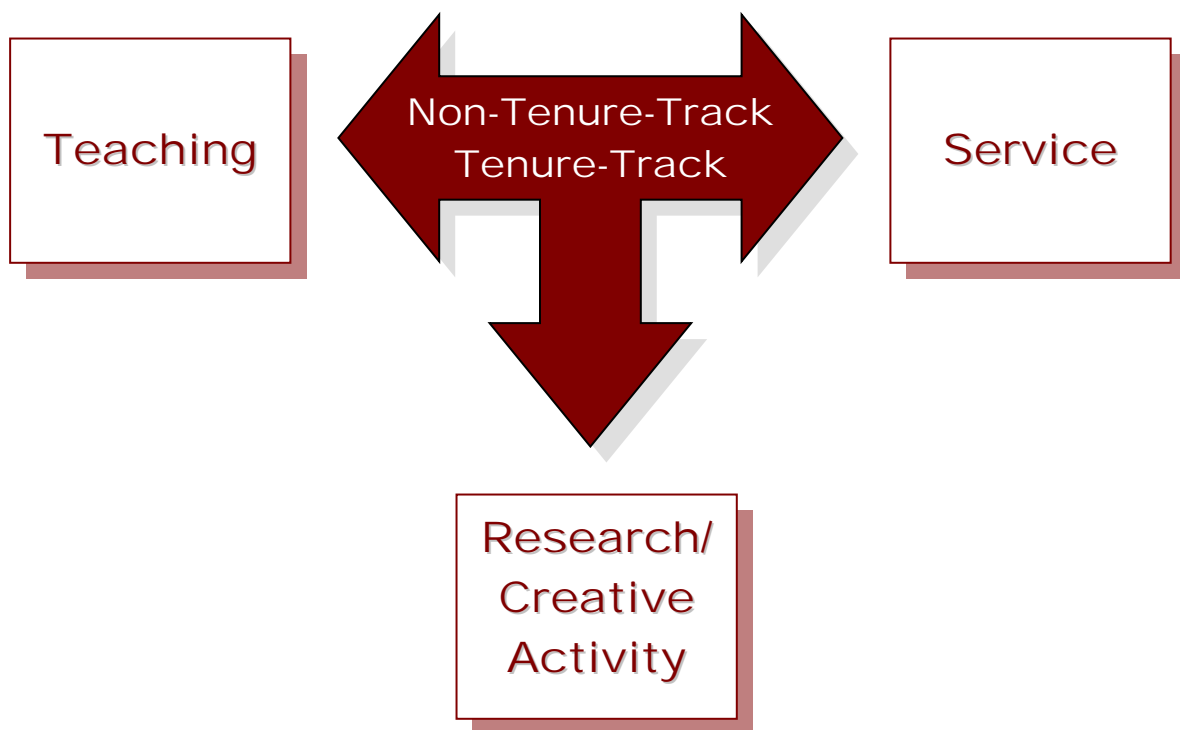


# PROMOTION AND TENURE GUIDEBOOK

## **School of Optometry Indiana University**



*On the leading edge of vision care for the people of the world*

Office of Associate Dean for Academic Affairs

Office of Associate Dean for Academic Affairs

IU School of Optometry

February, 2005

## ACKNOWLEDGEMENT

This 2005 version of the Indiana University School of Optometry *Promotion and Tenure Guidebook* is designed to assist faculty in the Indiana University School of Optometry with understanding and applying the criteria and procedures for promotion and tenure within both the tenure-track and non-tenure-track classifications. It updates and replaces the 1999 version in accordance with the policies of the Bloomington Faculty Council (Document E-IX Unit Criteria and Procedures for Tenure and Promotion], which states that the unit document that describes the procedures used in that department, school, or College to implement the *Indiana University Academic Handbook* guidelines in arriving at regulations concerning tenure and promotion must be reviewed by the unit as a whole no less frequently than once every five years.

The contents of this *Guidebook* are based on the policies, procedures, and guidelines of Indiana University. Although the University and campus-specific materials are readily available electronically and in print, this *Guidebook* is intended to serve as a comprehensive resource for School of Optometry faculty, compiling Indiana University, Bloomington Campus, and School of Optometry policies and procedures into one reference.

Primary sources of information for the *Guidebook* include the academic policies adopted by the Indiana University Faculty Council, the Bloomington Faculty Council, and the faculty of the School of Optometry. The following Indiana University publications are cited as primary references:

- *Academic Handbook, August 2001*
- *Bloomington Academic Guide* [<http://www.indiana.edu/~deanfac/acadguid>]
- *Evaluation of Teaching Handbook*
- *Non-Tenure-Track Academic Appointee Handbook, August 2002*
- *Tenure and Promotion Handbook, January 1999*

I am thankful to Moya Andrews (Vice Chancellor for Academic Affairs and Dean of the Faculties), Geoffrey Conrad (Associate Dean of the Faculties), Jerry Lowther (Dean of the School of Optometry), Gary Hafner (Member of the Bloomington Campus Tenure Advisory Committee), and the faculty of the School of Optometry for their suggestions and review of the 2005 edition of the School of Optometry *Promotion and Tenure Guidebook*.

This 2005 issue of the *Promotion and Tenure Guidebook* was approved by the faculty of the School of Optometry on February 17, 2005, and is effective from that date forward.

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### PROMOTION AND TENURE SUMMARY CHART

		Dossier Submission Dates	Appointment	Assessment Criteria		
				Teaching	Research	Service
Consideration	Promotion	Oct. 1/ Nov. 1	Tenure- Track	✓	✓	✓
				Excellent in one category and at least satisfactory in the other two categories		
			Non-Tenure- Track	✓	*	✓
				Excellent in one category and at least satisfactory in the other category		
	Tenure /Long- Term Contract	Nov. 1/ Dec. 1	Tenure- Track	✓	✓	✓
				Excellent in one category and at least satisfactory in the other two categories		
			Non-Tenure- Track	✓	*	✓
				Excellent in one category and at least satisfactory in the other category		

\* May be considered if included as part of job description

## **SECTION I INTRODUCTION**

### **Indiana University School of Optometry**

- ❖ ***Purpose***
- ❖ ***Mission***
- ❖ ***Vision***
- ❖ ***Goals***

### **Academic Appointments at Indiana University**

- ❖ ***Academic Freedom***
- ❖ ***Academic Ethics***
- ❖ ***Academic Criteria: Teaching, Research/Creative Activity, and Service***
- ❖ ***Academic Ranks and Titles***
- ❖ ***Terms of Initial Appointment***



## SECTION I-A INDIANA UNIVERSITY SCHOOL OF OPTOMETRY



A common aspiration among faculty of the Indiana University School of Optometry is to make a significant contribution to the art, science, and professional development of optometry and vision science in the state, the country, and the world.

**Candidates for promotion or tenure at Indiana University—Bloomington are expected to demonstrate excellence in research, in teaching, or in service, together with satisfactory performance in the other two areas (a candidate may present evidence of a balance of strengths that promise comparable benefits to the University over time).**

**The School's guidelines on promotion and tenure are based on the expectation that candidates for tenure will show that they are beginning to establish a national and/or international reputation in one's chosen area of excellence, as applied to the mission of the School of Optometry, and that candidates for promotion to full professor will demonstrate that they have established such a reputation.**

The School of Optometry administers three distinctly different, but interrelated, academic programs: the Doctor of Optometry professional degree (O.D.) program, the graduate degree (M.S., Ph.D.) program in vision sciences, and the undergraduate degree (A.S.) optician/technician program. School faculty, as a whole, provide an atmosphere for learning with excellent teaching; provide superb patient care in the School's clinics and outreach programs; conduct research in vision science and optometry that leads to better vision for mankind; and provide service to the community (local, state, national and international), the profession and University. Each of these areas is important, and different faculty contribute differently to most of them. Faculty contributions must be properly identified, valued, and recognized as part of the promotion and tenure system of the School of Optometry and Indiana University.

### **Purpose**

The major purposes of the Indiana University School of Optometry program are to:

### ***School of Optometry Bulletin***

- qualify men and women for the practice of optometry;
- instill in the graduate a scientific and professional attitude;
- provide a background for the graduate's contribution to the civic and social welfare of the community;
- encourage and facilitate graduate and postgraduate study in optometry and visual sciences;
- encourage and facilitate research in the clinical aspects of optometry and in fundamental sciences germane to optometry;
- contribute to the scientific and professional literature;
- train men and women as optometric technicians and/or opticians.

<b>Mission</b>  <i>Strategic Plan, 2001-2005</i>	The mission of the Indiana University School of Optometry is to protect, advance, and promote the vision, eye care, and health of people worldwide by preparing individuals for careers in optometry, the ophthalmic industry, and vision science and advancing knowledge through teaching, research, and service. This will be accomplished through the Doctor of Optometry, Optician/Technician, Residency and Graduate programs.
<b>Vision</b>  <i>Strategic Plan, 2001-2005</i>	The Indiana University School of Optometry will be at the leading edge of vision care for the people of the world.
<b>Goals</b>  <i>Strategic Plan, 2001-2005</i>	<p>The goals of the School of Optometry focus on six areas:</p> <ol style="list-style-type: none"> <li>1. <b>Teaching.</b> To be recognized for excellence and leadership in teaching.</li> <li>2. <b>Patient care.</b> To supply students with sufficient numbers, diversity, and quality of patient experiences that will provide them with the clinical education to become efficient in performing patient care. At the same time, the goal is to provide timely, appropriate, and quality care to the patients.</li> <li>3. <b>Research.</b> To increase the research activity of our faculty and students, to improve the research profile of the faculty and School, and to be a recognized leader in vision science and vision health research.</li> <li>4. <b>Service.</b> To increase the service activity of our faculty, staff, and students; to be recognized nationally/internationally as a leader in service to the profession and vision science; and to have a level of service within the University and community to be recognized as outstanding citizens.</li> <li>5. <b>Facilities.</b> To have state-of-the-art physical facilities and equipment that create an integrative approach to education, research, training, and service delivery.</li> <li>6. <b>Finances.</b> To maintain funding that allows for sufficient faculty and staff, continued growth, up-to-date facilities, and the ability to take advantage of opportunities that arise.</li> </ol>

## SECTION I-B ACADEMIC APPOINTMENTS AT INDIANA UNIVERSITY



### I-B1 Academic Freedom

Academic freedom, accompanied by responsibility, attaches to all aspects of a teacher's and librarian's professional conduct. The teacher and librarian shall have full freedom of investigation, subject to adequate fulfillment of other academic duties. No limitation shall be placed upon the teacher's and librarian's freedom of exposition of the subject in the classroom, or library, or on the exposition of it outside. [*Academic Handbook*]

### I-B2 Academic Ethics

The central functions of an academic community are learning, teaching, and scholarship. They must be characterized by reasoned discourse, intellectual honesty, mutual respect, and openness to constructive change. By accepting membership in this community, an individual neither surrenders rights nor escapes fundamental responsibilities as a citizen, but acquires additional rights as well as responsibilities to the entire University community. [*Academic Handbook*]

### I-B3 Academic Criteria: Teaching, Research/Creative Activity, and Service

**Teaching, research and creative activity, and service** which may be administrative, professional, or public are long-standing University criteria for faculty appointment, retention, and advancement. [*Bloomington Academic Guide*]:

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 his/her classes or who have been closely associated with his or her teaching as supervisor or in some capacity, or who have taught the same students in subsequent courses.

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 publication 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.

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.

**The School of Optometry values equally the importance of teaching, research, and service and the diversity of faculty contributions in teaching, research, and service to the mission of the School.**

#### **I-B4 Academic Ranks and Titles**

Academic ranks and titles are assigned to individuals directly involved in carrying out the academic mission of Indiana University. [*Bloomington Academic Guide*] Each person who teaches a course for credit must have an appropriate instructional title. The appropriate title for faculty positions is governed by the credentials of the appointee measured against the Faculty Council criteria for promotions and is agreed upon by the appointing unit, the School Dean, and the Dean of the Faculties.

Academic titles at Indiana University fall within two broad categories: tenure-track appointments and non-tenure-track appointments. It is the policy of Indiana University to staff its regular instructional program with tenure-track faculty to the maximum extent feasible. Accomplishing the University' academic mission, however, also requires the appointment of non-tenure track faculty. The faculty of each school shall specify the minimum proportion of tenured and tenure-probationary FTE faculty for that unit, with the base of the proportion derived from the total FTE tenured and tenure-probationary, clinical and lecturer appointees, and the dean of the school shall file this specification with the campus academic officer. [*Academic Handbook*]

The academic work of Indiana University is done by individuals holding academic appointments in different classifications. Each tenured and tenure-probationary faculty member has responsibilities in the areas of teaching, research, and service. Academic appointees in other classifications have responsibilities in some but not all of the three areas.

*Academic Handbook*

The School of Optometry uses the following Indiana University approved appointment ranks and titles and title codes for academic appointees in tenure-track and non-tenure track positions:

#### ***I-B4.1 Tenure-Track Faculty Appointments***

Through their work and through their participation in faculty governance and administration, tenure track faculty and librarians have primary responsibility for the accomplishment and the integrity of the University's academic mission. Tenure-track faculty have responsibility for teaching, research, and service. [Academic Handbook] Titles include:

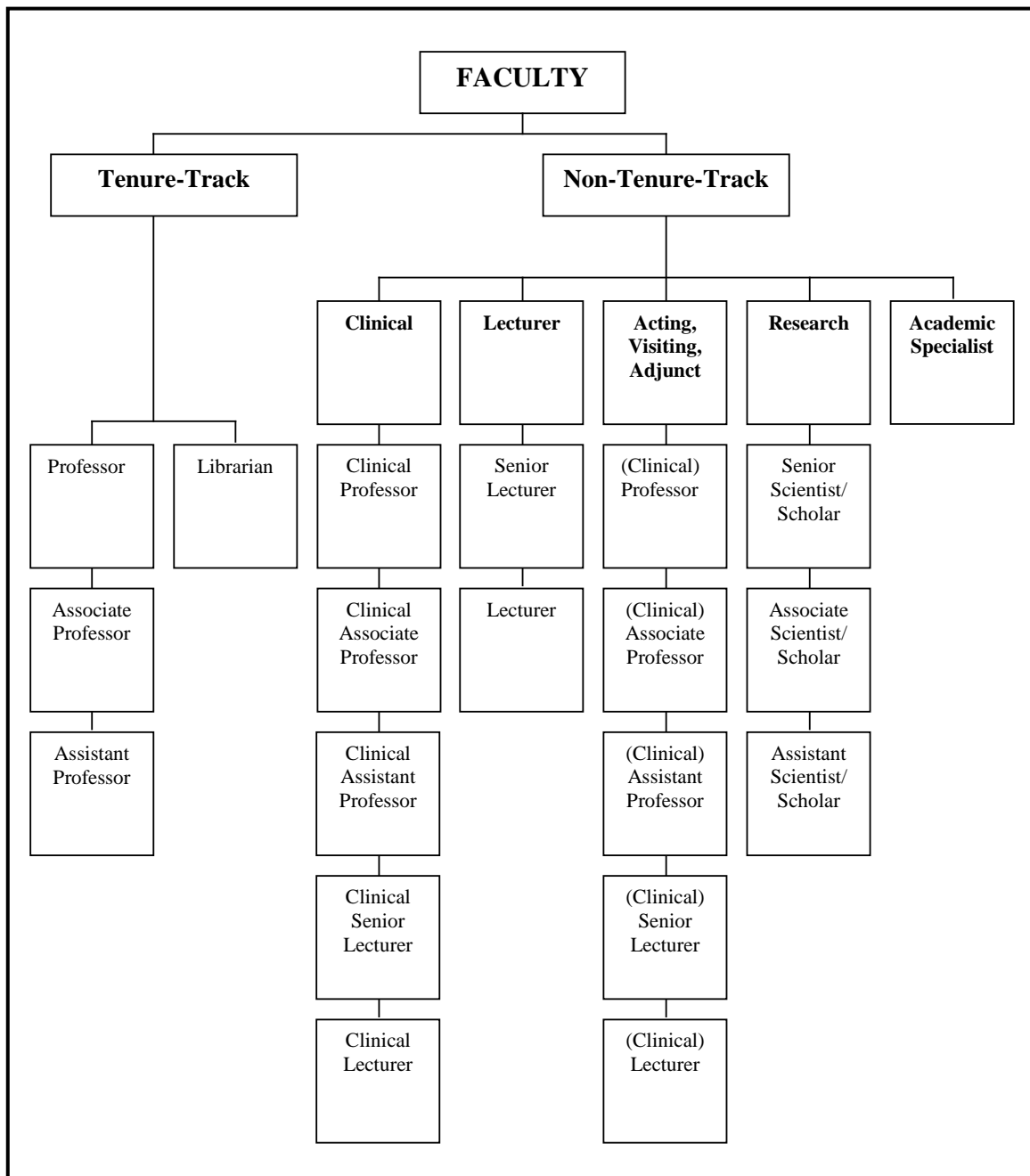
- Professor of Optometry (FT1)
- Associate Professor of Optometry (FT2)
- Assistant Professor of Optometry (FT3)

#### ***I-B4.2 Non-Tenure-Track Faculty Appointments***

Non-tenure-track faculty appointments include clinical rank appointments, lecturer appointments, acting, visiting and adjunct appointments, research appointments, and academic specialist appointments; non-research faculty appointments may be made using either clinical appointments or lecturer appointments. Lecturer is the appropriate appointment for those engaged primarily in classroom teaching. Clinical appointments shall be made for positions that involve teaching and service in contexts that are characterized as clinical in established usage, typically involving small group or one-on-one supervision and guidance of students applying theoretical concepts in professional settings. Under special circumstances, the School of Optometry may include clinical research in the position description and, consequently, consider it as part of the promotion criteria.

Policy of the Bloomington Faculty Council requires that each School or College report annually to the Dean of the Faculties and the Agenda Committee of the Bloomington Faculty Council the minimum percentage of its faculty appointments that must be assigned to tenured and tenure-probationary faculty appointments in order to sustain its research, teaching, and service mission.

Clinical rank faculty may be involved in research which derives from their primary assignment in clinical teaching and professional service; however, continued appointment and advancement in rank must be based on performance in teaching and service (i.e., clinical faculty may contribute to the research efforts of the School through their clinical work, but they are not expected to do individual research). [Non-Tenure-Track Academic Appointee Handbook]



Faculty who, in addition to teaching and service, have portions of their time allocated to doing research for which they are a principal or co-principal investigator, who have research laboratories, or who are otherwise expected to do individual research should be in tenured/tenure-probationary positions

*Academic Handbook*

Clinical appointments are not intended as a means of retaining tenure-probationary faculty members who will not be able to demonstrate the performance levels in teaching, research, and service required for the granting of tenure.

**Individual faculty members hired in tenure-probationary appointments may switch to the clinical appointments during the first five years of their probationary period; however, such a switch must involve giving up the research component of their faculty work, except for their clinical role in collaborative research trials.**

***Non-Tenure-Track Academic Appointee Handbook***

Should a faculty member holding a clinical rank appointment seek transfer to a tenure-track appointment, the transfer would be considered as a new appointment requiring the same review expected of other new appointees. A new search would not be required if the applicant for transfer were initially appointed through an approved affirmative action search. In the event that the individual has not previously gone through the regular search and screen and affirmative action procedures of the University, the individual must apply for an advertised position and participate in the normal University search and screen process. Once the transfer from a clinical appointment to a tenure-probationary appointment is completed, the individual will not be permitted to transfer back to a clinical appointment. Transfer to a tenure-probationary appointment will occur with zero years of credit for time spent as a clinical appointee.

**Assuming that the individual went through the normal search and screen and affirmative action procedures of the University prior to the initial appointment, a clinical appointee may elect to convert to a tenure-track appointment with the advice and consent of the Dean of the School of Optometry, following consultation with the School's Faculty Policy Committee and Promotion and Tenure Committee.**

Non-tenure-track faculty are not eligible for University sabbatical leave, but the School of Optometry may provide sabbatical-like leaves for non-tenure-track faculty (e.g., clinical rank faculty and lecturers) to provide opportunities for professional learning and collaboration with colleagues. Non-tenure-track faculty also are not eligible for academic administrative appointments at and above the department chair level.

Indiana University policy dictates that the role of clinical rank faculty and lecturers in governance within the School of Optometry shall be determined by vote of the tenured and tenure-probationary faculty of the School, provided that the voting participation of the non-tenure-track faculty is structured in a way that reserves at least 60% of voting weight to full-time tenure-track faculty, and that clinical appointees can represent no more than 40% of the total full-time School faculty. [*Non-Tenure-Track Academic Appointee Handbook*] However, the School of Optometry faculty adopted the policy that within the School of Optometry, clinical rank faculty are considered regular members of the faculty and enjoy the full rights and privileges accorded to all members of the faculty. [Faculty Meeting Minutes, School of Optometry, September 13, 1990]

The decision by the School of Optometry to recruit a new faculty member in the clinical rank classification follows the process outlined in the *Guidelines for the Recruitment of Faculty*,

adopted September 22, 1993 by the Optometry faculty. The search and screen process for clinical rank faculty is the same as the process specified for the search and screen of tenure-track positions in the School of Optometry.

