tenure track faculty. Candidates may also make school and campus contributions beyond the classroom, such as campus service or other professional activities. If a lecturer is hired with specific responsibilities beyond the normal teaching and service expectations, the accomplishments and contributions in those areas should be assessed.”

The Senior Lecturer rank is associated with demonstrated teaching excellence and commitment to departmental and college service. For promotion to Senior Lecturer there must be evidence of consistent meritorious achievement in teaching, advising, and in other assigned administrative or service activities. Student evaluations of teaching should be superior. In addition, the evaluation will consider such items as strong peer reviews of teaching, importance to, and role in improving, the instructional or academic program in course development (or other areas of assignment), and use of innovative techniques or technologies.