**Clinical Appointments** – Appointees whose primary duties are teaching students and residents/fellows and providing professional service in the clinical setting. [*Academic Handbook*] Clinical appointments comprise the nuclear faculty unit for clinical training and patient care activity in the School's clinics. Such appointments facilitate the continuity of clinical instruction for students and the continuity of care for clinic patients. Time spent in faculty activities outside the clinical setting has the potential of compromising continuity in clinic instruction and patient care. Titles include:

- Clinical Professor of Optometry (FC1)
- Clinical Associate Professor of Optometry (FC2)
- Clinical Assistant Professor of Optometry (FC3)
- Clinical Senior Lecturer in Optometry (FCS)
- Clinical Lecturer in Optometry (FC5)

**Lecturer Appointments** – Teaching faculty who play an integral role in the mission of the unit. Appointees may be assigned responsibility for teaching, and for research and service that supports teaching, in courses for which such assignments have been approved by the faculty of the academic unit. The lecturer category is the appropriate classification for non-tenure-track teaching faculty in instances where the unit has a continuing need for the resource (except for clinical appointees and except in instances where adjunct appointments are appropriate). [*Academic Handbook*] Titles include:

- Senior Lecturer in Optometry (FLS)
- Lecturer in Optometry (FL5)

**Acting (FG-), Visiting (FV-/CV-), and Adjunct (FA-) Appointments** – May modify titles in any appointment classification, but constitute distinct, non-probationary appointment classifications. The qualification “acting” or “visiting” indicates a temporary appointment that may continue for no more than two years, except in special circumstances approved by the campus' Academic Officer. “Acting” carries the understanding that when a specified condition (e.g., completion of a terminal degree) is met the appointee will receive a regular appointment in the appointment classification indicated. “Visiting” appointees shall have the qualifications appropriate to the appointment classification indicated. The qualification “adjunct” is appropriate for teaching appointments of individuals whether compensated or volunteer, whose career paths lie primarily in another position or employment (e.g., another unit on campus or outside the University). [*Academic Handbook*]

**Research Appointments** – Researchers who typically hold the terminal degree and post-degree research experience and who are employed by Indiana University for strictly research responsibilities. Persons in research classifications may not teach, except on a released-time basis and an appointment to a part-time faculty rank by the Dean of the Faculties. They are not eligible for sabbatical leave. Persons in research classifications



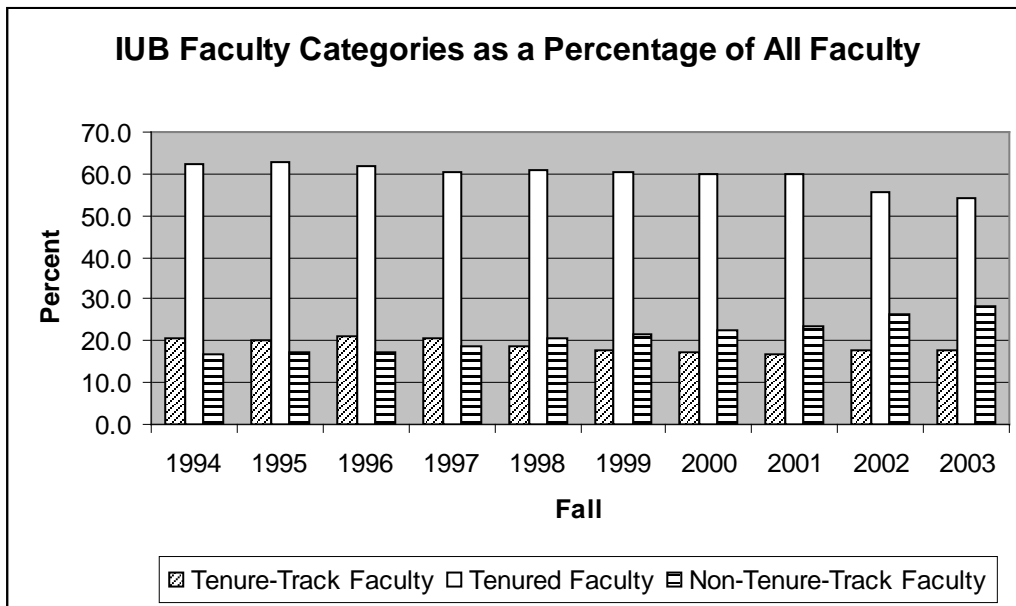
are not eligible for consideration for tenure-track faculty rank, except as successful applicants responding to a normal, advertised search along with other candidates under affirmative action procedures. A person holding a research rank should be making original creative contributions to knowledge in his or her field. The qualifications for each of the research ranks are considered roughly equivalent to the qualifications for the three faculty ranks in the area of research. [*Non-Tenure-Track Academic Appointee Handbook*] Titles include:

- Senior Scientist/Scholar in Optometry (RS1)
- Associate Scientist/Scholar in Optometry (RS2)
- Assistant Scientist/Scholar in Optometry (RS3)

**Academic Specialist (UAS) Appointments** – Established for individuals who do not routinely offer courses for credit or act as principal investigators, but who hold positions with responsibilities that require them to be accountable to an Academic Officer (i.e., their primary responsibilities are academic in nature). Classification allows for appointments with flexibility of scheduling throughout the academic year. The focus of such positions should be on duties that support the academic mission of the University. Examples of responsibilities include academic advising, coordinating curricula, coordinating AIs, editing journals, counseling, and program coordinating. [*Non-Tenure-Track Academic Appointee Handbook*] School guidelines pertaining to probationary period and reappointment notifications are comparable to those outlined for lecturers.

### ***I-B4.3 Part-Time Faculty Appointments***

According to the Indiana University *Academic Handbook*, “‘part-time’ is not an appointment classification, but is a descriptive term indicating that the appointee is employed in an appointment classification at less than 1.0 FTE.” Part-time appointments are designated by the title code “FP” (e.g., FP1 for Part-time Professor, FP2 for Part-time Associate Professor, etc.).



### I-B5 Terms of Initial Appointment

According to Indiana University policy, new appointees at faculty and librarian ranks must be advised of all the terms of their appointment, the duration of the probationary period, and the criteria and procedures relevant to reappointment and tenure. [*Bloomington Academic Guide*] Before or at the time of the initial appointment, each faculty member is informed in writing of the criteria and procedures about reappointment and the award of tenure. The faculty member acknowledges in writing at the time of the appointment his or her agreement with the conditions and terms of the initial appointment, and the criteria and procedures for reappointment and tenure.

It is the responsibility of the Dean of the Faculties Office to make certain that the new faculty appointee has received the following documents:

1. the signed Offer to Recommend Appointment which contains the tenure agreement;
2. a copy of the policy concerning reappointment and non-reappointment during the probationary period;
3. a copy of the Faculty Council procedures and criteria for promotion and tenure;
4. a copy of any school, department, and campus procedures and criteria for reappointment, promotion, and tenure decisions;
5. a form for the appointee to sign and return as an indication of agreement to all terms of the appointment, as well as the criteria and procedures described.

**The offer letter must contain the following statement:** This offer is contingent on the University receiving verification of your credentials and other information required by law, and to your furnishing the federally required documentation showing that you are a citizen or permanent resident of the United States, or an authorized alien to work in the U.S. for the period of your appointment.

Initial **clinical** and **lecturer** appointments should be at the level appropriate to the experience and accomplishments of the individual. The process for appointment to clinical rank with probationary status or to clinical rank with a long-term contract shall go through the ordinary procedures for faculty appointments. [*Non-Tenure-Track Academic Appointee Handbook*]

Initial appointments of **clinical rank** are given to individuals with the following minimum qualifications:

- The candidate has the ability to perform clinical duties normally associated with the profession of optometry or a clinical specialty within or related to the profession and would typically work under the direction and supervision of the department director or chief of the division or specialty. Duties primarily consist of patient care, clinical teaching, and student-clinician supervision. The individual may assume instructional assignments within his or her specialty area.
- The candidate has documented evidence of the education and credentials required to perform the clinical duties and to carry out the responsibilities of the appointment. Completion of the Doctor of Optometry (O.D.) degree, or its equivalent, and licensure or eligibility for licensure to practice optometry in the state of Indiana comprise the formal educational requirements and minimum credentials for appointment.

For **research** appointees, Assistant Scientists normally are on one-year, renewable appointments subject both to annual evaluative reviews by the chairperson or director and to the assurance of funding. Associate Scientists and Senior Scientists normally are appointed for periods of more than one year, depending upon the nature of the research missions to which they are assigned, their responsibilities, and funding prospects. [*Non-Tenure-Track Academic Appointee Handbook*]  
**Academic specialist** appointments should be made with a probationary period not to exceed seven years, followed by a rolling or long-term contract of three to five years.

The appointment letter that the faculty member receives at the time of the initial appointment from the Dean of the School of Optometry details the nature of the contract with Indiana University and outlines the School's expectations of the faculty member (e.g., duties and responsibilities). Changes in expectations and duties may occur after the initial appointment, but not in the absence of consultation between the faculty member and the Dean.

<p><b>The letter of appointment establishes a binding contract between the faculty member and Indiana University.</b></p>
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A sample copy of the appointment letter is included in the Appendix.

## **SECTION II PROMOTION AND TENURE PROCESS**

### **Documentation**

- ❖ *Faculty Activity*
- ❖ *Teaching*
- ❖ *Research/Creative Activity*
- ❖ *Service*

### **Dossier**

- ❖ *Preparation*
- ❖ *Contents*

### **Peer and Administrative Review of the Dossier**

- ❖ *Outside Evaluators*
- ❖ *School of Optometry Associate Dean for Academic Affairs*
- ❖ *School of Optometry Promotion and Tenure Committee*
- ❖ *School of Optometry Dean*
- ❖ *Bloomington Campus Promotion and Tenure Advisory Committees*
- ❖ *Vice Chancellor for Academic Affairs and Dean of the Faculties*
- ❖ *Chancellor and Vice President for Academic Affairs, President, and Trustees of Indiana University*

### **School of Optometry Promotion and Tenure Timetable**

## SECTION II-A DOCUMENTATION



Documentation of a faculty member's accomplishments in teaching, research/creative activity, and service is one of the most important features of the promotion and tenure dossier. Insufficient documentation makes it difficult or impossible for outside evaluators to assess the quality and impact of the candidate's contributions and to establish an evidential basis for promotion and/or tenure.

**Without documentation, it is almost impossible for the candidate to substantiate quality of performance in teaching, research/creative activity, and service.**

Faculty members are encouraged to develop and maintain a mechanism of ongoing documentation of teaching, research/creative activity, and service (e.g., peer reviews of teaching, letters of grant support, assessments of committee activity, etc.). Annual faculty reviews by academic units and annual Faculty Summary Reports prepared by faculty provide for a routine identification and analysis of data and materials that could help support an outside evaluation of teaching, research/creative activity, and service.

### II-A1 Faculty Activity

#### *II-A1.1 Faculty Summary Report*

All faculty are expected to complete a Faculty Summary Report each year and submit it to the Dean of the School of Optometry by January 15. The Report should reflect the faculty member's contributions and achievements for the preceding calendar year (January 1-December 31) and should be available for review during the period when budget conferences are held and reappointments and salary decisions are made. Faculty Summary Reports and other annual reviews (e.g. private communications between the faculty member and Dean) are not included in the promotion and tenure dossier unless specifically requested by the candidate. A sample copy of the Faculty Summary Report is included in the Appendix.

#### *II-A1.2 Annual Review of Faculty*

According to policy set by the Bloomington and University Faculty Councils, all full-time, non-tenured faculty, librarians, and lecturers and all tenured faculty who have not yet achieved full rank who have been in rank for seven years or longer must be given an annual review relative to the department's assessment of reappointment and/or tenure prospects. Academic units may differ in the procedures by which reviews are conducted, but all non-tenured faculty members, librarians, and lecturers are to receive a written summary of their review. Another copy of the review summary is to be retained in the unit's files. No copies go beyond the unit. For tenured faculty members, no written summary is required unless requested by the faculty member.

The annual review is meant to be a candid exchange between the faculty member and the unit. The evaluation presented in the review will reflect the views of the unit only. Subsequent evaluations by any level of the University (e.g., chairs, deans, and advisory committees on reappointment, tenure, and promotion) may not agree with the evaluations by the unit. The annual reviews are intended as an aid to faculty development, but they do not constitute a cumulative record which predetermines the results of a separate tenure or promotion review.

**Suggested wording to be included as part of the review statement:**

**This review reflects my judgment as to your current performance. It is based on my examination of your dossier (and the evaluation by the department/school committee). This evaluation may differ from those of future chairpersons, deans, and advisory committees who are asked to make judgments, and ultimately decisions, concerning your reappointment, tenure or promotion. I also call your attention to the relevant criteria in the *Academic Handbook*, page 85.**

***Vice Chancellor for Academic Affairs and Dean of the Faculties***

No specific date for the annual review is established, and it may therefore occur at any time during the academic year. However, faculty members should be notified of the upcoming review and given an opportunity to provide relevant materials. Within the School of Optometry, annual reviews usually occur in late winter or early spring after submission of the Faculty Summary Reports and before the March 1 reappointment deadline. Written notification confirming that a written review or an evaluative discussion has taken place for all non-tenured faculty members and lecturers and all tenured faculty members who have not yet achieved full rank must be sent to the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties. It is expected that routine reviews for all other faculty will occur each year via the annual Faculty Summary Report.

### ***II-A1.3 Third-Year Review of Faculty***

Each candidate for tenure should undergo a review of his or her progress by the School Promotion and Tenure Committee upon completion of the third year of the tenure probationary period. The Chair of the Promotion and Tenure Committee coordinates the process that is designed to provide constructive feedback to the candidate in sufficient time before the end of the six-year, probationary period. The process provides for a formal review of each candidate's performance within the three main categories evaluated for promotion and tenure (teaching, research and service).

Tenure probationary faculty completing their third year should prepare a dossier and submit it to the Chair of the School of Optometry Promotion and Tenure Committee by the first day of the August preceding the fall semester of the fourth year. The dossier should be organized similar to the promotion and tenure dossier checklist shown in the Appendix of the School of Optometry Promotion and Tenure Guidebook, with the following changes and omissions:

1. Under the **General** section there should be an added category for the report of the review committee. The chairperson's recommendation and departmental recommendation should be omitted.

2. The content of the **Teaching** section remains the same as listed.
3. Under **Research**, omit the outside and colleague evaluations. Where departmental assessment of journal stature and contributions to multiple authorship is required, your own assessment will suffice. All other categories should be included.
4. Under the **Service** section, list your activities and annotate the list to indicate the type and amount of contribution made. Omit the evaluations of the chair or other colleagues.

As soon as possible after receipt of the dossier, the Chair of the Promotion and Tenure Committee selects a panel of three tenured faculty members to review the third-year dossier. The three-person panel prepares a report with an assessment of the faculty member's progress toward tenure, and an indication of areas in need of additional attention and areas that exhibit satisfactory progress. The panel reports its findings to the full School Promotion and Tenure Committee prior to forwarding the report and dossier to the Dean. A copy of the report is provided to the faculty member after submission to the full Promotion and Tenure Committee. It is anticipated that the third-year review process will be completed within the first few weeks of the fall semester of the fourth year.

#### ***II-A1.4 Reappointment Review of Faculty***

The Dean of the Faculties sends reappointment lists to the School of Optometry Dean and/or Associate Dean for Academic Affairs about one month before recommendations are due. Where tenure decisions are involved, lists are sent prior to the end of the 5th year of service. Faculty members are to be given at least three months' notice during their first year of service, six months' notice during their second year of service, and twelve months' notice after two or more years of service.

<b>Reappointment Calendar</b>			
<b>Current Service Year</b>	<b>Reappointment Period</b>	<b>Reappointment Decision</b>	<b>Decision Notice to Faculty</b>
1 <sup>st</sup>	2 <sup>nd</sup> Year	January 10	February 1
2 <sup>nd</sup>	3 <sup>rd</sup> Year	October 15	November 15
2 <sup>nd</sup>	4 <sup>th</sup> Year	March 1	May 1
3 <sup>rd</sup> – 5 <sup>th</sup>	5 <sup>th</sup> – 7 <sup>th</sup> Year	March 1	May 1
6 <sup>th</sup>	8 <sup>th</sup> Year – Tenure	November 1	May 1

The Associate Dean for Academic Affairs advises relevant faculty that the School will be making recommendations concerning reappointment and that faculty members may submit supporting materials within a specified time. The Associate Dean for Academic Affairs assembles the materials and submits recommendations for pre-tenure reappointment to the Dean. The Dean submits the School's recommendation to the Dean of the Faculties.

For negative pre-tenure cases, the Dean advises the faculty member in writing immediately and forwards all materials to the Dean of the Faculties. The Dean of the Faculties reviews negative pre-tenure reappointment cases and makes a recommendation to the Vice President-Bloomington, and after conferral with the Vice President, advises the candidate in writing as soon as the decision is final.

### ***II-A1.5 Peer Review Committee***

The School of Optometry Peer Review Committee is advisory to the Dean and assesses faculty performance in teaching, research/creative activity, and service; provide feedback and constructive criticism to faculty members; and promote faculty coherence and mutual respect. The committee consists of at least one tenure-track faculty member with the O.D. degree, a clinical faculty member, and a tenure-track faculty member with an active research program. Committee members evaluate and write an annual review of each faculty member. The Committee chair (fourth member) coordinates and guides the process.

The written review produced by the Committee is based on the annual Faculty Summary Report, faculty statement of effort, student teaching evaluations, patient evaluations when appropriate, letters from other faculty, and past evaluations when available. The final review is confidential, with copies to the individual faculty member and the Dean. All communication between faculty and the Committee is through the Dean's office. Each reviewer is reviewed by the other reviewers and the Committee chair.

The Peer Review Committee makes recommendations to the Dean based on the following categories:

- Excellent
- Very Good – exceeding expectations
- Good – no deficiencies
- Satisfactory – just meeting expectations, maybe deficient in one area
- Unsatisfactory – deficient in more than one area

### ***II-A1.6 Peer Teaching Evaluation Committee***

The School of Optometry Peer Teaching Evaluation Committee reviews the syllabi, handouts, use of technology, examinations, classroom presence, and other means as it deems appropriate to evaluate instructors' teaching abilities. Student evaluations are only one tool used to evaluate teaching, and sometimes they may be biased by personality or factors other than teaching effectiveness. The Committee makes recommendations directly to the faculty member under review. It is expected that the Committee will evaluate only a few faculty members each year, with emphasis on tenure-track faculty and those applying for promotion.

## **II-A2 Teaching**

**The dossier should contain objective evidence of the candidate's performance as a teacher, including a complete description of the characteristics and quality of the candidate's teaching. If teaching is identified as the area of excellence, it is expected that the candidate will demonstrate a reputation for teaching that extends beyond the campus and University.**

Course outlines/syllabi and similar material and activities in class preparation may be included as evidence of teaching quality. Other evidence can include descriptions of curricular innovations and course changes, new course development efforts, summaries of teaching and course evaluations by students, student comments from in-class evaluations, evaluations and



observations by peers, unsolicited letters from former students, continuing education presentations, textbooks, articles on teaching, handouts, CDs, videos, and distributed learning on the Internet.

It is reasonable to expect that a candidate for promotion and/or tenure would have at least one or two regularly scheduled courses for which he or she has been assigned as the faculty of record (even if the candidate is going up on excellence in research or service), with primary responsibility for the organization and conduct of the course(s).

**Faculty  
Load**

Expected teaching loads for tenure-track faculty in the School of Optometry are twelve credit hours per academic year, or two full days per week in the clinic, or an appropriate combination of the two.

Clinical rank (non-tenure-track) faculty have an expected teaching load of four full days per week in the clinic providing patient care and one day of administrative/service activity. According to policy of the Bloomington Faculty Council, the maximum teaching load for lecturers and clinical faculty on the Bloomington campus shall be six courses per academic year. [*Non-Tenure-Track Academic Appointee Handbook*]

In addition to the teaching load, the expected faculty load for tenure-track appointees includes an ongoing research program that demonstrates productivity via regular publications and presentations (except for clinical rank faculty) and/or other scholarly and service activities.

Reductions in the expectations in any area (e.g., teaching) can be negotiated in consideration of activities (e.g., administration, P.I. on a grant, service to journals, research societies, professional organizations, continuing education courses, etc.) beyond expected and normal levels in other areas (e.g., research, patient care, or service).

**Student  
Evaluation  
of  
Course  
and  
Instruction**

Summative and formative evaluations are instrumental to the qualitative and quantitative assessment of didactic, laboratory and clinical instruction. Student evaluations help provide information necessary for documenting excellent or effective teaching, and can be critical to the individual case in a promotion or tenure dossier. Teaching can be evaluated in several areas, including subject matter mastery, curriculum development, course design, delivery of instruction, assessment of instruction, and availability to students. Student comments, and the numerical ratings on key issues (e.g., "Overall, I rate this instructor as outstanding;" "Overall, I rate this course as outstanding;" The instructor is effective in teaching the subject matter of this course;" The instructor encourages active thinking/participating") are important tools for the Promotion and Tenure Committees' assessments of a candidate's teaching quality.

Using forms developed by BEST (Bureau of Evaluative Studies and Testing), the School of Optometry formally conducts evaluations of teaching for each course at the completion of each semester. Forms are provided by the Dean's Office for

distribution by faculty to their respective classes. The completed forms are collected and returned to the Dean's Office by the class representative. The evaluative analysis is conducted by BEST and the results are returned to the Dean's Office and the faculty member. A sample copy of the student evaluation form is included in the Appendix.

ONCOURSE has developed an on-line procedure for conducting midterm evaluations of instruction to allow faculty members to make constructive midterm adjustments.

***Former  
Student and  
Alumni  
Evaluation  
of  
Course  
and  
Instruction***

Evaluations of the candidate by former students and comments from School alumni assist in documenting the impact of the candidate's teaching on student learning and outcomes. Solicited evaluations from former students help provide judgments about the value of the educational experience to "real world" performance in a professional, academic and/or research setting. Unsolicited comments often provide testimony to the quality of the candidate's teaching and/or the relationship of the candidate's teaching to alumni successes.

***Peer  
Evaluation  
of  
Course  
and  
Instruction***

Peer evaluations complement student evaluations and contribute to the assessment of the candidate's educational strategies and effectiveness as a teacher. Evaluations can occur through direct observations of teaching in the classroom, laboratory and/or clinic. An important aspect of peer evaluations is the review of specific course materials, including notes, textbooks and other teaching publications, outlines, syllabi, videos, cases, and lab manuals. Course portfolios can help document the intellectual work of teaching and provide evidence of teaching effectiveness and excellence. According to the IU Course Portfolio Initiative, a course portfolio can provide a comprehensive account of approaches to teaching from classroom pedagogy to learning outcomes and provide access for independent review. Evaluations by peers also help assess the impact of the candidate's teaching on faculty and institutions outside Indiana University.

### **Examples of Optometry Faculty Teaching Documentation**

***Awards***

- Michael G. Harris Family Award for Excellence in Optometric Education (AOF)
- Tracy M. Sonneborn Lecture Award (IU)
- Multidisciplinary Ventures Fund (IU)
- Chancellors' Professors in Teaching (IU)
- IU Faculty Colloquium on Excellence in Teaching (IU)
- Instructional Development Summer Fellowship (IU)
- Trustees' Teaching Award (IU)
- Professor of the Year (School)
- Consultant of the Year (School)

<b>Books</b>	<ul style="list-style-type: none"> <li>• <i>Atlas of Primary Eyecare Procedures</i> (Appleton &amp; Lange)</li> <li>• <i>Ocular Accommodation, Convergence, and Fixation Disparity: A Manual of Clinical Analysis</i> (Butterworth/Heinemann)</li> <li>• <i>Optometric Pharmacology and Therapeutics</i> (Section Editor, Lippincott)</li> <li>• <i>Primary Care Optometry</i> (Professional Press)</li> <li>• <i>Public Health and Community Optometry</i> (Butterworth)</li> <li>• <i>System for Ophthalmic Dispensing</i> (Butterworth/Heinemann)</li> </ul>
<b>Advising</b>	<ul style="list-style-type: none"> <li>• Graduate Thesis Committees (School)</li> <li>• Student Research Projects (School)</li> </ul>
<b>Innovation</b>	<ul style="list-style-type: none"> <li>• Refractive Procedures Educational CD-ROM Development (Essilor)</li> <li>• Self Paced Interactive Learning Module Development (Vistakon)</li> </ul>
<b>Continuing Education</b>	<ul style="list-style-type: none"> <li>• American Optometric Association Annual Meeting</li> <li>• Ellerbrock Continuing Education Program</li> <li>• Indiana Optometric Association Annual Meeting</li> <li>• Indiana University School of Optometry</li> <li>• Southern Education Congress of Optometrists</li> <li>• South African Graduate Institute for Optometry</li> </ul>

## II-A3 Research/Creative Activity

The tenure dossier should provide an assessment of all post-terminal degree research and creative activity (e.g., grants, publications, and research presentations). The promotion dossier should provide an assessment of work done in rank (e.g., Associate Professor) at Indiana University and elsewhere.

Work in preparation (as opposed to articles in press or articles and/or grant applications submitted) may be relevant to decisions regarding tenure but is of little relevance to decisions regarding promotion since tenure considers future achievements and promotion considers past achievements. It is reasonable to expect a candidate for promotion and/or tenure to have a continuous record of being a primary investigator for at least one to two major, externally funded research grants and a publication record of at least one to two articles per year in quality journals, especially if research is identified as the area of excellence.

### Examples of Optometry Faculty Research/Creative Activity Documentation

<b>Awards</b>	<ul style="list-style-type: none"> <li>• Glenn Fry Award for Vision Research (AOF)</li> <li>• The Charles F. Prentice Medal (AAO)</li> <li>• Garland-Clay Award (AAO)</li> <li>• Max Shapero Memorial Lecturer (AAO)</li> </ul>
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	<ul style="list-style-type: none"> <li>• Irvin M. and Beatrice Borish Award (AAO)</li> <li>• Distinguished Faculty Research Lecture (IU)</li> <li>• Multidisciplinary Ventures Fund (IU)</li> <li>• Chancellors' Professors in Research (IU)</li> </ul>
<b><i>Sponsored Research</i></b>	<hr/> <ul style="list-style-type: none"> <li>• Analysis of Flicker Retinal Action Potential (NIH)</li> <li>• Collaborative Longitudinal Evaluation of Keratoconus (NIH)</li> <li>• Double-Masked Study of Progressive Addition Lenses (Essilor)</li> <li>• Entopic Assessment of the Retinal Vasculature (NIH)</li> <li>• Flash-Blinding in Peripheral Vision (Smith &amp; Wesson)</li> <li>• Peripheral Vision and Visual Optics (NIH)</li> <li>• Research and Development of Multi-Disciplinary Clinic for Children with Learning Problems (IU)</li> <li>• Soft Contact Lenses in Young Myopes: An Ocular, Sociological, Academic and Athletic Evaluation (CIBA)</li> <li>• Study of OptimEyes™ Soft Lens Disinfecting System (Controlled Therapeutics)</li> </ul> <hr/>
<b><i>Refereed Journal Publications</i></b>	<hr/> <ul style="list-style-type: none"> <li>• <i>Applied Optics</i></li> <li>• <i>Brazilian Journal of Medical and Biological Research</i></li> <li>• <i>International Contact Lens Clinic</i></li> <li>• <i>Investigative Ophthalmology and Visual Science</i></li> <li>• <i>Journal of the American Optometric Association</i></li> <li>• <i>Journal of Behavioral Optometry</i></li> <li>• <i>Journal of Neuroscience Methods</i></li> <li>• <i>Journal of the Optical Society of America</i></li> <li>• <i>Optometric Education</i></li> <li>• <i>Optometry Clinics</i></li> <li>• <i>Optometry and Vision Science</i></li> <li>• <i>Southern Journal of Optometry</i></li> <li>• <i>Vision Research</i></li> </ul> <hr/>
<b><i>Scientific Paper Presentations</i></b>	<hr/> <ul style="list-style-type: none"> <li>• American Academy of Optometry</li> <li>• American Public Health Association</li> <li>• Asian Pacific Optometric Congress</li> <li>• Association for Research in Vision and Ophthalmology</li> <li>• British Contact Lens Association</li> <li>• Indonesian Ophthalmological Association</li> <li>• Optical Society of America</li> </ul> <hr/>

## II-A4 Service

Service activities may be rendered to the School, the University, professional organizations, governmental bodies, or other similar institutions. Service may occur at the local, state, national

and/or international levels. Evaluations from colleagues and associates in the performance of service are of particular importance if service is identified as the area of excellence.

**Evaluations and other assessments must indicate the contributions and responsibilities of the candidate to service, and the impact of the service on the organization and/or profession. Service beyond the School and University (e.g., at the national and international levels) is particularly important for substantiating a record of excellence in service.**

### Examples of Optometry Faculty Service Documentation

#### *Awards*

- Optometrist of the Year (AOA)
- Optometrist of the Year (IOA)
- Optometrist of the Year (NOA)
- Carel C. Koch Memorial Medal Award (AAO)
- Eminent Service Award (AAO)
- William Feinbloom Award (AAO)
- Distinguished Service to Optometry (IOA)
- Sagamore of the Wabash (State of Indiana)
- W. George Pinnell Award for Outstanding Service (IU)
- Distinguished Service Award (IU)

#### *University Committees, Councils*

- Academic Computing Policy Committee (Campus)
- Academic Review Committee (School)
- Admissions Committee (School)
- Bloomington Faculty Council (Campus)
- Budgetary Affairs Committee (School)
- Committee for the Protection of Human Subjects (Campus)
- Curriculum Committee (Campus)
- Faculty Grievance Committee (BFC)
- President's Proton Therapy Task Force (IU)
- Salary Equity Review Grievance Committee (Campus)
- Tenure Advisory Committee (Campus)

#### *External Committees, Boards, Panels*

- AAU Junior Olympics Screening Team (AOA)
- ANZI Z80 Corneal Topography Standards Committee (ANZI)
- Clinical Expert Review Panel for Clinical Practice Guideline on Angle Closure Glaucoma (AOA)
- Clinical Science Examination Council (NBEO)
- COE Optometric Technician Committee (AOA)
- Executive Council (AAO)
- Executive Board (APHA)
- Governing Council (APHA)
- Indiana Health Care Professional Development Commission (ISDH)
- National Advisory Council on Health Professions Education (DHHS)
- National High Blood Pressure Education Program Coordinating

***Editorial  
Boards,  
Journal  
Referees***

- Committee (NIH)
  - Ophthalmic Drugs Advisory Committee (FDA)
  - Ophthalmic Devices Panel (FDA)
  - Task Force on Electronic Optometric Records (ASCO)
- 

- *American Journal of Public Health*
  - *Experimental Eye Research*
  - *International Contact Lens Clinic*
  - *Journal of the American Optometric Association*
  - *Journal of Neurophysiology*
  - *Journal of Optometric Vision Development*
  - *Optometry and Vision Science*
- 

***Consulting***

- Cebu Doctors' College of Optometry (Philippines)
  - Delta Airlines
  - Head Start of Monroe County
  - Wenzhou Medical College (People's Republic of China)
  - Optometry Unit, Faculty of Medicine, National University of Malaysia
-

## SECTION II-B DOSSIER

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Adequate documentation is the crucial ingredient in any candidate's file. Candidates must demonstrate the quantity and quality of contributions in the three areas of teaching, research, and service.

*Tenure and Promotion Handbook*

### II-B1 Preparation

The *Bloomington Academic Guide* states that “responsibility for the preparation of the dossier rests with the Chairperson, the Dean, or a senior member of the faculty, such as the individual who chairs the promotions committee.” In the School of Optometry it is customary for the candidate for promotion and/or tenure to assume responsibility for preparing the dossier, with the assistance of the School's Associate Dean for Academic Affairs and/or the Chair of the School Promotion and Tenure Committee and/or a senior member of the faculty designated by either the Associate Dean or the P&T Committee Chair.

The Dean of Faculties Office maintains a core of senior faculty who have indicated their willingness to work with pre-tenure faculty on an individual basis in the preparation of dossiers for tenure and promotion. Faculty requesting assistance with preparation of their dossiers are matched by the Dean of the Faculties Office with senior faculty whose background will provide the most help.

To facilitate preparation of the dossier, the routine accumulation of information and materials about the candidate's teaching, research/creative activity, and service should begin as soon as the candidate becomes a faculty member. Specific standards for tenure and promotion may differ among the various units or departments, and unit criteria should always be consulted when dossiers are being prepared. [*Tenure and Promotion Handbook*]

In the School of Optometry, the tenure review process starts at the end of the fifth probationary year and continues into the beginning of the sixth year (see School of Optometry Promotion and Tenure Timetable).

### II-B2 Contents

#### II-B2.1 Tenure-Track Appointees

Promotion dossiers and tenure dossiers prepared by faculty in the School of Optometry contain basically the same types of material: information about teaching, research, and service; the record of votes and recommendation by the School Promotion and Tenure Committee; and the independently documented recommendations of the Associate Dean for Academic Affairs and

**The objective evidence in the dossier should be sufficient to present the case for promotion or tenure -- the dossier constructed in consultation with the candidate provides the evidence upon which promotion and tenure decisions are to be made.**

the Dean of the School of Optometry. The dossier must include all relevant evidence, both positive and negative. [*Bloomington Academic Guide*]

**All promotion and tenure dossiers should be developed according to the guidelines prepared by the Dean of the Faculties Office, and divided into the following five sections:**

### **I. General Summary**

1. Signature Sheet.
2. Copy of the School of Optometry criteria used to evaluate the candidate.
3. Associate Dean for Academic Affairs' evaluation and personal recommendation concerning the candidate's teaching, research/creative activity, and service – the basis for the case should be carefully considered at this level and communicated to the Dean prior to the solicitation of external reviews to assure that referees address the area(s) of excellence specifically, and the candidate and the School must be in agreement concerning the area(s) of excellence (*replaces the chairperson's evaluation*).
4. School of Optometry Promotion and Tenure Committee's evaluation of the candidate's teaching, research/creative activity, and service, and the Committee's recommendation to include a tally of the specific votes and any individual statements submitted by members of the personnel committee (*replaces the department's evaluation*).
5. The candidate's curriculum vitae.
6. The candidate's own statements about teaching, research/creative activity, and service.
7. A list of all publications noting, in the left-hand margin, whether the publication was evaluated as evidence of teaching, research/creative activity, or service.
8. An assessment by the School of the extent of candidate's contribution to works with more than one author.
9. Tenure and Promotion Dossier Checklist.

The Dean is responsible for adding the following to the dossier:

1. The Dean's personal recommendation and a summary evaluation of the candidate's teaching, research/creative activity, and service.

All statements from individuals and from committees must identify the area judged to be excellent. A general assessment of the criteria (e.g., satisfactory, above satisfactory) should be included and rationale or the basis for the assessment by referring to the evidence presented in the other sections of the dossier. Annual Reviews should not be included in the dossier unless specifically requested by the candidate.



## II. External Letters

1. A list of external referees supplied by the candidate with statements describing why each individual was proposed as a referee and the relationship of that person to the candidate.
2. A list of external referees compiled independently by the Associate Dean for Academic Affairs with statements describing why each individual was proposed as a referee and the relationship of that person to the candidate.
3. A list of external referees to whom the Dean sent letters soliciting outside evaluations and a sample copy of the letter. An explanation should be provided for any referee who declined to write and a list of those solicited who did not respond to the request to evaluate the candidate.

*Because the quality of the candidate's scholarly contribution is evaluated, most of the external referees should have university affiliations. Those who are not affiliated with a university should be selected because their position qualifies them to provide a perspective that is relevant to the candidate's work, and their qualifications as a referee should be explained. All letters requesting outside evaluations should be accompanied by a copy of the candidate's vita, a copy of the School criteria, and an adequate and appropriate selection of publications or other materials relevant to area(s) of excellence agreed to by the School and candidate to be evaluated by the referees.*

Candidates for promotion or tenure may gain complete access to their dossier at any level of review.

**Solicitation of internal and external letters should include the following statement provided by the Vice Chancellor for Academic Affairs and Dean of the Faculties:** "In most cases your letter will be seen only by a small group of faculty members serving in a tenure (and/or promotion) advisory capacity. Although letters of recommendation are normally not disclosed to candidates, the candidate may request access to, and the University is legally compelled to give access to, the entire dossier."

## III. Substantiation of Teaching Contributions

1. A list of the specific courses taught and the enrollments listed by semester and academic year.
2. The numbers of Ph.D., M.S., other research and similar committees chaired or served on and the titles of any dissertations directed, listed by academic year.
3. Copies of pedagogical books, articles, chapters, and reviews as evidence of national exposure as a scholar of teaching and learning.
4. Evidence of the quantity and quality of classroom teaching (syllabi, summaries and trend analyses by semester and/or academic year of standardized, quantitative test results (such as prepared by BEST) and transcribed student comments).
5. Evidence of peer instruction (workshops, lectures, curricula disseminated, including peer evaluations of presentations and materials).

6. Evidence of teaching leadership and recognition (awards, invited presentations).
7. Solicited and unsolicited letters and e-mail from students, colleagues, and professional groups that reveal the influence of the candidate's teaching.
8. (For tenure) Written evidence of pedagogical work-in-progress.

*Generally, pedagogical publications are considered as research only where the work has a conceptual/theoretical orientation and there is evidence that the efficacy of the pedagogy has been systematically studied and evaluated. Course outlines or program plans and similar material, which may represent many hours of creative work, may be included as evidence of teaching quality. Raw data (e.g., scanned sheets from BEST) should not be included in the dossier, but must be available upon request. Graphs may also show trends across semesters. Summaries of quantitative and qualitative evaluations over time should provide evidence of accomplishments at varied levels of teaching. Evaluations by colleagues based on first-hand observations and any and all evidence that the candidate has a reputation beyond this campus are of particular significance. A reputation beyond the campus is especially important in cases where teaching is defined as the area of excellence, and external referees must be asked to evaluate teaching in addition to research/creative activity and service. Information must be organized in ways that allow committee members to see how it supports assertions that there are unique skills demonstrated by the candidate. The primary purpose of the evidence presented in this portion of the dossier is to document the breadth and especially the quality of the teaching.*

#### **IV. Substantiation of Contributions to Research/Creative Activity**

1. A list of the candidate's research/creative publications.
2. Reprints of all published and in-press journal articles, research book chapters, books published, manuscripts in press, and manuscripts in draft.
3. Reviews of books at any stage; commentary on journal articles.
4. Reviews of creative works (include level of distribution, as in local, regional, national, international publications). Number of citations and the significance may also be included.
5. School evaluations of the reputation of the journals in which the publications appear.
6. List of current grants (funded and unfunded), including cover pages and abstract, and copies of interim reports to funding agencies.
7. Evidence of research leadership and recognition, such as awards and honors, and invitations from prestigious organizations for research lectures/activity.

*Tenure dossiers should present an assessment of the impact of the dissertation research and all post-terminal degree research and creative activity; promotion dossiers should contain an assessment of work done in rank at Indiana University and elsewhere. The current status of each publication should be noted. Normally, work in preparation will be of little relevance in the promotion process, but may be relevant to the tenure decision which involves promise of future accomplishments. In general, primary emphasis will be given to material that has been published or performed and has been subjected to a professional review. A lesser weight is attached to manuscripts that have been accepted for publication but have not actually appeared in print, as it is difficult*

*to evaluate professional reaction to these works. Manuscripts in unpublished form are read by most committees, but may be weighed more heavily in a tenure recommendation than in a promotion case.*

## **V. Substantiation of Service Contributions**

1. A list of the candidate's service activities at local, state, national, and international levels: including activities related to the School, campus, University, community, governmental bodies, the discipline or profession. Include workshops, clinics, presentations and panels, conferences organized and coordinated, editorial work, public policy assignments, committees, offices held and other significant activities.
2. A list of the candidate's service-related publications.
3. Evaluation of the quality of the candidate's service activities by the Associate Dean for Academic Affairs and by professional colleagues at IU, or by associates in the performance of service (e.g., conference participants' evaluations of activities).
4. Copies of service-related committee reports and other relevant documents to illustrate the quality and impact of the service contributions or leadership provided by the candidate.

*Where service is presented as the area of excellence, evaluations from colleagues and associates in the performance of service are of particular importance. These evaluations or other assessments must indicate the contributions and responsibilities of the individual candidate to service, and demonstrate either a breadth of significant contributions or exceptional quality in specific areas of endeavor.*

### **II-B2.2 Non-Tenure-Track Appointees**

The promotion dossier for non-tenure-track faculty (e.g., clinical rank appointees and lecturers) is similar, but not identical, to the documentation presented in the teaching and service sections of dossiers of tenure-track faculty. The job description of the candidate should be included in the non-tenure-track dossier in order to provide a context for evaluation. [*Non-Tenure-Track Academic Appointee Handbook*]

**Clinical teaching frequently involves one-on-one or small group interactions. The nature of these interactions, as well as their quantity and quality, needs to be explicitly described. Where supervision of student's work is part of a clinical teaching assignment, the nature of the supervision (e.g., physical presence required at all times or one-third of the time the student is working, etc.) and the level (e.g., professional students in their first year of clinical experience or final semester of their fourth year clinic) should be specified. The nature of the preparation and correction of clinical plans, reports, etc., and the time devoted to it also should be explained. Promotion Committee members may be unfamiliar with the nature of clinical teaching, and, therefore, it is imperative that sufficient details be provided and all pertinent data presented.**

***Non-Tenure-Track Academic Appointee Handbook***

**Examples of documentation that may be included in the non-tenure-track dossier include:****I. Teaching**

1. Statement concerning the teaching contributions and their relevance to the School mission.
2. Feedback from colleagues and students (e.g., peer evaluations, exit interviews).
3. Feedback to students (e.g., comments on plans, reports).
4. Rewrites of session plans, reports, letters, etc.
5. Sample clinical materials (e.g., those that are innovative, have been used beyond the Bloomington campus).
6. Student evaluations (e.g., summaries across semesters, rankings/comparisons with School norms).
7. Long-term effects of teaching (e.g., alumni and employer surveys of effectiveness of graduates; letters and awards from public and from organizations).
8. Clinical publications (e.g., textbooks, tests, materials, cases, protocols, assessment instruments).
9. Videos, CDs, modules for distance learning with reviews or data concerning impact on profession.
10. Evidence of impact of teaching nationally and internationally (e.g., conference and workshop presentations, recognized clinical protocols, procedures, prostheses, equipment or designs).
11. Guest master-teaching assignments or residencies, with documentation of impact.
12. Definition of how the “best practices” are demonstrated and described by professional colleagues.
13. Course portfolios and samples of curricula.
14. Scholarship of Teaching and Learning activities.
15. FACET activities.

**II. Service**

1. Statement concerning the service contributions and their impact on the School mission.
2. University contributions with documentation of their nature and quality.
3. Professional contributions in terms of offices held, committees chaired/served on, major accomplishments resulting from individual or group activities, etc., and documentation of the quality as well as quantity (may include reports from task forces, guidelines developed, etc.).
4. Community involvement including both professional and volunteer activities with assessment of the merit.
5. Evidence of patient or client satisfaction, quality assurance measures, feedback both solicited and unsolicited.
6. Documentation of the innovative or committed way duties have been performed.

### **III. External Letters**

1. Six letters solicited from professional colleagues outside Indiana University should specifically address *both* teaching and service and the way the candidate's work is known to the referees.
2. For research appointees, the names of external referees to be submitted to the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties should number six for nominations at the rank of Senior or Associate Scientist/Scholar and three for nominations at the rank of Assistant Scientist/Scholar.

For **research appointees** (e.g., Assistant Scientist/Scholar), the names of outside referees (six for nominations at the rank of Senior or Associate Scientist/Scholar and three for nominations at the rank of Assistant Scientist/Scholar) along with representative samples of the candidate's work and a complete curriculum vitae should be forwarded to the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties by the first of November. Half of the names should be suggested by the candidate and half by the nominator or others who are in the best position to select qualified referees. The Dean of the School of Optometry should write a letter indicating which classification is recommended and summarizing the candidate's qualifications and research record. The Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties will send the letters to the outside referees.

**A research dossier that includes the following contents should accompany the letter of nomination:**

- I. Table of Contents**
- II. School's description of the position**
- III. Complete curriculum vitae**
- IV. Candidate's statement**
- V. Personnel Committee statement (with votes)**
- VI. Chair's statement (with vote)**
- VII. Articles, chapters, reviews, and other examples of original research/creative activity**
- VIII. Documentation of the quality of the work**

The complete dossier should be sent along with the letter of nomination to the Dean of the School of Optometry for endorsement. The Dean will add his or her endorsement with comments and forward the dossier to the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties in early January.

#### ***II-B2.3 Promotion and Tenure Checklist***

The Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties has prepared a checklist for the preparation of dossiers. The checklist is to be signed by the preparer of the dossier and a copy provided to the candidate so that the candidate has the opportunity to insure that all basic documentation has been included in the dossier. No dossier will be reviewed at the Dean of the Faculties level if it does not contain an appropriately signed checklist. [*Bloomington*

*Academic Guide*] A sample copy of the Promotion and Tenure Checklist is included in the Appendix.

#### ***II-B2.4 Candidate's Statement***

The candidate must write a personal statement about teaching, research/creative activity, and service. The candidate's statement is immensely important in providing a context for the research, creative activity and other professional activity undertaken by the candidate. The statement should explain to those outside the candidate's field what it is that the candidate does and its relation to national and international issues in the field. The statement may include excerpts from progress or final reports submitted to funding agencies as supplemental descriptions of the candidate's current and future research endeavors. Samples of candidate's statements on research/creative activity, teaching, and service are provided in the *Tenure and Promotion Handbook* from the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties.

#### ***II-B2.5 Negative Recommendation***

According to the *Bloomington Academic Guide*, if the decision of the candidate's academic unit (e.g., School of Optometry) is negative, the academic unit should inform the faculty member so that he or she may request that the dossier be forwarded to the Dean of the Faculties Office even though the candidate's academic unit has not made a positive recommendation.

#### ***II-B2.6 Confidentiality***

According to Indiana University Policy Governing Access to and Maintenance of Academic Employee Records [*Bloomington Academic Guide*], every academic employee shall have access to his or her personnel file. Letters of evaluation solicited by the University are available for the candidate to see. 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.

*Tenure and Promotion Handbook*

## SECTION II-C

### PEER AND ADMINISTRATIVE REVIEW OF THE DOSSIER



#### II-C1 Outside Evaluators

The candidate's total record should be assessed by comprehensive and rigorous peer review. Outside evaluations help assess the quantity and quality of the candidate's contributions to the academy and profession at-large.

**Evaluation of the candidate by experts external to Indiana University play an important role in promotion and tenure decisions, and provide an important external perspective on the candidate's reputation and impact on his or her discipline.**

The outside evaluators should be chosen from lists supplied by the candidate and the Associate Dean for Academic Affairs. The Associate Dean contacts the candidate(s) to obtain their nominations of evaluators. The lists should indicate the reasons why each evaluator has been chosen (e.g., editor of *Optometry and Vision Science*, administrative head of a highly respected clinical program, etc.) and the relationship of the evaluator to the candidate (e.g., chair of the candidate's dissertation committee, director of the candidate's residency program, etc.). Most outside evaluators are expected to have university or optometry school affiliations. Copies of the candidate's list and the Associate Dean's list are sent to the Dean with an indication of the basis for promotion and/or tenure (e.g., excellence in teaching).

To allow time for careful consideration of candidates at all levels of the promotion and/or tenure process, it is important that the Dean's letters soliciting outside evaluations be sent out as soon as possible (e.g., the summer before the dossier is submitted). The letters should be accompanied by the candidate's vita, which should contain lists of publications and teaching, creative, and service activities to facilitate access to the candidate's accomplishments. The external referees are asked to address the specific area(s) of excellence identified as the basis for promotion and/or tenure. Each outside evaluator should provide a general assessment (e.g., excellent, satisfactory, unsatisfactory) of the identified category of excellence and a rationale for the assessment. To insure a detailed commentary, it is advisable to include copies of publications and documentation of teaching, research/creative activity, and service (e.g., relevant publications, grant awards, patents, teaching videos and CDs, course web pages, syllabi, course handouts, etc.). A sample copy of the outside evaluation solicitation letter is included in the Appendix.

#### II-C2 School of Optometry Associate Dean for Academic Affairs

The Associate Dean for Academic Affairs reviews the promotion and tenure dossiers of each candidate for promotion and/or tenure. Upon completion of his review, the Associate Dean inserts into the dossier his evaluation concerning the candidate's teaching, research/creative activity, and service along with his personal recommendation for promotion and/or tenure.

**The Associate Dean writes an independent recommendation and summary evaluation of the candidate's teaching, research/creative activity, and service.**

The Associate Dean forwards the dossier along with his evaluation and recommendation for promotion and/or tenure to the School of Optometry Promotion and Tenure Committee.

## **II-C3 School of Optometry Promotion and Tenure Committee**

### ***II-C3.1 Promotion Decisions***

The School of Optometry Promotion and Tenure Committee consists of all tenured full Professors of Optometry, with the following exceptions:

1. Reviewing candidates for promotion to the rank of Associate Professor of Optometry – membership is extended to include all Associate Professors of Optometry.
2. Reviewing candidates for promotion to the rank of Clinical Professor of Optometry – membership is extended to include all Clinical Professors of Optometry.
3. Reviewing candidates for promotion to the rank of Clinical Associate Professor of Optometry – membership is extended to include all Associate Professors of Optometry and all Clinical Associate Professors of Optometry.
4. Reviewing candidates for promotion to the rank of Senior Lecturer of Optometry – membership is extended to include all Associate Professors of Optometry and all Clinical Associate Professors of Optometry.

In no case shall any member of the School Promotion and Tenure Committee be permitted to cast more than one vote with regard to the promotion decision of any one candidate. The Associate Dean for Academic Affairs and the Dean of the School do not vote as members of the School Promotion and Tenure Committee.

For the purposes of promotion, the School Promotion and Tenure Committee:

- serves as a recipient of recommendations for faculty promotion (each Indiana University faculty member has the privilege of recommending the promotion of any IU faculty member, including himself or herself);
- assists in the preparation of a promotions dossier at the request of a faculty member;
- assists the Associate Dean for Academic Affairs in the selection of a senior faculty member to assist the candidate in preparing his or her promotion dossier;
- receives from the Associate Dean for Academic Affairs the dossier of each promotion candidate along with the Associate Dean's evaluation of the candidate and recommendation for promotion;
- reviews the dossier, evaluates the candidate's teaching, research/creative activity, and service, and votes for or against the promotion for each candidate;
- forwards the School-level evaluation of the candidate's teaching, research/creative activity, and service, exact vote of the Committee, the dossier, and the Committee's recommendation and justification for promotion to the Dean of the School of Optometry.



The evaluations should state a general assessment (e.g., excellent, very good, good, satisfactory, unsatisfactory) of each category (i.e., teaching, research/creative activity, and service) and provide a rationale for the assessment by referring to the evidence presented in the dossier.

### *II-C3.2 Tenure Decisions*

The School of Optometry Promotion and Tenure Committee consists of all tenured full Professors of Optometry, with the following exceptions:

1. Reviewing candidates below the rank of associate professor for tenure – membership is extended to include all tenured faculty of the School of Optometry.
2. Reviewing candidates at or below the rank of associate professor for tenure and promotion to the rank of Associate Professor of Optometry – membership is extended to include all tenured Associate Professors of Optometry.

In no case shall any member of the School Promotion and Tenure Committee be permitted to cast more than one vote with regard to the tenure decision of any one candidate. The Associate Dean for Academic Affairs and the Dean of the School do not vote as members of the School Promotion and Tenure Committee.

For the purposes of tenure, the School Promotion and Tenure Committee:

- reports periodically to the Associate Dean for Academic Affairs on the progress towards tenure of each non-tenured Optometry faculty member;
- ensures that each prospective tenure candidate is fully apprised annually of his or her progress towards tenure;
- completes a detailed review of the tenure dossiers of each of the School's tenure-probationary faculty members at the end of their third probationary year;
- assists in the preparation of a tenure dossier at the request of a faculty member;
- assists the Associate Dean for Academic Affairs in the selection of a senior faculty member to assist the candidate in preparing his or tenure dossier;
- receives from the Associate Dean for Academic Affairs the dossier of each tenure candidate along with the Associate Dean's evaluation of the candidate and recommendation for tenure (and promotion for candidates below the rank of associate professor);
- reviews the dossier, evaluates the candidate's teaching, research/creative activity, and service, and votes for or against the tenure (and promotion to the rank of associate professor) for each candidate;
- forwards the School-level evaluation of the candidate's teaching, research/creative activity, and service, exact vote of the Committee, the dossier, and the Committee's recommendation and justification for tenure (and promotion to the rank of associate professor) to the Dean of the School of Optometry.

The evaluations should state a general assessment (e.g., excellent, very good, good, satisfactory, unsatisfactory) of each category (i.e., teaching, research/creative activity, and service) and provide a rationale for the assessment by referring to the evidence presented in the dossier.

#### II-C4 School of Optometry Dean

The Dean reviews the dossier of each promotion and tenure candidate and forwards it along with his personal recommendation and a summary evaluation of the candidate's teaching, research/creative activity, and service to the Vice Chancellor for Academic Affairs and Dean of the Faculties.

#### II-C5 Bloomington Campus Promotion and Tenure Advisory Committees

The Vice Chancellor for Academic Affairs and Dean of the Faculties appoints campus-level advisory committees for both promotion and tenure. The composition of both committees is representative of the academic units on the Bloomington Campus. According to a policy of the Bloomington Faculty Council, the Bloomington Campus Tenure Advisory Committee shall be composed of no more than ten faculty members of which at least four (excluding administrators and departmental chairpersons) shall be from the professional schools and at least four from the College of Arts and Sciences, and shall be appointed by the Dean of the Faculties for a term of two years. The membership of all committees concerned with promotion and tenure shall be made a matter of public record at the time of their appointment. [*Bloomington Academic Guide*]

The Promotion Advisory Committee and the Tenure Advisory Committee review and consider, respectively, the promotion and tenure dossiers submitted from the academic units on the Bloomington Campus and provide advice to the Dean of the Faculties regarding the promotion and tenure of each submitted case.

Members of the Promotion Advisory Committee and the Tenure Advisory Committee vote either for or against promotion and/or tenure, and record a numerical rating for the areas of teaching, research/creative activity, and service. The Committees' votes are recorded and a mean numerical score is tabulated in each of the three areas for each case.

#### The terms of evaluation are based on the following categories:

- **EXCELLENT** (4.0-5.0) So strong that promotion and/or tenure is merited if the other two areas are at least SATISFACTORY
- **VERY GOOD** (3.5-3.9) Promotion and/or tenure merited if other areas are at least VERY GOOD (*Balanced Case*)
- **GOOD** (3.0-3.4) Promotion and/or tenure merited if another area is EXCELLENT and the third area is at least SATISFACTORY

- **SATISFACTORY** (2.0-2.9) Promotion and/or tenure merited if another area is EXCELLENT and the third area is at least SATISFACTORY
- **UNSATISFACTORY** (0.0-1.9) So weak as to exclude promotion and/or tenure regardless of strength in other areas

### ***II-C5.1 Bloomington Campus Promotion Advisory Committee***

The Campus Promotion Advisory Committee reviews and discusses the promotion dossier of each candidate for promotion. Two members of the Committee are assigned to each case as primary and secondary reviewers. A full committee discussion and vote follow the presentation by the primary and secondary reviewers.

Promotion cases coming to the Dean of the Faculties Office and receiving unanimous endorsement from committees and deans are read by the Vice Chancellor for Academic Affairs and Dean of the Faculties and at least one associate dean. Those cases receiving negative or mixed recommendations are assigned to the Promotions Advisory Committee of the Dean of the Faculties. Ultimately, the Dean of the Faculties makes a recommendation and forwards the material to the Vice President for Academic Affairs and Bloomington Chancellor, who then makes and transmits recommendations to the President. All positive recommendations are submitted to the Indiana University Board of Trustees.

*Promotion and Tenure Handbook*

### ***II-C5.2 Bloomington Campus Tenure Advisory Committee***

The Campus Tenure Advisory Committee reviews and discusses the tenure dossier of each candidate for tenure, focusing primarily on those cases where there is a lack of agreement among the tenure recommendations to the Dean of the Faculties from faculty committees or administrators. Two members of the Committee are assigned to each case as primary and secondary reviewers. A full committee discussion and vote follows the presentation by the primary and secondary reviewers.

Each dossier is normally read by the Vice Chancellor for Academic Affairs and Dean of the Faculties and an associate dean. Dossiers are referred to the Tenure Advisory Committee when there is a lack of agreement among the tenure recommendations to the Dean of the Faculties from any faculty committees or administrators, when the decision is negative, or when there is an agreement among the tenure recommendations to the Dean of the Faculties with which he or she disagrees.

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In tenure cases where the candidate holds the rank of assistant professor, the Tenure Advisory Committee also considers, in addition to tenure, the case for promotion from assistant professor to associate professor, and gives advice accordingly to the Dean of the Faculties.

**II-C6 Vice Chancellor for Academic Affairs and Dean of the Faculties**

The Dean of the Faculties attends meetings of the Promotion Advisory Committee and the Tenure Advisory Committee, writes a recommendation for or against the promotion and/or promotion of each candidate considered for promotion and/or tenure, and transmits the Committees' and the Dean of the Faculties' recommendations with justification to the Chancellor and Vice President for Academic Affairs. The Dean of the Faculties does not vote as a member of the Bloomington Campus Promotion Advisory Committee or the Bloomington Campus Tenure Advisory Committee.

**II-C7 Chancellor and Vice President for Academic Affairs, President, and Trustees of Indiana University**

The Chancellor and Vice President for Academic Affairs adds a recommendation and transmits the positive cases to the President. It shall be the responsibility of the President to submit to the Board of Trustees the names of those recommended for promotion and/or advancement to tenured status. The President shall state in writing to the Chancellor and Vice President for Academic Affairs the reasons for any changes made in the Chancellor's/Vice President's recommendations. [*Academic Handbook*] The Trustees of Indiana University act on the recommendations for promotion and tenure at their April meeting.

## SECTION II-D

### SCHOOL OF OPTOMETRY PROMOTION AND TENURE TIMETABLE

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Date	P/T	Promotion and/or Tenure (P/T) Actions
30 April	T	Vice Chancellor for Academic Affairs and Dean of the Faculties notifies the Dean of the School of Optometry of the required <b>tenure</b> decision cases for the next academic year.
15 May	T	Dean of the School of Optometry provides the Associate Dean for Academic Affairs with the name of each School of Optometry <b>tenure</b> candidate for the next academic year.
15 May	P	Each School of Optometry candidate and/or nominator of the School candidate submits notification of intent to submit a <b>promotion</b> dossier to the Associate Dean for Academic Affairs.
1 June	P/T	Associate Dean for Academic Affairs notifies the Chair of the School Promotion and Tenure Committee of the names of each candidate for <b>promotion</b> and each candidate for <b>tenure</b> .
1 June	P/T	Associate Dean for Academic Affairs notifies each <b>promotion</b> candidate and each <b>tenure</b> candidate that he or she is under consideration for promotion and/or tenure.
15 June	P/T	Associate Dean for Academic Affairs confirms with each <b>promotion</b> candidate and each <b>tenure</b> candidate his or her respective area of excellence (e.g., teaching, research/creative activity, service) and communicates that information to the Dean.
15 June	P/T	Each <b>promotion</b> candidate and each <b>tenure</b> candidate submits to the Associate Dean for Academic Affairs an updated curriculum vitae, a list of external referees, and an adequate and appropriate selection of publications or other materials relevant to the candidate's area(s) of excellence for evaluation by external referees.
15-17 June	P/T	Associate Dean for Academic Affairs compiles a list of external referees for each <b>promotion</b> candidate and each <b>tenure</b> candidate.
18 June	P/T	Associate Dean for Academic Affairs submits to the Dean his list of external referees compiled for each <b>promotion</b> candidate and each <b>tenure</b> candidate along with each

			candidate's curriculum vitae, list of external referees, publications, and other materials relevant to the candidate's area(s) of excellence.
25	June	P/T	Dean mails letters (accompanied by the School promotion criteria and/or tenure criteria, the candidate's curriculum vitae, publications, and other materials relevant to the candidate's area(s) of excellence) to the selected list of external referees for each <b>promotion</b> candidate and each <b>tenure</b> candidate to solicit external evaluations of each candidate.
1	July	T	Associate Dean for Academic Affairs in conjunction with the Chair of the School of Optometry Promotion and Tenure Committee designates a senior member of the School faculty (to replace the primary peer review committee) for each <b>tenure</b> candidate to assist the candidate in the preparation of the dossier.
1	August	P	Associate Dean for Academic Affairs in conjunction with the Chair of the School of Optometry Promotion and Tenure Committee designates a senior member of the School faculty (to replace the primary peer review committee) for each <b>promotion</b> candidate to assist the candidate in the preparation of the dossier.
1	October	T	Each candidate for <b>tenure</b> submits his or her dossier to the Associate Dean for Academic Affairs.
1-10	October	T	Associate Dean for Academic Affairs reviews the dossier of each <b>tenure</b> candidate and prepares a personal recommendation concerning each candidate's teaching, research/creative activity, and service.
10	October	T	Associate Dean for Academic Affairs forwards his tenure recommendation with the dossier of each <b>tenure</b> candidate to the Chair of the School of Optometry Promotion and Tenure Committee.
10-22	October	T	Members of the School of Optometry Promotion and Tenure Committee review the dossier of each candidate for <b>tenure</b> .
22-24	October	T	School of Optometry Promotion and Tenure Committee votes on the <b>tenure</b> of each candidate.
22-24	October	T	Chair of the School of Optometry Promotion and Tenure Committee prepares the Committee's tenure recommendation for each <b>tenure</b> candidate, including a report of exact votes, and the Committee's evaluation of each candidate's teaching, research/creative activity, and service.

24 October	T	Chair of the School of Optometry Promotion and Tenure Committee forwards the vote and tenure recommendation of the School Promotion and Tenure Committee, the tenure recommendation of the Associate Dean for Academic Affairs, and the dossier of each <b>tenure</b> candidate to the Dean.
24-29 October	T	Dean reviews the dossier of each <b>tenure</b> candidate and prepares his personal tenure recommendation and summary evaluation of each candidate's teaching, research/creative activity, and service.
30 October	T	Dean forwards his tenure recommendation, the vote and tenure recommendation of the School of Optometry Promotion and Tenure Committee, the tenure recommendation of the Associate Dean for Academic Affairs, and the complete dossier of each <b>tenure</b> candidate to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
1 November	T	Deadline for receipt of all <b>tenure</b> documents by the Vice Chancellor for Academic Affairs and Dean of the Faculties.
1 November	P	Dean submits the names of each <b>research rank</b> nominee for <b>promotion</b> , the recommended research rank, the names of external referees, representative samples of the candidate's work, and a complete curriculum vitae to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
1 November	P	Each candidate for <b>promotion</b> submits his or her dossier to the Associate Dean for Academic Affairs.
1-10 November	P	Associate Dean for Academic Affairs reviews the dossier of each <b>promotion</b> candidate and prepares a personal recommendation concerning each candidate's teaching, research/creative activity, and service.
10 November	P	Associate Dean for Academic Affairs forward his promotion recommendation with the dossier of each <b>promotion</b> candidate to the Chair of the School of Optometry Promotion and Tenure Committee.
10-22 November	P	Members of the School of Optometry Promotion and Tenure Committee review the dossier of each candidate for <b>promotion</b> .
22-24 November	P	School of Optometry Promotion and Tenure Committee votes on the <b>promotion</b> of each candidate.
22-24 November	P	Chair of the School of Optometry Promotion and Tenure Committee prepares the Committee's promotion

			recommendation for each <b>promotion</b> candidate, including a report of exact votes, and the Committee's evaluation of each candidate's teaching, research/creative activity, and service.
24	November	P	Chair of the School of Optometry Promotion and Tenure Committee forwards the vote and promotion recommendation of the School Promotion and Tenure Committee, the promotion recommendation of the Associate Dean for Academic Affairs, and the dossier of each <b>promotion</b> candidate to the Dean.
24-29	November	P	Dean reviews the dossier of each <b>promotion</b> candidate and prepares his personal promotion recommendation and summary evaluation of each candidate's teaching, research/creative activity, and service.
30	November	P	Dean forwards his promotion recommendation, the vote and promotion recommendation of the School of Optometry Promotion and Tenure Committee, the promotion recommendation of the Associate Dean for Academic Affairs, and the complete dossier of each <b>promotion</b> candidate to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
1	December	P	Deadline for receipt of all <b>promotion</b> documents by the Vice Chancellor for Academic Affairs and Dean of the Faculties.
1	January	P	Dean submits the complete dossier of <b>research</b> candidate for <b>promotion</b> to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
	January-March	P	Bloomington Campus Promotion Advisory Committee reviews and votes on all cases for <b>promotion</b> submitted by the School of Optometry and gives advice to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
	January-March	T	Bloomington Campus Tenure Advisory Committee reviews and votes on all cases for <b>tenure</b> (and promotion from Assistant Professor to Associate Professor) submitted by the School of Optometry and gives advice to the Vice Chancellor for Academic Affairs and Dean of the Faculties.
	March-April	P	Vice Chancellor for Academic Affairs and Dean of the Faculties transmits the Bloomington Campus Promotion Advisory Committee's and the Vice Chancellor for Academic Affairs and Dean of the Faculties' <b>promotion</b> recommendations to the Chancellor and Vice President for Academic Affairs.
	March-April	T	Vice Chancellor for Academic Affairs and Dean of the



		Faculties transmits the Bloomington Campus Tenure Advisory Committee's and the Vice Chancellor for Academic Affairs and Dean of the Faculties' <b>tenure</b> recommendations to the Chancellor and Vice President for Academic Affairs.
March-April	P	Chancellor and Vice President for Academic Affairs adds a promotion recommendation and transmits the positive <b>promotion</b> cases to the Indiana University President and the Board of Trustees, and advises the successful candidates of the positive promotion decisions after Board approval.
March-April	T	Chancellor and Vice President for Academic Affairs adds a tenure recommendation and transmits the positive <b>tenure</b> cases to the Indiana University President and the Board of Trustees, and advises the successful candidates of the positive tenure decisions after Board approval.

### **SECTION III PROMOTION**

#### **Tenure-Track Appointees**

- ❖ ***Criteria for Promotion in Rank***
- ❖ ***Evidence of Excellence***

#### **Non-Tenure-Track Appointees**

- ❖ ***Criteria for Promotion in Rank***
- ❖ ***Evidence of Excellence***

#### **Adjunct Appointees**

- ❖ ***Use***
- ❖ ***Adjunct Appointees With Regular University Appointments***
- ❖ ***Adjunct Appointees Without Regular University Appointments***

#### **School of Optometry Guidelines for Excellence in Promotion**

- ❖ ***Teaching***
- ❖ ***Research***
- ❖ ***Service***

## SECTION III-A TENURE-TRACK APPOINTEES



### III-A1 Criteria for Promotion in Rank

Any faculty member may submit a recommendation for the promotion of any faculty member, including him or herself. However, before any decision is made about whether to recommend promotion, the appointee shall be notified that he or she is under such consideration and given the opportunity to submit, within a specified and reasonable period of time, materials believed relevant to a consideration of his or her professional qualifications. The departmental chairperson or director of the academic unit is responsible for submitting the names of those members of the department who are considered worthy of promotion on the basis of the established criteria. [*Academic Handbook*]

**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 in the years ahead.**

*Tenure and Promotion Handbook*

To be awarded promotion, a faculty member should normally excel in at least one of the categories of teaching, research/creative activity, or service and be satisfactory in the others, or have evidence to support a balanced case – evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University. [*Academic Handbook*]

**A *Balanced Case* requires a “very good” rating in all three areas of teaching, research, and service.**

Promotion considerations must take into account the mission of the School and campus and the faculty member’s contribution to the school/campus mission [*Bloomington Academic Guide*]. The relative weight attached to each category “should and must vary” according to the school/campus mission.

The University grants promotion to faculty who have become known outside the University for how well they perform within the University. “Favorable action should result when the individual has demonstrated a level of competence or distinction appropriate to the proposed rank in one area of endeavor or a balanced case of excellence in all three categories. Failure to promote may arise from unsatisfactory performance in the other areas or insufficient strength across the board. Failure may also result from the submission of incomplete evidence to document the case in a satisfactory manner.” [*Tenure and Promotion Handbook*]

## III-A2 Evidence of Excellence

Action	Category	Evidence for Excellence
<b>Assistant Professor of Optometry to Associate Professor of Optometry</b>  <i>Based on continued improvement, whether primarily in quality of teaching, in scholarship, in the performance of service roles, or across the board</i>	Teaching	<ul style="list-style-type: none"> <li>Distinctly superior to that of effective peer teachers at Indiana University and other institutions as determined by a variety of different types of evidence.</li> </ul>
	Research	<ul style="list-style-type: none"> <li>Demonstrated broad grasp of own and related fields.</li> <li>Establishing a national reputation as a scholar.</li> <li>Definite and comprehensive plan of future research covering a number of years.</li> <li>Evidence of a beginning research plan which extends well beyond the limits of the doctoral dissertation.</li> </ul>
	Service	<ul style="list-style-type: none"> <li>Service to the University, profession, or community discharged with merit.</li> <li>Activities reflect favorably on the University and on the individual's academic status.</li> <li>Concrete evidence of the quantity, quality, and national impact of the service contributions.</li> </ul>
<b>Associate Professor of Optometry to Professor of Optometry</b>  <i>Based upon achievement beyond the level required for the associate professorship</i>	Teaching	<ul style="list-style-type: none"> <li>Demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work.</li> <li>Demonstrated ability, where feasible, to direct the research of advanced students.</li> <li>Evidence which attests to the impact of teaching innovations and national recognition.</li> </ul>
	Research	<ul style="list-style-type: none"> <li>Shown a continued growth in scholarship that has brought a national reputation as a first-class productive scholar.</li> <li>Reviews, funding, and other objective evidence of the impact on the field.</li> </ul>

	Service	<ul style="list-style-type: none"><li>• Distinguished contributions in administrative, professional, or academic service.</li><li>• Documentation that the quality of service is unquestionable and extraordinary in relation to peers.</li><li>• Documented effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of the School and the individual.</li></ul>
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## SECTION III-B NON-TENURE-TRACK APPOINTEES

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### III-B1 Criteria for Promotion in Rank

Promotion is based primarily on contributions and achievements in clinical teaching, supervision of student clinicians, patient care, and service related activities.

The criteria for promotion in the areas of teaching and service shall be the same for tenured/tenure-probationary faculty and clinical rank faculty, and promotion in rank should go through the normal faculty procedures appropriate to the unit of the University, including peer review by the primary, unit, and campus promotion (and tenure) committees.

A candidate for promotion should normally excel in at least one of the categories of teaching and service, and be satisfactory in the other — it is appropriate to indicate if a candidate is excellent in more than one area. Clinical rank faculty shall not be evaluated in the area of research.

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.

*Academic Handbook*

Reappointment of **lecturers** to long-term contract and promotion must be based on excellence in teaching and satisfactory service, and should only be granted to colleagues who have demonstrated a commitment to continued professional growth and currency with pedagogical developments in their fields. Reappointment of **clinical faculty** to long-term contract and promotion must be based on standards of performance in teaching and service in a clinical setting. Like promotion to tenured status, promotion within the lecturer and clinical classifications should principally be a judgment about prospects for future contributions. [*Non-Tenure-Track Academic Appointee Handbook*] Lecturers and Clinical Lecturers shall be promoted to Senior Lecturer and Clinical Senior Lecturer upon their being appointed to long-term contracts following a probationary period of not more than seven years. [*Academic Handbook*]

**Research cannot be included as a basic category of evaluation. However, for lecturers, research in support of teaching should be considered part of the teaching dossier; for clinical appointees, research in support of teaching and service in a clinical setting should be considered part of the teaching and service dossiers.** Other research may be considered as evidence of intellectual engagement in the professional field that is generally indicative of long-term intellectual contributions valuable in classroom settings and to the campus in general.

*Non-Tenure-Track Academic Appointee Handbook*

In the School of Optometry, the criteria and procedures for review of non-tenure-track candidates for reappointment to long-term contracts and promotion (e.g., from Clinical Assistant Professor to Clinical Associate Professor) follows those for review of candidates for tenure and promotion, including peer review by the School and campus promotions committees, but with the exception that there is no campus level promotion review for lecturers – it is all done at the School of Optometry level, with the Dean communicating the final outcome of the review to the candidate and the Dean of the Faculties.

### III-B2 Evidence of Excellence

Action	Area	Evidence for Excellence
<p><b>Assistant Scientist/Scholar in Optometry to Associate Scientist/Scholar in Optometry</b></p> <p><i>Based on research contributions equivalent to those set forth in the area of research for members of the faculty</i></p>	Research	<ul style="list-style-type: none"> <li>• Capable of original, independent research work.</li> <li>• Has begun to establish a national reputation through published work.</li> <li>• Responsibility for carrying out independently, as principal investigator, projects of his or her own devising.</li> <li>• A minimum of three years of successful research as reflected in published work in refereed sources.</li> </ul>
<p><b>Associate Scientist/Scholar in Optometry to Senior Scientist/Scholar in Optometry</b></p> <p><i>Based on research contributions equivalent to those set forth in the area of research for members of the faculty</i></p>	Research	<ul style="list-style-type: none"> <li>• A career of continued growth in research.</li> <li>• A national or international reputation as a first-class researcher who has made substantial contributions to his or her discipline.</li> </ul>

<p><b>Lecturer in Optometry to Senior Lecturer in Optometry</b></p> <p><i>Based on contributions in the areas of teaching and service</i></p>	Teaching/Service	<ul style="list-style-type: none"> <li>• Evidence of good and innovative teaching.</li> <li>• Academic contributions recognized and valued beyond the Bloomington campus.</li> <li>• Exercises leadership in areas of academic responsibility and/or professional organizations.</li> <li>• Recognized achievements related to pedagogical advances.</li> <li>• Active participation in teaching and learning programs on campus, at other institutions or organizations, or related to professional education.</li> <li>• Active participation in the affairs of the School of Optometry.</li> <li>• Appointment to a long-term contract following a probationary period.</li> </ul>
<p><b>Clinical Lecturer in Optometry to Clinical Senior Lecturer of Optometry</b></p> <p><i>Based on contributions in the areas of teaching and service</i></p>	Teaching/Service	<ul style="list-style-type: none"> <li>• Completed the requirements for the Doctor of Optometry (O.D.) degree, or it equivalent, and licensure or eligibility for licensure to practice optometry in the state of Indiana.</li> <li>• Completed the appropriate education and credential requirements (e.g., completion of a residency program, advanced degree, equivalent training or experience).</li> <li>• Demonstrated excellent potential in clinical teaching and patient care.</li> </ul>
<p><b>Clinical Assistant Professor of Optometry to Clinical Associate Professor of Optometry</b></p>	Teaching/Service	<ul style="list-style-type: none"> <li>• Completed the appropriate degree or certification in his or her discipline (e.g., degree, licensure, specialty certification, residency, advanced degree).</li> <li>• Maintained and advanced appropriate credentials, training or experience.</li> <li>• Demonstrated innovation and excellence in clinical teaching and patient care (<i>demonstration of innovation and excellence in didactic instruction may be applicable under certain circumstances</i>).</li> </ul>



<p><i>Based on continued improvement, whether in quality of teaching, in scholarship, or in the performance of service roles</i></p>		<ul style="list-style-type: none"> <li>• Demonstrated clinical competence and excellent administrative skills in developing and administering his or her specialty clinic through documented evidence of enhanced efficiency and/or effectiveness in the delivery of patient services and/or the operation of a clinical unit.</li> <li>• Developed and performed lectures and demonstrations as part of the clinical education and training program.</li> <li>• Positive evaluations of teaching from colleagues and students.</li> <li>• Developed a patient base and positive patient evaluations of service delivery activities.</li> <li>• Demonstrated contributions and increasing potential in the areas of professional and public service (<i>demonstrated potential and contributions in creative activity and clinical research may be applicable under certain circumstances</i>).</li> </ul>
<p><b>Clinical Associate Professor of Optometry to Clinical Professor of Optometry</b></p>	<p>Teaching/Service</p>	<ul style="list-style-type: none"> <li>• Maintained appropriate credentials, training, and experience.</li> <li>• A career of continued growth in clinical skills and teaching with recognition from the Director of Clinics, the chief of the specialty area, and other senior faculty.</li> <li>• Capable of performing independently within the limits of the specialty discipline and provide supervision over junior faculty and other clinic personnel.</li> <li>• Demonstrated innovation and excellence in clinical teaching and patient care (<i>under certain circumstances, demonstration of innovation and excellence in didactic instruction may be applicable</i>).</li> </ul>

<p><b><i>Based upon achievement beyond the level required for the associate professorship</i></b></p>		<ul style="list-style-type: none"><li>• Demonstrated excellent supervisory skills through documented evidence of the ability to monitor directed activity and/or delegated authority.</li><li>• Positive evaluations of teaching from colleagues and students.</li><li>• Demonstrated exceptional performance in the areas of professional and public service (<i>under certain circumstances, demonstrated potential and contributions in creative activity and clinical research may be applicable</i>).</li></ul>
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## **SECTION III-C ADJUNCT APPOINTEES**



### **III-C1 Use**

Adjunct appointments are used for teaching appointments of individuals, whether compensated or volunteer, whose career paths lie primarily in another position or employment (e.g., another unit on campus or outside the University). Adjunct titles in the School of Optometry are used primarily for clinical appointments of practicing optometrists and physicians who serve as preceptors for fourth-year optometry students at off campus, clinical sites outside of Indiana University (e.g., Veterans' Administration Hospitals).

### **III-C2 Adjunct Appointees With Regular University Appointments**

Adjunct appointees in the School of Optometry who have regular academic appointments in another unit of the University are appointed to the academic rank of the appointment in the "home" unit (e.g., an Associate Professor of Medicine would be appointed as an Adjunct Associate Professor of Optometry). If an adjunct appointee in the School of Optometry is promoted in rank by the appointee's home unit then the academic rank of the adjunct appointment will be changed to reflect the rank of the home unit (e.g., the promotion of a Clinical Assistant Professor of Medicine to Clinical Associate Professor of Medicine would require an administrative change in the adjunct appointment from Adjunct Clinical Assistant Professor of Optometry to Adjunct Clinical Associate Professor of Optometry).

### **III-C3 Adjunct Appointees Without Regular University Appointments**

Adjunct appointees in the School of Optometry who do not have regular academic appointments in another unit of the University are appointed to the rank commensurate with their experience and professional accomplishments in the area of their appointment (e.g., practicing optometrist). Adjunct faculty with entry level experience are appointed as adjunct clinical assistant professors. More accomplished faculty may be appointed at the adjunct clinical associate professor or the adjunct clinical professor level.

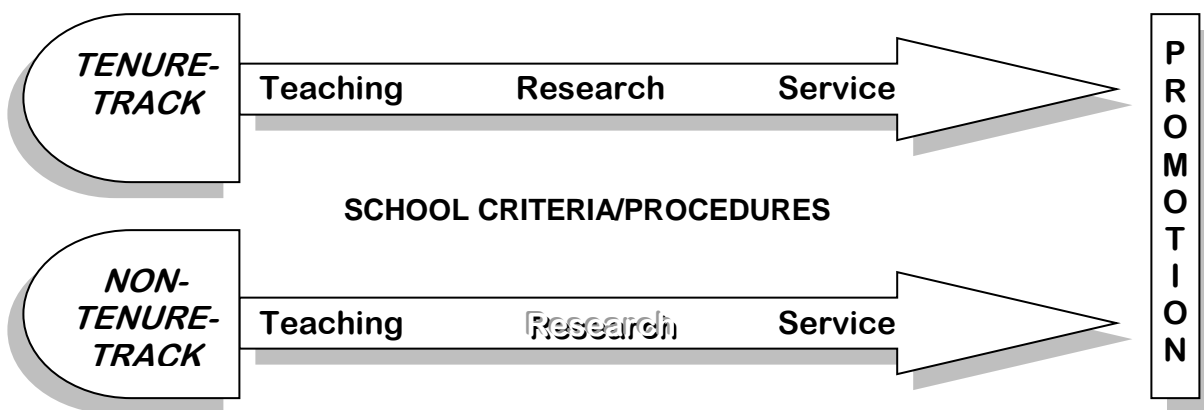
An adjunct faculty member who does not have a regular academic appointment in another unit of the University and who has held an adjunct appointment in the School of Optometry for at least six years can be considered for promotion by the School of Optometry. A review committee of clinical faculty will be appointed annually at the beginning of the spring semester by the Director of Clinics to evaluate the promotion eligibility of adjunct faculty. Positive recommendations for promotion will be presented to the optometry faculty for approval and to the Dean of the School of Optometry for the appropriate personnel action.

### SECTION III-D

## SCHOOL OF OPTOMETRY GUIDELINES FOR EXCELLENCE IN PROMOTION

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The guidelines for promotion and tenure are similar, although the emphasis may differ slightly between them. Items, such as case reports, listed below under a particular category (e.g., teaching) may be shifted to another area (e.g., research) if properly justified by the candidate.



**General promotion guidelines for faculty within the School of Optometry are as follows:**

**Teaching** International and/or national reputation as an outstanding teacher, as well as acknowledged effective teaching at the School level. *For example, this may be achieved by the development of new courses on a national level or the development of a textbook or course that revolutionizes teaching at a national level.*

Excellence in producing textbooks, monographs, book chapters, articles on teaching, CDs, videos, peer-reviewed case reports, or other peer-reviewed publications related to teaching.

Excellence in peer-reviewed continuing education courses delivered at the state, national, and/or international level.

Excellence in producing course outlines, program plans, and similar materials used in classroom, laboratory, or clinic teaching.

Excellent performance of current and former students on state and national, standardized examinations (e.g., administrations of the National Board of Examination in Optometry, state optometry board licensing exams).

Development of new and significant didactic or clinical courses, clinical areas of expertise, and/or teaching programs within the School's curricula.

Incorporation of major revisions into existing didactic courses, clinical courses or programs, clinical areas of expertise, and/or other teaching programs.

Development and/or application of progressive or innovative techniques in teaching.

Advisor to optometry student, graduate student, or resident in the conduct of scholarly activity which culminates in a student-prepared, publishable paper or project.

Commendatory solicited and unsolicited evaluations from peers of didactic teaching, clinical teaching, laboratory teaching, and/or continuing education.

Commendatory solicited and unsolicited evaluations from former students of didactic and/or clinical teaching.

Commendatory solicited and unsolicited evaluations from patients of clinical teaching and patient care activities.

Commendatory in-class evaluations from students of didactic and/or clinical teaching.

Write-ups of student exit interviews and letters or notes from present or former students solicited by and/or written to someone other than the candidate.

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**Research\***

International and/or national reputation as an outstanding basic or applied researcher. *In addition to outside letters, evidence can include prestigious awards and medals from professional and scientific societies, associations, organizations, and governmental bodies.*

Excellence in publishing high quality research papers, review articles, or case reports in peer reviewed journals or in monographs. Textbooks and textbook chapters which reshape an area of expertise, present new ideas, or incorporate scholarly research may also be considered. *Position of authorship on every publication is not critical, as long as a major creative component of the contribution can be demonstrated (e.g., assessment by the School of the contribution made by the candidate to coauthored work). Faculty are encouraged to publish their research and scholarly work in the top journals within their field.*

Scholarly activity leading to useful inventions and patent applications, or demonstrated progressiveness in the development or utilization of new clinical or laboratory approaches and techniques for the solution of professional problems.

Consistent record of progress in application for and receipt of significant grant or contract support from funding sources external to the University. *Consistency may mean, for example, successful award or renewal of competitive national grants, pilot studies leading to successful external funding of more extensive studies, or the negotiation of external funding due to the faculty member's pre-existing reputation. Significant is what each faculty member themselves could justify to be support for an extended research program.*

Presentation of invited or contributed papers on research activity at meetings of scientific and professional societies.

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**Service**

International and/or national reputation of consistently distinguished service contributions to international, national, University, local, and state organizations, particularly as an agent of progress and achievement within the specific service activity. *Excellence in service may be achieved both within or outside of established administrative positions. Recognition of service contributions through receipt of honors and awards from international, national, and state professional and scientific societies, associations, organizations, and governmental bodies is especially meritorious.*

Excellence in producing peer-reviewed papers, monographs, and other publications related to service.

Distinguished service as a member of international or national governmental or agency committees, commissions, advisory boards, task forces, and/or grant review committees.

Distinguished service as an officer, board member, or a committee chair of international or national professional, scientific, or scholarly organizations.

Distinguished service as a technical advisor or consultant to international or national agencies or service providers.

Distinguished service as an editor, member of editorial boards, or scientific referee of major professional and scientific journals.

Excellence in presenting continuing education at international, national, state and/or local meetings.

Distinguished service as a committee chair of University and/or School committees, commissions, advisory boards, and task forces.

Distinguished service as a member of regional, state and local committees, commissions, and/or advisory boards.

Distinguished service as an organizer, advisor and/or participant in community screenings, VOSH missions, and related outreach and patient care activities.

*\*Not a basic criterion in promotion consideration of non-tenure-track faculty. Research in support of teaching and service in a clinical setting can be an optional criterion when included as part of the non-tenure-track faculty member's job description.*

**SECTION IV  
TENURE AND LONG-TERM CONTRACTS**

**Tenure-Track Appointees**

- ❖ *Faculty Tenure*
- ❖ *Probationary Period*
- ❖ *Criteria for Tenure*
- ❖ *Evidence for Excellence*

**Non-Tenure-Track Appointees**

- ❖ *Long-Term Contracts*
- ❖ *Probationary Period*
- ❖ *Criteria for Long-Term Contracts*
- ❖ *Non-Reappointment*

**School of Optometry Guidelines for Excellence in Tenure and Long-Term Contracts**

- ❖ *Teaching*
- ❖ *Research*
- ❖ *Service*

## SECTION IV-A TENURE-TRACK APPOINTEES

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### IV-A1 Faculty Tenure

The principle of tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member 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. It is the policy of Indiana University that only individuals who are U.S. citizens or permanent residents be appointed to tenured positions. [*Academic Handbook*]

Tenure at the University requires explicit action. The review leading to a recommendation of tenure or non-reappointment is to take place no later than the sixth year of probationary service. Recommendations shall be submitted through the academic administration of each campus with the advice of faculty committees and appropriate professional peers.

The following table documents the tenure-related actions for the Bloomington campus faculty cohorts of 1994-2000, 1995-2001, and 1996-2002:

TENURE-TRACK FACULTY COHORT BLOOMINGTON CAMPUS			
Action	Percent		
	1994-2000	1995-2001	1996-2002
Tenured on Schedule	26	8	29
Denied Tenure	6	5	2
Resigned	33	31	23
Non-Reappointment	3	2	5
Postponement Due To Leave	17	24	23
Early Decision (Prior Tenure Credit)	7	22	13
Accelerated Progress	8	8	5
Total	100	100	100

### IV-A2 Probationary Period

The Indiana University Tenure Policy provides up to a seven-year probationary period. However, tenure may be granted at the time of the initial appointment, or after a probationary period shorter than seven years.



**The total probationary period may not exceed seven years, and the review leading to a recommendation of tenure or non-reappointment is to take place no later than the sixth year of probationary service.**

*Academic Handbook*

The probationary period, including any allowance or credit for time spent at another institution, is evaluated, negotiated and stated at the time of the initial appointment. For persons with three or more years of countable 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 appointment. Where such a written agreement reduces a faculty member's or librarian's probationary period to less than seven years, this agreement is binding on both parties. The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a faculty member or librarian or the academic unit. [Academic Handbook] Time spent on leave without pay normally does not count in calculating the six years' service.

During the probationary period, appointments are usually for one to three years. Reappointments beyond the initial one-year or three-year appointment are usually for one year at a time and are made on the basis of the faculty member's progress toward meeting the criteria for tenure.

Reappointment decisions are typically made a year in advance, during the spring before the last year of the current contract. Thus, for someone who begins on the tenure track with a three-year initial appointment, the reappointment for a fourth year is made during the spring of the second year, reappointment for a fifth year is made during the spring of the third year, and so on. Therefore, if a decision is made not to reappoint, the faculty member always has one full academic year of service left.

The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure. [Academic Handbook] If the tenure decision is negative, the faculty member's appointment terminates at the end of the academic year following the year in which the negative tenure decision was made. A sample copy of the Reappointment Notice is included in the Appendix.

A faculty member who has not received a notice of recommendation for non-reappointment may request consideration of the tenure decision at any time after the initial appointment. However, if the tenure decision is negative, the faculty member's appointment shall terminate at the end of the academic year following the year in which the negative tenure decision was made. A faculty member who requests early tenure shall be notified of any negative recommendation concerning his or her request at any time prior to a final decision by the President. A faculty member may withdraw his or her request for early tenure at any time prior to a final decision by the President. [Academic Handbook]

After the probationary period, tenure shall be granted upon positive reviews in which the faculty member satisfies the criteria for tenure in teaching, research/creative activity, and service.

#### IV-A3 Criteria for Tenure

Tenure decisions at Indiana University are based on three major areas of faculty performance: teaching, research/creative activity, and service. A candidate for tenure should normally excel in at least one of the three areas and be at least 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. [*Bloomington Academic Guide*] The relative weight attached to each area may vary according to the mission of the School. Tenure will generally not be conferred unless the faculty member or librarian achieve or gives strong promise of achieving distinction in his or her field. [*Tenure and Promotion Handbook*]

**The emphasis in evaluating tenure dossiers is upon the prognosis for the future -- tenure recommendations should be based on a prognosis of the candidate's future achievements, as determined by his or her dependability, growth, originality, potential and versatility and tenure considerations must take into account the mission of the particular unit and the individual faculty member's contribution to that mission.**

*Tenure and Promotion Handbook*

If the standards that are used to evaluate whether a faculty member meets the criteria for tenure change during the faculty member's probationary period, the faculty member may choose to be evaluated for tenure under the written standards in effect at the time of appointment. [*Bloomington Academic Guide*]

#### IV-A4 Evidence for Excellence

Action	Area	Evidence for Excellence
Tenure	Teaching	<ul style="list-style-type: none"> <li>• Comparable to that of the most effective teachers at Indiana University.</li> <li>• Demonstrated a superior ability and interest in stimulating in students a genuine desire for study and creative work.</li> </ul>
	Research	<ul style="list-style-type: none"> <li>• Well on the way toward achieving a national reputation for excellence in research or creative work in his or her field.</li> <li>• A comprehensive plan of future research of high quality should be evident.</li> </ul>

<b><i>Based on a prognosis of future achievements, determined by dependability, growth, originality, potential and versatility</i></b>	Service	<ul style="list-style-type: none"><li>• Distinguished contributions must be evident.</li><li>• Effective service should be given same consideration as proficiency in teaching or research.</li><li>• 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.</li></ul>
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## SECTION IV-B NON-TENURE-TRACK APPOINTEES



### IV-B1 Long-Term Contracts

Non-tenure-track appointees are not eligible for tenure; however, in order to protect their academic freedom, individuals appointed as clinical faculty and lecturers shall be given long-term contracts after a probationary period of not more than seven years. The exact mechanism for this shall be determined by the dean and the faculty governance body within each school using clinical and lecturer appointments and be approved by the chancellor, but the mechanism should be a long-term contract of not less than five years or be some equivalent, such as a rolling three year contract. [*Academic Handbook*]

### IV-B2 Probationary Period

During the probationary period (no longer than seven years), as is the case for tenure-track faculty, the initial appointment of non-tenure-track faculty may be made for a maximum of three years. It can, however, be shorter than three years for lecturers. After three years, reappointment occurs on an annual basis until the decision to award or not award a longer term contract is made.

The initial appointment of clinical faculty (clinical professors and lecturers) in the School of Optometry normally is for one to three years. Near the end of the initial appointment, the faculty member's performance is reviewed by the Director of Clinics. The faculty member is notified of the pending review, and invited to submit to the Director of Clinics materials deemed relevant to the review. The results of the review are discussed with the faculty member and the Associate Dean for Academic Affairs, and the recommendation for renewal or denial of a subsequent probationary appointment is forwarded to the Dean of the School of Optometry. A written copy of the review is given to the faculty member and another copy is kept in his or her file. The process continues until the sixth year of the probationary period.

### IV-B3 Criteria for Long-Term Contracts

Lecturer and Clinical appointees in the sixth year of their probationary period shall be considered for reappointment to long-term contracts. The steps for review of non-tenure-track candidates for reappointment to long-term contracts and promotion follow those adopted by the School of Optometry for the review of tenure-track candidates for tenure and promotion. Reappointment of **lecturers** to long-term contract and promotion must be based on excellence in teaching and satisfactory service, and should only be granted to colleagues who have demonstrated a commitment to continued professional growth and currency with pedagogical developments in their fields. Reappointment of **clinical faculty** to long-term contract and promotion must be based on standards of performance in teaching and service in a clinical setting. [*Non-Tenure-Track Academic Appointee Handbook*]

During the sixth year of the clinical faculty member's probationary appointment, a formal review is conducted to evaluate evidence for reappointment of the faculty member to a long-term contract. The review is performed by a three-person peer review panel, appointed by the Director of Clinics in consultation with the Associate Dean for Academic Affairs, and comprised

**The criteria for granting long-term contracts after a probationary period shall be analogous to the criteria for granting tenure, except that clinical faculty and lecturers shall earn the right to a long-term contract on the basis of their excellence only in those responsibilities that may be assigned to them (i.e., in the areas of teaching and/or service).**

***Non-Tenure-Track Academic Appointee Handbook***

of faculty who are familiar with the duties, responsibilities and accomplishments of the clinical faculty member(s) under review. The faculty member is notified that he or she is under consideration for reappointment to a long-term contract, and invited to submit to the Director of Clinics materials deemed relevant to the review. The review should provide a documented assessment (e.g., excellent, very good, good, satisfactory, unsatisfactory) of the faculty member's teaching and service. After completing the review, the panel submits to the Director of Clinics and the Associate Dean for Academic Affairs its evaluation of the faculty member's teaching and service, along with its recommendation for reappointment or non-reappointment to a long-term contract. A written copy of the evaluation and recommendation is given to the faculty member and another copy is kept in his or her file. A positive review culminates with a recommendation for reappointment to long-term (five-year) contract. Reappointments after the sixth year review are for periods of five years, with a formal review during the fourth-year of each five-year cycle. Appeals of negative decisions can be petitioned by the faculty member to the School's Faculty Policy Committee.

Lecturers and Clinical appointees in the sixth year of their probationary who do not receive reappointment to long-term contracts will not be eligible for reappointment. [Bloomington Faculty Council]

#### **IV-B4 Non-Reappointment**

Non-tenure probationary clinical faculty, lecturers, and academic specialists shall be subject to the same policies and procedures with respect to appointment, reappointment, non-reappointment, and dismissal as apply to tenure-probationary faculty during the probationary period.

After the probationary period, dismissal of a clinical faculty member or lecturer holding a longer term contract which has not expired may occur because of closure or permanent downsizing of the program in which the faculty member teaches and serves; otherwise, dismissal of such clinical faculty member or lecturer shall occur only for reasons of professional incompetence, serious misconduct, or financial exigency. Non-reappointment of clinical faculty and lecturers to a new contract term may occur for the foregoing reasons or may occur as well for reason of changing staffing needs of the School's programs. Non-reappointment decisions regarding clinical faculty and lecturers holding a longer term contract after the probationary period must be

made with faculty consultation through processes established by the School's faculty governance institutions. [*Non-Tenure-Track Academic Appointee Handbook*]

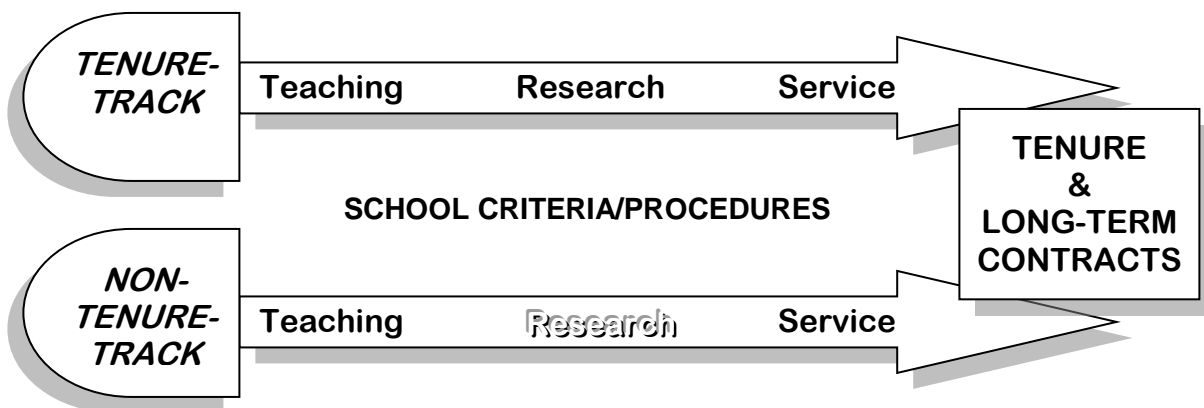
In the event of non-reappointment, faculty in their first year as Lecturer or Senior Lecturer must be given notice not later than February 1. During the second year of service, notice must be given not later than November 15. During the third and subsequent years, at least twelve months notice must be provided. [*Non-Tenure-Track Academic Appointee Handbook*]

## SECTION IV-C

### SCHOOL OF OPTOMETRY GUIDELINES FOR EXCELLENCE IN TENURE AND LONG-TERM CONTRACTS

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The guidelines for promotion and tenure are similar, although the emphasis may differ slightly between them. Items, such as case reports, listed below under a particular category (e.g., teaching) may be shifted to another area (e.g., research) if properly justified by the candidate.



The primary difference in the criteria for promotion and the criteria for tenure (and reappointment) is that the latter take into consideration the needs of the unit and the prognosis for the candidate's future achievements.

*Bloomington Academic Guide*

**General tenure and long-term contract guidelines for faculty within the School of Optometry are as follows:**

**Teaching** International and/or national reputation as an outstanding teacher, as well as acknowledged effective teaching at the School level. *For example, this may be achieved by the development of new courses on a national level or the development of a textbook or course that revolutionizes teaching at a national level.*

Excellence in producing textbooks, monographs, book chapters, articles on teaching, CDs, videos, peer-reviewed case reports, or other peer-reviewed publications related to teaching.

Excellence in peer-reviewed continuing education courses delivered at the state, national, and/or international level.

Excellence in producing course outlines, program plans, and similar materials used in classroom, laboratory, or clinic teaching.

Excellent performance of current and former students on state and national, standardized examinations (e.g., administrations of the National Board of Examination in Optometry, state optometry board licensing exams).

Development of new and significant didactic or clinical courses, clinical areas of expertise, and/or teaching programs within the School's curricula.

Incorporation of major revisions into existing didactic courses, clinical courses or programs, clinical areas of expertise, and/or other teaching programs.

Development and/or application of progressive or innovative techniques in teaching.

Advisor to optometry student, graduate student, or resident in the conduct of scholarly activity which culminates in a student-prepared, publishable paper or project.

Commendatory solicited and unsolicited evaluations from peers of didactic teaching, clinical teaching, laboratory teaching, and/or continuing education.

Commendatory solicited and unsolicited evaluations from former students of didactic and/or clinical teaching.

Commendatory solicited and unsolicited evaluations from patients of clinical teaching and patient care activities.

Commendatory in-class evaluations from students of didactic and/or clinical teaching.

Write-ups of student exit interviews and letters or notes from present or former students solicited by and/or written to someone other than the candidate.

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### **Research\***

International and/or national reputation as an outstanding basic or applied researcher. *In addition to outside letters, evidence can include prestigious awards and medals from professional and scientific societies, associations, organizations, and governmental bodies.*

Excellence in publishing high quality research papers, review articles, or case reports in peer reviewed journals or in monographs. Textbooks and textbook chapters which reshape an area of expertise, present new ideas, or incorporate scholarly research may also be considered. *Position of authorship on every publication is not critical, as long as a major creative component of the contribution can be demonstrated (e.g., assessment by the School of the contribution made by the candidate to coauthored work). Faculty are encouraged to publish their research and scholarly work in the top journals within their field.*

Scholarly activity leading to useful inventions and patent applications, or demonstrated progressiveness in the development or utilization of new clinical or laboratory approaches and techniques for the solution of professional problems.

Consistent record of progress in application for and receipt of significant grant or contract support from funding sources external to the University. *Consistency may mean, for example, successful award or renewal of competitive national grants, pilot studies*



*leading to successful external funding of more extensive studies, or the negotiation of external funding due to the faculty member's pre-existing reputation. Significant is what each faculty member themselves could justify to be support for an extended research program.*

Presentation of invited or contributed papers on research activity at meetings of scientific and professional societies.

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## **Service**

International and/or national reputation of consistently distinguished service contributions to international, national, University, local, and state organizations, particularly as an agent of progress and achievement within the specific service activity. *Excellence in service may be achieved both within or outside of established administrative positions. Recognition of service contributions through receipt of honors and awards from international, national, and state professional and scientific societies, associations, organizations, and governmental bodies is especially meritorious.*

Excellence in producing peer-reviewed papers, monographs, and other publications related to service.

Distinguished service as a member of international or national governmental or agency committees, commissions, advisory boards, task forces, and/or grant review committees.

Distinguished service as an officer, board member, or a committee chair of international or national professional, scientific, or scholarly organizations.

Distinguished service as a technical advisor or consultant to international or national agencies or service providers.

Distinguished service as an editor, member of editorial boards, or scientific referee of major professional and scientific journals.

Excellence in presenting continuing education at international, national, state and/or local meetings.

Distinguished service as a committee chair of University and/or School committees, commissions, advisory boards, and task forces.

Distinguished service as a member of regional, state and local committees, commissions, and/or advisory boards.

Distinguished service as an organizer, advisor and/or participant in community screenings, VOSH missions, and related outreach and patient care activities.

*\*Not a basic criterion in long-term contract consideration of non-tenure-track faculty. Research in support of teaching and service in a clinical setting can be an optional criterion when included as part of the non-tenure-track faculty member's job description.*

## **SECTION V**

### **APPENDIX**

#### **Sample Forms and Documents**

- ❖ *Guidelines for Tenure and Promotion Dossiers*
- ❖ *Sample Signature Sheet*
- ❖ *Promotion and Tenure Dossier Checklist*
- ❖ *Sample Appointment Letter*
- ❖ *Sample Notice of Annual Review Requirement*
- ❖ *Sample Notice of Reappointment*
- ❖ *Sample Notice of Tenure Decision Cases*
- ❖ *Sample Candidate Memo*
- ❖ *Sample Outside Evaluation Letter Request*
- ❖ *Teaching Evaluation*
- ❖ *Faculty Summary Report*

#### **Sample Elements of a Dossier**

- ❖ *Sample Promotion Dossier Table of Contents*
- ❖ *Sample Curriculum Vita*
- ❖ *Sample Candidate Statement on Research, Teaching, and Service*

#### **Biographical Sketches for Selected 1998 Tenured and Promoted Faculty**

- ❖ *Tenured and Promoted to Rank of Associate Professor*
- ❖ *Promoted to Rank of Professor*
- ❖ *Promoted to Rank of Clinical Associate Professor*

#### **Indiana University Promotion and Tenure Resources**

- ❖ *Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties*
- ❖ *School of Optometry*

## SECTION V-A SAMPLE FORMS AND DOCUMENTS



### V-A1 Guidelines for Tenure and Promotion Dossiers

03/03

#### GUIDELINES FOR TENURE AND PROMOTION DOSSIERS OFFICE OF THE VICE CHANCELLOR FOR ACADEMIC AFFAIRS AND DEAN OF THE FACULTIES

All tenure and promotions dossiers should be divided into the following five sections:

- I. General summary
- II. External letters
- III. Substantiation of teaching contributions
- IV. Substantiation of contributions to research/creative activity
- V. Substantiation of service contributions

#### I. General Summary

The initiating unit should ascertain that the dossier contains the following:

- 1) Signature Sheet (new requirement-See Appendix A.)
- 2) A copy of the unit and School criteria used to evaluate the candidate (new requirement).
- 3) The chairperson's evaluation and personal recommendation concerning the candidate's teaching, research/creative activities, and service. **The basis for the case should be carefully considered at this level and communicated to the unit head prior to the solicitation of external reviews to assure that referees address the area(s) of excellence specifically. The candidate and the department must be in agreement concerning the area(s) of excellence.**
- 4) The departmental evaluation of the candidate's teaching, research/creative activities, and service, and the departmental recommendation to include a tally of the specific votes and any individual statements submitted by members of the personnel committee.
- 5) The candidate's CV.
- 6) The candidate's own statements about teaching, research/creative activities, and service. The candidate's statement may include excerpts from progress or final reports submitted to funding agencies as supplemental descriptions of the candidate's current and future research endeavors.
- 7) A list of all publications **noting, in the left-hand margin, whether the publication was evaluated as evidence of teaching, research/creative activities, or service.** For promotions from Associate Professor to Professor, all items on this list, used in the previous promotion review process, should be clearly identified.
- 8) An assessment by the department or school of the extent of candidate's contribution to works with more than one author.
- 9) Tenure and Promotion Dossier Checklist (See Appendix B.)

The Dean of the School or College is responsible for adding the following to the dossier:

- 1) The School or College Committee's recommendation (including a report of exact votes) and the Committee's evaluation of the candidate's teaching, research/creative activities, and service.
- 2) The Dean's personal recommendation and a summary evaluation of the candidate's teaching, research/creative activities, and service.

A signature sheet should be placed in the front of the dossier to be signed by each level, recording specific votes to include absences and abstentions and identifying whether or not the candidate is recommended for

promotion and/or tenure (See Appendix A).

A copy of the unit and School criteria used to evaluate the candidate should appear in the general section of the dossier so that there is no misunderstanding concerning the criteria used by the evaluators at each level.

The promotion and tenure checklist should be completed by the person who prepares the dossier with the original being placed in the dossier and a copy given to the candidate.

All statements from individuals and from committees must identify the area judged to be excellent. A general assessment of the criteria (e.g., satisfactory, above satisfactory) should be included and the rationale or the basis for the assessment by referring to the evidence presented in the other sections of the dossier. University policy requires that each candidate should normally excel in at least one area and be at least satisfactory in each of the other two. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university over time. 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. Tenure, while also based on accomplishments to date also is based on promise of future accomplishments.

Annual Reviews should not be included in the dossier unless specifically requested by the candidate. These reviews represent private communications between the individual faculty member and the closest supervisor, and should remain private.

## II. External Letters

- 1) A list of external referees supplied by the candidate with statements **describing why each individual was proposed as a referee and the relationship of that person to the candidate.**
- 2) A list of external referees compiled independently by the chairperson or department/school committee with statements **describing why each individual was proposed as a referee and the relationship of that person to the candidate.**
- 3) A list of external referees to whom the Dean or Unit Head sent letters soliciting outside evaluations and a sample copy of the letter. An explanation should be provided for any referee who declined to write and a list of those solicited who did not respond to the request to evaluate the candidate.

Each School Dean or Unit Head will request the letters from the external referees, selecting names from each of the lists submitted. Because the quality of the candidate's scholarly contribution is evaluated, most of the external referees should have university affiliations. Those who are not affiliated with a university should be selected because their position qualifies them to provide a perspective that is relevant to the candidate's work, and their qualifications as a referee should be explained. All letters requesting outside evaluations should be accompanied by a copy of the candidate's vita, a copy of the unit and School criteria, and an adequate and appropriate selection of publications or other materials relevant to area(s) of excellence agreed to by the chair and candidate to be evaluated by the referees. Letters of evaluation provide an important external perspective on the candidate's reputation and impact on his/her discipline. External referees must be asked to comment specifically on the area(s) identified as the primary basis for tenure and/or promotion. They should also be asked to comment on the overall impact of the candidate's work in the discipline or profession.

## III. Substantiation of Teaching Contributions

This section of the dossier should contain evidence of the impact of the candidate's teaching and teaching related activities. This section should include:

- 1) A list of the specific courses taught and the enrollments listed by semester and academic year.
- 2) The numbers of Ph.D., M.A., and other research committees chaired or served on and the titles of

- any dissertations directed, listed by academic year.
- 3) Copies of pedagogical books, articles, chapters, and reviews as evidence of national exposure as a scholar of teaching and learning.
- 4) Evidence of the quantity and quality of classroom teaching (syllabi, summaries of standardized, quantitative test results (such as prepared by BEST) and transcribed student comments.)
- 5) Evidence of peer instruction (workshops, lectures, curricula disseminated, including peer evaluations of presentations and materials.)
- 6) Evidence of teaching leadership and recognition (awards, invited presentations.)
- 7) Solicited and unsolicited letters and e-mail from students, colleagues, and professional groups that reveal the influence of the candidate's teaching.
- 8) (For tenure) Written evidence of pedagogical work-in-progress

Developmental work on programs and curricula is sometimes difficult to classify as evidence of teaching or as evidence of research. Generally, pedagogical publications are considered as research only where the work has a conceptual/theoretical orientation and there is evidence that the efficacy of the pedagogy has been systematically studied and evaluated. Course outlines or program plans and similar material, which may represent many hours of creative work, may be included as evidence of teaching quality. These efforts, and other activities in class preparation, bear upon the candidate's teaching performance and its assessment. However, this kind of information must be organized in ways that allow committee members to see how these data support assertions that there are unique skills demonstrated by the candidate.

Innovative efforts, which may sometimes include unsuccessful approaches, should also be described. It is imperative that all data are presented in an organized way. Note that raw data, (e.g., scanned sheets from BEST) should not be included in the dossier but **must** be available upon request. Graphs may also show trends across semesters. Summaries of quantitative and qualitative evaluations should provide evidence of accomplishments at varied levels of teaching. Examples of other evidence include write-ups of student exit interviews and letters or notes from present or former students solicited by and/or written to someone other than the candidate. Other supporting materials may include textbooks, monographs, articles on teaching, CD ROMs, and videos.

Evaluations by colleagues based on first-hand observations and any and all evidence that the candidate has a reputation beyond this campus are of particular significance. A reputation beyond the campus is especially important in cases where teaching is defined as the area of excellence, and external referees must be asked to evaluate teaching in addition to research/creative activities and service. Any other available and relevant evidence on the quality of teaching should be included.

It should be kept in mind that the primary purpose of the evidence presented in this portion of the dossier is to document the breadth and especially the quality of the teaching.

### III. Substantiation of Contributions to Research/Creative Activities

- 1) A list of the candidate's research/creative publications. For promotions from Associate Professor to Professor, this list should identify which items were used in the previous promotion review process.
- 2) Reprints of all published and in-press journal articles, research book chapters, books published, manuscripts in press, and manuscripts in draft.
- 3) Reviews of books at any stage; commentary on journal articles.
- 4) Reviews of creative works (include level of distribution, as in local, regional, national, international publications). Number of citations and the significance may also be included.
- 5) Departmental or school evaluations of the reputation of the journals in which the publications appear, the stature of the museums showing creative work, and so forth.
- 6) List of current grants, (funded and unfunded) including cover pages and abstract, and copies of interim reports to funding agencies.

- 7) Evidence of research leadership and recognition, such as awards and honors, and invitations from prestigious organizations for research lectures/activity.

Tenure dossiers should present an assessment of the impact of the dissertation research and all post-terminal degree research and creative activities; promotion dossiers should contain an assessment of work done in rank at Indiana University and elsewhere.

The current status of each publication should be noted. For example, articles that have been officially accepted by an editor or publisher should be identified as “in press.” Articles that have been submitted for editorial review, but have not been accepted or have been accepted subject to revision should be identified as “submitted” or “under editorial review.” Work in preparation should also be labeled appropriately. Normally work in preparation will be of little relevance in the promotion process, but may be relevant to the tenure decision which involves promise of future accomplishments.

#### V. Substantiation of Service Contributions

This portion of the dossier should contain:

- 1) A list of the candidate’s service activities at each level: department, school, campus, community, discipline/profession. Include workshops, clinics, presentations and panels, conferences organized and coordinated, editorial work, public policy assignments, committees, offices held and other significant activities.
- 2) A list of the candidate’s service-related publications.
- 3) Evaluation of the quality of the candidate’s service activities by the chairperson and by professional colleagues at IU, or by associates in the service activity, e.g., conference participant’s evaluations of activities.
- 4) Copies of service-related committee reports and other relevant documents to illustrate the quality and impact of the service contributions or leadership provided by the candidate.

Service activities may be rendered to the department, to the University, to professional organizations, to community or governmental bodies, or to other similar institutions. Service may occur at local, state, or national levels. Where service is presented as the area of excellence, evaluations from colleagues and associates in the service activity are of particular importance. These evaluations or other assessments must indicate the contributions and responsibilities of the individual candidate to the service activity, and demonstrate either a breadth of significant contributions or exceptional quality in specific areas of endeavor.

**V-A2 Sample Signature Sheet**

BLOOMINGTON FACULTY AND LIBRARIANS  
ROUTING AND ACTION FOR TENURE AND/OR PROMOTION REVIEW

RECOMMENDATIONS (If not applicable, write N/A in the appropriate section):

Name: \_\_\_\_\_

Department: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

Chairperson/Unit Head: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

School/COAS/Libraries Committee: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

Dean: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

Campus Advisory Committee: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Absent \_\_\_\_\_ Abstentions \_\_\_\_\_ Basis

Vice Chancellor: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

Chancellor: \_\_\_\_\_ Date: \_\_\_\_\_

**Promotion:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

**Tenure:** \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Basis

\*School and unit recommendations must include a written evaluation of the candidates teaching, research/creative activities, and service.

**V-A3 Promotion and Tenure Dossier Checklist**

Promotion and Tenure Dossier Checklist (for Initiating Unit)

Revised 3/03

Candidate \_\_\_\_\_ Department \_\_\_\_\_

**General:**

- ☐ Signature Sheet.
- ☐ Copy of unit and School criteria used to evaluate the candidate.
- ☐ Chairperson's personal recommendation and a summary evaluation of teaching, research/creative activities, and service.
- ☐ Departmental recommendation (report of exact votes or separate memos from colleagues). Departmental evaluation of teaching, research or creative activities, and service.
- ☐ Candidate's CV
- ☐ Candidate's own statement on teaching, research or creative activities, and service. (Optional for promotion dossiers, but strongly recommended.)
- ☐ A minimum of six outside evaluations to be secured by Dean or Chairperson.
- ☐ Copy of list of referees supplied by candidate.
- ☐ Copy of list of referees supplied by chairperson or Department/School committee.
- ☐ Copy of referees selected to write and those who did not respond.

**Teaching:**

- ☐ Courses taught each semester, number enrolled. Number of Ph.D./M.A. committees chaired or served on.
- ☐ Titles (and abstracts where relevant) of any dissertations directed.
- ☐ Copies of any textbooks written.
- ☐ Evidence of any curricula development.
- ☐ Evidence of quality of teaching.
- ☐ Evaluation by students.
- ☐ Summary of student evaluation forms and transcription of comments from forms.
- ☐ Write-ups of student interviews done by unit.
- ☐ Letters from former students (solicited by and written to someone other than the candidate).
- ☐ Evaluation by colleagues, preferably first-hand (e.g., team teaching, symposia, visitation by colleagues).

**Research:**

- ☐ IU colleague evaluation of research or creative activities.
- ☐ Departmental evaluation of stature of (1) journals in which publications appear or (2) museums in which showings have been presented, performances, and so forth.
- ☐ Departmental assessment of the contribution made by candidate to co-authored or collaborative work.
- ☐ Copies of pedagogically relevant publications.
- ☐ Copies of professionally relevant publications  
and/or
- ☐ Copies of creative work, reviews of creative performances and exhibitions  
and/or
- ☐ Copies of research papers and development projects.
- ☐ Documentation of grants obtained and applied for.

**Service:**

- ☐ Summary of activities (Departmental or other University service; local, state, or national service; professional or other).
- ☐ Evaluation by chairperson of the quality as well as the quantity of service.
- ☐ Evaluation by professional colleagues (or other knowledgeable individuals) of the quality and impact of the service activities.

I have given a completed copy of this checklist to the candidate and included a copy in the dossier.

\_\_\_\_\_  
(Signature of Preparer)\_\_\_\_\_  
(Date)



## V-A4 Sample Appointment Letter

INDIANA UNIVERSITY



SCHOOL OF  
OPTOMETRY

Professor \_\_\_\_\_  
College of Optometry  
The Ohio State University  
338 West 10th Avenue  
Columbus, OH 43210

Dear Professor \_\_\_\_\_:

I write to advise you of our desire to have you join the faculty of the School of Optometry at Indiana University. I will recommend to the Dean of the Faculties your appointment in the School of Optometry at the rank of Assistant Professor under the terms and conditions described on the enclosed Offer to Recommend Appointment.

Your initial appointment will be for three years, effective August 2004 with eligibility for annual reappointment. Under present University policy, you will qualify for reappointment with tenure after you complete your seven-year probationary appointment period. As generally is the case at Indiana University, teaching, research/creative activity, and service are included in your responsibilities as a faculty member. Please note that Indiana University bases its tenure and promotion recommendations upon performance in these three areas. Faculty members are normally expected to excel in one of the categories and to be at least satisfactory in the two other categories. Additional information is available in the *Academic Handbook*.

Your assigned duties and responsibilities will include teaching in the professional optometry (O.D.) degree program, clinical teaching and supervision in the School's clinics, developing your research laboratory towards the goal of securing external funding support and attracting graduate students, and teaching appropriate courses in the graduate program in vision science. You also will be expected to serve the School, University and profession through participation on committees and other service activities.

If these terms of offer and conditions of employment are acceptable to you, please sign and return the enclosed Offer to Recommend Appointment form to my office by February 1, 2004, along with a completed Personal and Professional History form (enclosed).

We look forward to welcoming you to Indiana University and to the School of Optometry.

Sincerely,

Gerald E. Lowther  
Dean

OFFICE OF THE DEAN

800 East Atwater Avenue  
Bloomington, Indiana  
47405-3680

812-855-4440

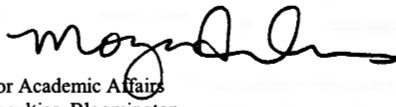
## V-A5 Sample Notice of Annual Review Requirement

INDIANA UNIVERSITY



OFFICE OF THE  
VICE CHANCELLOR FOR  
ACADEMIC AFFAIRS  
AND DEAN OF THE  
FACULTIES

TO: Edwin C. Marshall, Associate Dean for Academics  
Optometry

FROM: Moya L. Andrews   
Vice Chancellor for Academic Affairs  
and Dean of the Faculties, Bloomington

DATE: February 28, 2003

SUBJ: Annual Reviews of Faculty

I remind you at this time of the requirement to conduct annual reviews of

- all full-time, non-tenured faculty and lecturers
- all tenured faculty members who have not yet achieved full rank who have been in rank for seven years or longer

The annual reviews are in accord with actions of the Bloomington and University Councils. If you completed your reviews for 2002-2003 last fall, there is no need to do them again at this time; all that is needed is your certification on the attached form.

It is expected that routine reviews for all other faculty will occur each year via the annual faculty summary report.

Faculty members should be notified of the upcoming review and given an opportunity to provide relevant materials.

Written notification should be sent to my office confirming that a written review or an evaluative discussion has taken place for all non-tenured faculty members and lecturers, and all tenured faculty members who have not yet achieved full rank. In the case of a non-tenured faculty member and lecturer, a written summary of the review must be given to the individual and a copy must be placed in your files. **Do not send copies of summaries to this office.** In the case of a tenured faculty member, no written summary is required unless requested by the faculty member.

For the benefit and protection of both the individual and the University, the written annual reviews should state that the evaluation reflects the views of the unit only and that subsequent evaluations by any level of the University may differ from the evaluation by the unit. Reasonable wording on the review statement might be as follows: "This review reflects my judgement as to your current performance. It is based on my examination of your dossier (and the evaluation by the department/school committee). This evaluation may differ from those of future chairpersons, deans, and advisory committees who are asked to make judgements, and ultimately decisions, concerning your reappointment; tenure or promotion. I also call your attention to the relevant criteria in the Academic Handbook," page 85.

Please use the attached form (Annual Review Certification) to notify my office by **April 4, 2003** that the requirements for annual reviews have been satisfied for 2002-2003. If you feel you cannot comply with this deadline, please notify my office.

MLA:mt

Enclosures: Annual Review Certification Form  
Copies of letters to non-tenured  
faculty and lecturers regarding annual reviews

cc: Gerald E. Lowther, Dean  
School of Optometry

OFFICE OF  
ACADEMIC PERSONNEL  
POLICIES AND SERVICES

Bryan Hall 016  
107 South Indiana Avenue  
Bloomington, Indiana  
47405-7000

812-855-8168  
Fax: 812-855-7651

**V-A5.1 Annual Review Certification Form****ANNUAL REVIEW CERTIFICATION**

Spring 2003

TO: Dean of the Faculties

I have conducted an annual review for each of the faculty members and lecturers listed below. One written copy of the results of the annual review has been given to the non-tenured faculty member and one copy has been placed in the faculty member's file.

Date \_\_\_\_\_

Signed \_\_\_\_\_

 Department  
 or School Optometry

The above procedures have been completed for

(1) Each of the following  
non-tenured faculty  
members:

T. Bowen  
D. J. ...  
...  
...  
...  
...

(2) Each of the following  
tenured faculty members  
below full rank:

...  
...

PLEASE RETURN THIS FORM TO THE OFFICE OF ACADEMIC PERSONNEL  
POLICIES AND SERVICES (BRYAN 016) BY: April 4, 2003

**V-A5.2 Sample Letter to Non-Tenured Faculty Regarding Annual Reviews**

INDIANA UNIVERSITY



OFFICE OF THE  
VICE CHANCELLOR FOR  
ACADEMIC AFFAIRS  
AND DEAN OF THE  
FACULTIES

TO: Optometry

FROM: Moya L. Andrews *MLA*  
Vice Chancellor for Academic  
Affairs and Dean of the Faculties

DATE: February 15, 2003

SUBJ: Annual Review

I would like to remind you that, according to policy set by the Faculty Council, each full-time, non-tenured faculty member, librarian, and lecturer must be given an annual review relative to the department's assessment of reappointment and/or tenure prospects. No specific date for the review is established, and it may therefore occur at any time during the academic year. If the chairperson of your department or the dean of your school has not yet conducted your review during 2002-03, or has not yet notified you that a review is forthcoming, you may wish to request that he or she initiate the review process before the end of the academic year.

Academic units on the Bloomington campus may differ in the procedures by which reviews are conducted, but all non-tenured faculty members, librarians, and lecturers are to receive a written summary of their review; another copy is retained in the unit's files. No copies go beyond the unit. The review is meant to be a candid exchange between the faculty member and the unit.

It should be noted that the evaluation presented in the review will reflect the views of the unit only. Subsequent judgments by future chairpersons, deans, and advisory committees on reappointment, tenure, and promotion may not agree with the annual evaluations. The Annual Reviews are intended as an aid to faculty development, but they do not constitute a cumulative record which predetermines the results of a separate tenure or promotion review.

If you have any questions or encounter any problems in this matter, please let me know.

MLA:mt

cc: Edwin C. Marshall, Associate Dean for Academics  
School of Optometry

OFFICE OF  
ACADEMIC PERSONNEL  
POLICIES AND SERVICES

Bryan Hall 016  
107 South Indiana Avenue  
Bloomington, Indiana  
47405-7000

812-855-8168  
Fax: 812-855-7651

**V-A6 Sample Notice of Reappointment**

INDIANA UNIVERSITY

SCHOOL OF  
OPTOMETRY

**TO:** Faculty Member

**FROM:** Edwin C. Marshall, Associate Dean for Academic Affairs and Student Administration

**RE:** Reappointment Recommendation

**DATE:** February 1, 2004

The Dean of the Faculties Office has advised me that it is now seeking the School of Optometry's recommendation concerning reappointment of lecturers for the 2004-2005 academic year and of tenure-track faculty for the 2005-2006 academic year. Recommendations for reappointment or non-reappointment are based on performance in teaching, research and service. You are one of the individuals for which a reappointment recommendation is requested.

Representing the School of Optometry, and in accordance with the "Policies Governing Reappointment and Non-Reappointment During Probationary Period" in the *Academic Guide*, I am required to notify you that you are now being considered for reappointment. I am required also to invite you to submit any material and documents relevant to the review of your activity during the probationary period (i.e., from the time of your initial appointment or most recent reappointment). For example, submission of the annual Faculty Summary Reports provides the School and Dean of the Faculties with documented evidence of academic activity and levels of performance.

Recommendations must be received in the Dean of the Faculties Office by March 31, 2004. Therefore, any additionally relevant material, documents or comments should be submitted to me by Monday, March 22 (Faculty Summary Reports should have been submitted by January 15, 2004).

Subsequent to a positive recommendation from the School, the official letter of reappointment will come from Vice President Bantz. In the event of a negative recommendation (i.e., for non-reappointment), you will be notified in writing by me at the time the recommendation is forwarded to the Dean of the Faculties.

cc: Gerald E. Lowther, Dean

OFFICE OF ASSOCIATE DEAN  
FOR ACADEMIC AFFAIRS

800 East Atwater  
Bloomington, Indiana  
47405-3680

812-855-4475  
Fax: 812-855-7045

## V-A7 Sample Notice of Tenure Decision Cases

INDIANA UNIVERSITY



OFFICE OF THE  
VICE CHANCELLOR FOR  
ACADEMIC AFFAIRS  
AND DEAN OF THE  
FACULTIES

## MEMORANDUM

**TO:** Edwin C. Marshall  
Associate Dean for Academics  
School of Optometry

**FROM:** Moya L. Andrews *MLA*  
Vice Chancellor for Academic Affairs  
and Dean of the Faculties, Bloomington

**DATE:** March 14, 2003

**RE:** Tenure Decision Cases 2003-04

Our records indicate that a decision on tenure is required next year for each of your unit faculty members listed on page two of this memo. Please examine this list and inform me immediately of any errors or omissions.

I should also remind you of several important matters as we begin this year's process.

1) Candidates for promotion or tenure may gain complete access to their dossier at any level of review. Therefore, solicitation of internal and external letters should include the following statement:

In most cases your letter will be seen only by a small group of faculty members serving in a tenure (and/or promotion) advisory capacity. Although letters of recommendation are normally not disclosed to candidates, the candidate may request access to, and the University is legally compelled to give access to, the entire dossier.

2) The dossier constructed in consultation with the candidate provides the evidence upon which the tenure decision is to be made. 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. (University Faculty Council, April 23, 1991; Board of Trustees, June 20, 1991)

3) Your unit's description of its promotion and tenure criteria and procedures, as well as all documents explaining or interpreting the criteria statements, including letters to referees, are to be regularly reviewed and approved by the faculty of the unit (department, school, college) with copies provided to all faculty and to the Dean of the Faculties. Please be certain your current statement and any explanations or interpretations you have issued are on file in this office.

These materials are to be made available to all departmental and school committees, and will be reviewed by the campus committees as they begin consideration of individual cases.

Please be especially certain that this year's candidates for promotion or tenure have been familiarized with all current documents so that they may understand current statements and interpretations as well as those in effect when they were hired on tenure-track appointment.

OFFICE OF  
ACADEMIC PERSONNEL  
POLICIES AND SERVICES

Bryan Hall 016  
107 South Indiana Avenue  
Bloomington, Indiana  
47405-7000

812-855-8168  
Fax: 812-855-7651

Tenure Decision Cases for 2003-04

Page Two

I am enclosing copies of the guidelines for the preparation of tenure and promotion dossiers and the tenure dossier checklist. The guidelines and checklist identify both material that is required for all candidates and material that is optional. **Please read this section carefully so that your candidate's case is not jeopardized because of inadequate documentation.** The required material facilitates an evaluation of the candidate in each of the three categories, Teaching, Research/Creative Activities, and Service, specified in the Academic Handbook. If a candidate is excellent in more than one category, it is appropriate to indicate that rating. The optional material may allow a more complete presentation of the case. Each candidate must be given a signed copy of the checklist pertaining to his or her dossier.

Evaluations of the candidate by experts external to Indiana University play an important role in the tenure decision. The outside evaluators should be chosen from each of two lists, one supplied by the candidate, and the other, drawn up independently, supplied by the chairperson or division director. The lists should indicate the reasons why each evaluator has been chosen (e.g., editor of a relevant journal) and the relationship of the evaluator to the candidate (e.g., director of candidate's dissertation). Most outside evaluators are expected to have university affiliations. Departmental chairpersons should contact the candidates named below and obtain their nominations of evaluators. Copies of the candidate's list and of the chairperson's list should then be sent to the School or College Dean. The chairperson should also indicate the basis on which the candidate is being considered for tenure and/or promotion.

To allow time for careful consideration of candidates at all levels of the tenure and promotion process, it is important that the unit's letters soliciting outside evaluations be sent out as soon as possible. The letters themselves should be accompanied by the candidate's vita, a copy of the unit and school criteria, and an adequate and appropriate selection of publications or other materials relevant to area(s) of excellence agreed to by the chair and candidate.

Additional copies of the guidelines and checklist are available from our office upon request. Should you or the tenure candidate have any questions about these procedures, we would be very happy to talk with you. The office also now maintains sample candidate statements on research, teaching, and service.

Tenure Decision Cases, 2003-04

(If you are planning to submit any early tenure cases, please inform this office)

Enclosures

MLA:mt

cc: Gerald Eugene Lowther, Dean  
School of Optometry

## V-A8 Sample Candidate Memo

INDIANA UNIVERSITY



SCHOOL OF  
OPTOMETRY

**TO:** Tenure (and/or Promotion) Candidate

**FROM:** Edwin C. Marshall, Associate Dean for Academic Affairs and Student Administration

**RE:** Tenure (and/or Promotion)

**DATE:** July (or August) 1, 2004

Professor \_\_\_\_\_ has agreed to assist you in the preparation of your tenure (or promotion) dossier.

As per our faculty approved timetable, your dossier should be submitted to me by October 1 (November 1 for promotion only).

I will review your dossier, prepare my evaluation and recommendation, and forward it along with the dossier to the Chair of the Schools Promotion and Tenure Committee on or before October 10 (November 10 for promotion only). The School Committee will review your dossier, discuss its contents, vote, and forward its recommendation with the dossier to Dean Lowther on or before October 24 (November 24 for promotion only). Dean Lowther will prepare his evaluation and recommendation and forward it along with the dossier and the other recommendations to the Dean of the Faculties by November 1 (December 1 for promotion only).

Please feel free to contact me if you have any questions and/or concerns regarding the procedures and/or process relating to tenure (and/or promotion).

Copies to: Chair of the School P&T Committee  
Dean

OFFICE OF ASSOCIATE DEAN  
FOR ACADEMIC AFFAIRS

800 East Atwater  
Bloomington, Indiana  
47405-3680

812-855-4475  
Fax: 812-855-7045



## V-A9 Sample Outside Evaluation Letter Request

### V-A9.1 Teaching, Research, or Service as Area of Excellence

INDIANA UNIVERSITY



SCHOOL OF  
OPTOMETRY

Professor \_\_\_\_\_  
College of Optometry  
The Ohio State University  
Columbus, OH 43210

Dear Professor \_\_\_\_\_:

Professor \_\_\_\_\_ is being considered for tenure [and/or promotion to Associate Professor/Professor] as a member of the faculty of the School of Optometry at Indiana University. As part of our review procedures, we customarily write to a selected group of experts in the candidate's field to ask them for an independent judgment of the candidate's scholarly contributions. Additionally, we seek your opinion of his/her contributions in his/her area(s) of excellence and the overall impact of his/her work in his/her discipline.

Because you are an expert in your field, your frank appraisal of the significance of Professor \_\_\_\_\_'s scholarly contributions (and/or teaching, research/creative activity, and/or record of service, depending on the area(s) that must be reviewed to support the case) would be greatly appreciated.

A list of Professor \_\_\_\_\_'s publications is enclosed for your consideration. Do you rate the contributions as below average, average, above average, or excellent in quality? In quantity? How do you assess the promise for the future of Professor \_\_\_\_\_'s work? Are you personally acquainted with the candidate? Would Professor \_\_\_\_\_ be granted tenure (and/or promotion) at your university?

Tenure [and/or promotion] decisions at Indiana University also consider the candidate's record in teaching and in areas of service to the University, the State, the Nation, and the profession. I invite your evaluations of Professor \_\_\_\_\_'s performance in these areas if you have knowledge of them, although we realize the judgments in these areas must rely heavily upon local assessment.

In most cases your letter will be seen only by a small group of faculty members serving in a tenure [and/or promotion] advisory capacity. Although letters of recommendation are normally not disclosed to candidates, the candidate may request access to, and the University is legally compelled to give access to, the entire dossier.

I appreciate your time and aid in allowing us to compile as thorough a dossier as possible for Professor \_\_\_\_\_. Since our review is currently under way, it would be helpful if you could respond by September 1. Thank you for your assistance.

Sincerely,

OFFICE OF THE DEAN  
800 East Atwater Avenue  
Bloomington, Indiana  
47405-3680

812-855-4440

Gerald E. Lowther  
Dean

**V-A9.2 Balanced Case****INDIANA UNIVERSITY****SCHOOL OF  
OPTOMETRY**

Professor \_\_\_\_\_  
 College of Optometry  
 The Ohio State University  
 Columbus, OH 43210

Dear Professor \_\_\_\_\_:

Professor \_\_\_\_\_ is being considered for tenure [and/or promotion to Associate Professor/Professor] as a member of the faculty of the School of Optometry at Indiana University. As part of our review procedures, we customarily write to a selected group of experts in the candidate's field to ask them for an independent judgment of the candidate's scholarly contributions. Additionally, we seek your opinion of his/her contributions in his/her area(s) of excellence and the overall impact of his/her work in his/her discipline. Ordinarily a candidate for tenure (or promotion) should excel in at least one of the categories of research/creative activity, teaching, or service and be at least satisfactory in the other two areas. In exceptional cases, however, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the University. In such cases, we expect near-excellence in all three categories. Professor \_\_\_\_\_ is being considered for tenure (and/or promotion) on the basis of a balanced case.

Because you are in expert in your field, your frank appraisal of the significance of Professor \_\_\_\_\_'s research/creative activity, teaching, and service would be greatly appreciated.

A list of Professor \_\_\_\_\_'s publications is enclosed for your consideration. Do you rate the contributions as below average, average, above average, near excellence, or excellent in quality? In quantity? How do you assess the promise for the future of Professor \_\_\_\_\_'s work? Are you personally acquainted with the candidate? Would Professor \_\_\_\_\_ be granted tenure (and/or promotion) at your university?

The resume enclosed for your consideration includes courses taught (and perhaps other information about teaching) as well as information about the candidate's service to the University, State, the Nation, and to the profession. Because Professor \_\_\_\_\_ is being considered for tenure (and/or promotion) on the basis of a balanced case, your impressions of his/her performance in these areas are also invited. We realize that the judgments in these areas must rely heavily upon local assessment, but we would like your comments as well.

In most cases your letter will be seen only by a small group of faculty members serving in a tenure [and/or promotion] advisory capacity. Although letters of recommendation are normally not disclosed to candidates, the candidate may request access to, and the University is legally compelled to give access to, the entire dossier.

I appreciate your time and aid in allowing us to compile as thorough a dossier as possible for Professor \_\_\_\_\_. Since our review is currently under way, it would be helpful if you could respond by September 1. Thank you for your assistance.

OFFICE OF THE DEAN

800 East Atwater Avenue  
 Bloomington, Indiana  
 47405-3680

812-855-4440

Sincerely,

Gerald E. Lowther  
 Dean

## V-A10 Teaching Evaluation

[illegible]

**V-A11 Faculty Summary Report****2004****FACULTY SUMMARY REPORT**

(January 1 – December 31)

NAME: \_\_\_\_\_  
                                     Last name                                    First name                                    Middle Initial

DEPARTMENT: \_\_\_\_\_ SCHOOL: \_\_\_\_\_

**TEACHING ACTIVITIES**

A. Courses taught: Spring (II) 2003-2004; Summer 2004; Fall (I) 2004-2005

Your instructional responsibilities  
 (Please indicate weekly contact hours.)

Course Number	II, S Or I	Credit Hours	# of Students	Lecture	Lab	Discussion	Seminar	Other	AI Supervision

Explanation of/or comments on the above:

B. Activities directed at improving instruction, learning, or course administration. (Please describe rationale for/description of innovations, methods/measures for assessing outcomes, and results.)

**PLEASE NOTE:** Scholarly activity related to teaching and learning (e.g., investigation/research, dissemination/publication of results) should be reported under the section on Research/Creative Activities on Page 3.

- C. Development or major revision of course(s) during the year. (Please give title, course number, and a short description.)

- D. Dissertation, Research, and Field Work Committees (list student names and specify level). Please update the progress of students who are directly supervised by you.

1. Chairperson

2. Member

- E. Teaching awards and honors, including those of your students.

**RESEARCH ACTIVITIES/CREATIVE ACTIVITIES/PERFORMANCES**

- A. Publications, performances, exhibits, or equivalent (please identify refereed works by an asterisk)

Published

Accepted

Submitted

B. Grants applied for:

<u>Title</u>	<u>Agency</u>	<u>Start / End Date</u>	<u>\$ Total</u>
--------------	---------------	-------------------------	-----------------

C. Grants received:

<u>Title</u>	<u>Agency</u>	<u>Start / End Date</u>	<u>\$ Total</u>
--------------	---------------	-------------------------	-----------------

**PROFESSIONAL MEETINGS, COLLOQUIA, and SEMINARS:**

A. Invited papers or talks:



B. Contributed or competitive papers:

C. Panel chairperson, discussant, or attendance only (Please specify):

AWARDS, HONORS, DISTINCTIONS, etc.:

### **SERVICE ACTIVITIES**

Committees, administrative assignments, advising of students, mentoring of faculty, writing of references, and so forth. Please indicate those activities for which you were monetarily rewarded (e.g. consulting activity, contracts, etc.)

A. Department

B. School

C. University (including attendance at campus ceremonies)

D. Community and Public Service

E. Professional Organizations (include book reviews, journal refereeing, consultancies, etc.)

Please reserve this space for comments of chairperson and/or deans:

**SUPPLEMENTAL COMMENTS:** Please use this space to expand upon any topic not sufficiently covered in the sections preceding, to describe new directions or goals of research or creative activity in which you are participating, or to make comments which you wish to bring to the attention of your dean or the Dean of the Faculties. Please attach additional sheets if necessary.

## SECTION V-B SAMPLE ELEMENTS OF A DOSSIER



The following elements are provided as examples by the Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties.

### V-B1 Sample Promotion Dossier Table of Contents

#### *V-B1.1 Bernice Pescosolido, Department of Sociology*

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***V-B1.2 Composite Table of Contents Extracted from Actual Candidate Files***

A. Material added by candidate

1. Candidate=s statement on research or creative activity, teaching and service (see examples)
2. Candidate=s *curriculum vitae*
3. Copies of research grants and proposals
4. Invited papers, copies of invitations
5. Statement on journals and presses that have published a candidate=s work or on institutions that have exhibited creative work
6. Published reviews of candidate=s research or creative activity
7. Unsolicited letters from colleagues about research
8. Copies of published articles and books, manuscripts in press, slides and reproduction of art works
9. Descriptions of research in progress
10. List of courses taught and enrollments
11. Summaries of student teaching evaluations
12. Student evaluations of teaching. The inclusion of these forms is optional, but they must be retained by candidate for possible consultation by various tenure and promotion committees
13. Evidence of curriculum development
14. Course syllabi
15. Unsolicited letters about teaching and advising
16. Invitations to review books or manuscripts for academic presses
17. Invitations to review manuscripts for journals
18. Invitations to referee grant proposals for foundations
19. Invitations to chair sessions at national and international conferences
20. Unsolicited letters concerning service
21. Copies of journals on which candidate serves on editorial board
22. Documentation on committee service
23. Description of work done on contract
24. Description of work on dissertation and theses committees
25. Awards for teaching, service, or research

B. Material added by people other than candidate

1. Department or unit tenure or promotion committee report and vote
2. Department chair or supervisor=s recommendation
3. Outside letters of evaluation solicited by department
4. School, college or division=s tenure and promotion committee report and vote
5. School or college dean=s recommendation
6. Outside letters solicited by school or dean
7. Dean of Faculties Tenure and Promotion Committee report and vote (only on cases which were negative at previous levels)
8. Dean of the Faculties= recommendation

## V-B2 Sample Curriculum Vita

### BERNICE A. PESCOSOLIDO

Department of Sociology  
Indiana University  
Bloomington, IN 47405  
(812)855-2569,-3841 (office)  
(812) 333-2604 (home)  
pescosol@indiana.edu

### EDUCATION and APPOINTMENTS

1990-Present	Associate Professor, Indiana University
1983-1990	Assistant Professor, Indiana University
1981-1983	Lecturer, Indiana University
1982 Ph.D.	Yale University; New Haven, Connecticut (Sociology) Thesis: <b>Medicine, Markets and Choice: The Social Organization of Decision-making for Medical Care</b> (Albert J. Reiss, Chair)
1977 M.Phil.	Yale University; New Haven, Connecticut (Sociology)
1976 M.A.	Yale University; New Haven, Connecticut (Sociology)
1974 B.A.	University of Rhode Island; Kingston (Sociology/Spanish)

### ACADEMIC HONORS

Independent Scientist Award, National Institute of Mental Health, 1997-2002.  
Guest Editor, Special Issue of *Journal of Health and Social Behavior*, "Forty Years of Medical Sociology: The State of the Art and Directions for the Future."  
Overseers' Board, *The General Social Survey*, 1993-97.  
Herman F. Leiber Award for Distinguished Teaching, Indiana University, 1992.  
Chair, Medical Sociology Section, American Sociological Association, 1993.  
Research Scientist Development Award, National Institute of Mental Health, 1989-1994.  
Faculty Colloquium on Excellence in Teaching (selected by the Office of the President, Indiana University), 1989; 1990 (Program Chair); 1991, 1992, 1993 (Chair, Selection Committee).  
Fellow, Poynter Center for the Study of Ethics in American Institutions, 1987, 1993.  
Mortar Board National Honor Society "Preferred Professor," 1986.  
Edwin H. Sutherland Teaching Award, Department of Sociology, 1985.  
Alumni Scholar in Residence, University of Rhode Island, 1985.  
Dissertation Award, American Sociological Association=s Medical Sociology Section, 1983.  
Comprehensive Examination in Medical Sociology and Social Psychiatry passed with Honors, Yale University.  
Valedictorian, University of Rhode Island, 1974.

#### Honor Societies:

Sigma Delta Pi (Spanish)  
Mortarboard (National Women's Honorary; Vice President)  
Phi Kappa Phi (General Scholarship)  
Alpha Kappa Delta (Sociology)

### SCHOLARSHIPS, FELLOWSHIPS, and GRANTS (RESEARCH)

NIMH-ISA (Level K02). "Social Networks, Mental Illness, and Community-Based Care." (1997-2002) Salary award; Award: \$505,320.  
Strategic Directions Charter Grant, Indiana University. "The Concept I Program in Health and Medicine." (1997-2000). Award: \$399,175.

Robert Wood Johnson Foundation., Co–P.I. (with Frederick W. Hafferty, P.I.). "Charting a Future Course for Medical Sociology." (1996) Award: \$40,000. Follow-up to "Forty Years of Medical Sociology - State of the Art and Directions for the Future (special issue of the *Journal of Health and Social Behavior*). (1994-1995) Co–P.I. (with Mary Fennell, P.I.). Award \$23,000.

MacArthur Foundation, "Problems in Modern Living: Mental Health Module to the General Social Survey." Co-PI with Bruce G. Link. (1995-1996) Award: \$150,000.

NIMH–RISP Award, "Program for Services Research on the Severely Mentally Ill." P.I. (1994-99) Award: \$2,290,000.

Indiana State Division of Mental Health, "Baseline Study for the Closing of Central State Hospital." (1993-1995) Award YO1: \$134,000; Four–Year Total: \$800,924.

Indiana State Division of Mental Health, "Supplement to the Indiana Consortium for Mental Health Services Research." P.I. (1994-1999). Award: \$535,000.

Indiana University (RUGS and COAS), "Supplement to the Indiana Consortium for Mental Health Services Research." P.I. (1994-1999). Award: \$500,000.

NIMH–RSDA (Level I), "A Multi-level Network Model for Mental Health Services." (1989-94) Five-year salary award. Award: \$277,852.

NIMH–FIRST Award, "A Network-Episode Model for Mental Health Services." (1989-95). Award: \$453,339.

National Science Foundation, "A Network Approach to the Social Construction of Suicide." (1989-1993). Award: \$74,000.

Indiana University, Biomedical Research Support Grant, "Network and Dynamic Models for Analyzing the Utilization of Health Services." (1985-86). Award: \$4,036.

West European Studies Program, Summer Fellowship, "Crisis in the Welfare State? Public Reaction to Welfare Policies in Eight Nations." (1984). Continuation grant (1985).

Spencer Foundation Seed Grant, "The Social Construction of Sex Roles: Changing Images in Children=s Literature." (1983-1984). Award: \$9,340.

American Sociological Association, "Researching the Welfare State: Problems, Prospects and Potential,@ for a Working Conference held at Indiana University, Spring 1983, under the auspices of the Association's Problems of the Discipline Grants Program (with Larry J. Griffin and James R. Lincoln). Supplemented with Research Incentive Grant, Institute for Social Research, Indiana University (1983, with Larry J. Griffin).

Summer Faculty Fellowship, "Medical Care in the Welfare State: A Cross–national Study of Public Satisfaction." Indiana University (1982).

National Center for Health Services Research, "A Comparative Study of Non-Scientific Medical Use." P.I. (dissertation grant). Grant # I R03 HS 03172-01 (January 1, 1979–December 31, 1979); Continuation Grant # R03 HS 03172-02 (January 1, 1980–December 31, 1980). Award: \$19,934.

National Institute of Mental Health Traineeship in Psycho-Social Epidemiology (1976-78).

National Institute of Mental Health Traineeship in Medical Sociology (1974-76).

University of Rhode Island Trustee Scholarship (1970-74).

Rhode Island State Scholarship (1970-74).

## TEACHING GRANTS

Indiana University, Graduate School, "Preparing Future Faculty" (with Brian Powell). (1995-1998) Award: \$60,000.

American Sociological Association. "Revising the *Handbook for the Teaching of Medical Sociology*." (1996). Award: \$300.

American Sociological Association. "Revising *Revisiting the Welfare State*." (1996). Award: \$300.

Indiana University, Teaching Resources Center, Travel Grant. (1988) Award: \$200.

Director and Sponsor: National Research Service Award, Public Health Service, for Betsy L. Fife, Indiana University (1982-84).

American Sociological Association. "Revising the ASA/TSP Volume on the Welfare State." (1989) Award: \$300.

American Sociological Association. "Revising the ASA/TSP Volume on Medical Sociology." (1989-1991) Award: \$300.

**RESEARCH PUBLICATIONS**

- Pescosolido, B.A. and C.A. Boyer. "The Utilization of Mental Health Services: State of the Art and Changing Perspectives." In press. *The Sociology of Mental Health and Illness*. A.V. Horwitz and T.L. Scheid (eds.). New York: Cambridge University Press.
- Pescosolido, B.A., C. Brooks-Gardner and K.M. Lubell. "Choice, Coercion and >Muddling Through=: Accounts of Helpseeking from >First-Timers.=@ In press. *Social Science and Medicine*.
- Alegria, M., B.A. Pescosolido, D. Santos and M. Vera. In Press. "Can We Conceptualize and Measure Continuity of Care in Individual Episodes?" In press. *Sociological Focus* (special issue on continuity of care).
- Pescosolido, B.A., E. Grauerholz and M. Milkie. 1997. "Culture and Conflict: The Portrayal of Blacks in U.S. Children=s Literature through the 20th Century." *American Sociological Review* 62:443-464.
- Wright, E.R., B.A. Pescosolido, R. Levin Penslar. 1997. "New Ethical Challenges to Mental Health Services Research in the Era of Community-Based Care." *Journal of Mental Health Administration* 24(2):139-152.
- Pescosolido, B.A., E.R. Wright, J. McGrew, D.J. Mesch, A. Hohmann, W.P. Sullivan, D. Haugh, R. DeLiberty and E.C. McDonel. 1997. "The Human and Organizational Markers of Health System Change: Framing Studies of Hospital Downsizing and Closure." In J.J. Kronenfeld (ed.) *Research in the Sociology of Health Care*. Vol. 14, pp. 69-95. Greenwich, CT: JAI Press.
- Deci, P., E.C. McDonel, J. Semke, T. Hadley, M. Hogan, and B. Pescosolido. 1997. "Downsizing State-Oriented Psychiatric Facilities." In *Innovative Services for Difficult to Treat Populations*. S.H. Henggeler and A.B. Santos (eds.). Washington, DC: American Psychiatric Press.
- Pescosolido, B.A., A. Figert and K. Lubell. 1996. "Professional Work in Public and Private Settings: The Use and Evaluation of the DSM in Psychiatric Units." In *Current Research on Occupations and Professions*. Vol. 9, pp. 31-52. Helena Lopata and Anne Figert (eds.). Greenwich, CT: JAI Press.
- Pescosolido, B.A. 1996. "Bringing the 'Community' into Utilization Models: How Social Networks Link Individuals to Changing Systems of Care." In *Research in the Sociology of Health Care*, Vol. 13, pp. 171-198. Jennie J. Kronenfeld (ed.). Greenwich, CT: JAI Press.
- Pescosolido, B.A., E.R. Wright, and W.P. Sullivan. 1995. "Communities of Care: A Theoretical Perspective on Care Management Models in Mental Health." In *Advances in Medical Sociology*, Vol. 6, pp. 37-80. Gary Albrecht (ed.). Greenwich, CT: JAI Press.
- Pescosolido, B.A. and J.J. Kronenfeld. 1995. "Sociological Understandings of Health, Illness and Healing: The Challenge From and For Medical Sociology." *Journal of Health and Social Behavior* (extra issue): pp. 5-33.
- Pescosolido, B.A. 1994. "Bringing Durkheim into the 21st Century: A Social Network Approach to Unresolved Issues in the Study of Suicide." In *Emile Durkheim: Le Suicide-100 Years Later*. D. Lester (ed.), pp. 264-295. Philadelphia: The Charles Press.
- Pescosolido, B.A. 1994. "Society and the Balance of Professional Dominance and Patient Autonomy in Medical Care." *Indiana Law Journal* 69(4):1115-1122.
- Pescosolido, B.A. 1992. "Beyond Rational Choice: The Social Dynamics of How People Seek Help." *American Journal of Sociology* 97:1096-1138.
- Pescosolido, B.A. 1991. "Illness Careers and Network Ties: A Conceptual Model of Utilization and Compliance." In Gary Albrecht and Judith Levy (eds.). *Advances in Medical Sociology*, Greenwich, Connecticut: JAI Press.
- Pescosolido, B.A. 1990. "The Social Context of Religious Integration and Suicide: Pursuing the Network Explanation." *The Sociological Quarterly* 31:337-57.
- Pescosolido, B.A. and E. Wright. 1990. "Suicide and the Family Over the Life Course." *Family Perspectives* 24:41-58.
- Pescosolido, B.A. and S. Georgianna. 1989. "Durkheim, Religion and Suicide: Toward a Network Theory of Suicide." *American Sociological Review* 54:33-48 (February).
- Grauerhoiz, E. and B.A. Pescosolido. 1989. "Gender Representation in Children's Literature: 1900 - 1984." *Gender and Society* 3:113-25.
- Pescosolido, B.A. 1987. "The Power and Perils of Paradigms: Medical Sociology at the Crossroads." *Contemporary Sociology* 16:5-9.



- Pescosolido, B.A. 1986. "Migration, Medical Care and the Lay Referral System: A Network Theory of Adult Socialization." *American Sociological Review* 51:523-540 (August).
- Pescosolido, B.A. and R. Mendelsohn. 1986. "Social Causation or Social Construction? An Investigation into the Social Organization of Suicide Rates." *American Sociological Review* 51:80-101 (February).
- Pescosolido, B.A. 1986. "Crisis in the Welfare State: Public Directions to Welfare Policies." Pp. 223-264 in Norman Furniss (ed.) *Futures for the Welfare State*. Bloomington: Indiana University Press.
- Pescosolido, B.A., C.A. Boyer and W.Y. Tsui. 1985. "Medical Care in the Welfare State: A Cross-National Study of Public Evaluations." *Journal of Health and Social Behavior* 26:276-97 (December).
- Pescosolido, B.A. and J. Kelley. 1983. "Confronting Sociological Theory with Data: Regression Analysis, Goodman's Log-Linear Models and Comparative Research." *Sociology: Journal of the British Sociological Assn.* 17(3):359-377 (August).

## TEACHING PUBLICATIONS

- Pescosolido, B. 1996. *A Handbook for Teaching Medical Sociology*. American Sociological Association. Washington, D.C. Revision of 1991 volume. (With various authors)
- Pescosolido, B. and N. Furniss. 1996. *The Welfare State Revisited*. A review of the current state of research, an annotated bibliography, and a set of course syllabi. Published by the American Sociological Association's Teaching Research Center. Revision of 1989 volume.
- Pescosolido, B. and M. Milkie. 1995. "What Do We REALLY Do? A Report on the Status of Teacher Training in U.S. and Canadian Sociology Departments." *Teaching Sociology* 23:341-352.
- Pescosolido, B. 1991. "The Sociology of the Professions and the Profession of Sociology: Professional Responsibility, Teaching, and Graduate Training." *Teaching Sociology* 19:351-361 (special issue on the state of graduate education).
- Pescosolido, B., A. Figert and E. Wright. 1991. *The Sociology of AIDS—Six Lectures and Materials for Instructors and Students*. American Sociological Association. Washington, D.C.
- Pescosolido, B. 1990. "Teaching Medical Sociology Through Film: Theoretical Perspectives and Practical Tools." *Teaching Sociology* 18:337-46. Reprinted in *Visual Sociology and Using Film/Video in Sociology Course 1994*. Diana Papademas (ed.) Washington: ASA Teachers Resource Center.
- Pescosolido, B. and L.J. Griffin. 1984. *The Welfare State: Origins, Effects and Prospects*. A review of the current state of research, annotated bibliography and set of syllabi. Published by the American Sociological Association's Teaching Research Center.

## BOOK REVIEWS

- Review of *The Structure of American Medical Practice 1875-1941* by George Rosen (1983, University of Pennsylvania Press), in *Contemporary Sociology*. 1984: 14:103-104.
- Review Essay, *Sickness and Society* by Raymond Duff and August Hollingshead (1968, Harper and Row) in *REVISTA*, 1976:190-197.

## WORK IN PROGRESS

### Papers In Draft

- A Formal and Informal Utilization Patterns Among the Poor with Mental Health Problems in Puerto Rico. @ B.A. Pescosolido, E.R. Wright, M. Alegria and M. Vera. Revise and Resubmit. *Medical Care*.
- A Family Social Networks at the Interface of Community and Treatment Systems: Patterns of Care for Mental Health Problems Among Puerto Ricans. @ B.A. Pescosolido, M. Alegria, K. Lubell, M. Vera, R. Gibbons. Submitted.
- A "The Web of Group Affiliations Revisited" @ (with B. Rubin). Presented at the Sunbelt Network Conference, 1994. Submitted.
- A Two Steps Forward, One Step Back: Sociology and the Study of the Social Experience of Illness. @ Presented at the American Sociological Association, 1994.
- A "A View From Two Worlds: The Community Social Networks of the Severely Mentally Ill" @ (with E. Wright). Presented at the Sunbelt Network Conferences, 1993.

A Changing Images of Gender in Children's Literature@ (with E. Grauerholz and M. Milkic).  
*The Handbook of Teaching in the Social Sciences* (with R. Aminzade), Pine Forge Press (division of Sage).  
 AA Different View of the Community Networks of Persons with Severe Mental Illness: Two Midwest Studies.@  
 J. Holschuh, B.A. Pescosolido, E.R. Wright.

### **Recently Accepted For Presentation or Presented**

Papers in Panel: "The Changing Careers of Mental Health Clients and Caretakers." American Public Health Association. 1997.

Pescosolido, B., E.R. Wright. "The Changing Community Lives of Individuals Using Services for Mental Health Problems."

Lubell, K., B.A. Pescosolido. "Changing Orientations to Mental Health Service Use: Choice, Coercion and 'Muddling' Over the First Year."

Lutfey, K., B.A. Pescosolido, K. Lubell. "Pathways to Mental Health Treatment."

Papers in Panel: "The Community Life of Former Mental Patients." American Public Health Association. 1997.

Wright, E.R., J. Laftize. "The Family Experience of Deinstitutionalization."

Pescosolido, B.A., K. Lutfey. "The Changing Hopes and Worries of Clients During and Following the Closing of a State Mental Hospital."

"Why Social Networks Matter for Treatment Effectiveness." B.A. Pescosolido.

"The Closing of Central State Hospital: Long-term Outcomes for Persons with Severe Mental Illness." J.

McGrew, E.R. Wright, B.A. Pescosolido and E.C. McDonet. Presented at Third Conference in a Series on Innovation and Management in Public Mental Health Services, entitled: The Political Economy of the Asylum 3— Functional Components of the State Hospital in the Community: Costs and Outcomes. Philadelphia, PA.

"Help-seeking and Social Networks." B.A. Pescosolido. Continuing Education Institute: Clinical Services Research for the 21st Century: Innovative Theoretical and Methodological Approaches." American Public Health Association. 1996.

"Pathways to the Mental Health System: Examining the Effects of Episode-Based Longitudinal Data on Service Use." B.A. Pescosolido, M. Alegria and K.M. Lubell. American Public Health Association. 1996.

Panel: "Have Public Conceptions of Mental Illness Changed Over the Last Half-Century? Does It Matter?" American Public Health Association. 1996. (Panel on the MacArthur— GSS Study)

### **RESEARCH CONSULTANTSHIPS**

Western Psychiatric Institute, University of Pittsburgh, Program on Gender and Mental Health Service, 1995-present.

Medical School, University of Puerto Rico, Behavioral Science Research Institute, 1994-present.

National Research Center on Asian American Mental Health, 1993-present.

National Center for American Indian and Alaska Native Mental Health Research, 1994-present.

School of Public Health, University of Puerto Rico, "Mental Health Care Utilization Among Puerto Ricans" (MH42655), Margarita Alegria (P.I.), 1991-1993.

### **TEACHING WORKSHOPS (Selected)**

1996 "The Professional Socialization of Graduate Students." American Sociological Association. Organizer and presider (with Donna Hess).

1995 "Innovative Programs for Teacher Training: Models from Sociology." National TA Conference. Boulder.

1995 "Indiana University's College Pedagogy Proposal." National TA Conference. Boulder.

1992 "Preparing Graduate Students to Teach." American Sociological Association. Panel Member.

1991 "Medical Care, Technology and Society: A Preview of PBS Series Relevant for Teaching." American Sociological Association. Organizer and presider.

1991 "Teaching Social Psychology Courses." American Sociological Association. Organizer (with Jeff Chin).

- 1990 "Teaching Medical Sociology: Reflections on Audiences, Goals and Approaches." American Sociological Association. Organizer and presider.
- 1990 "The Meaning and Institutionalization of Good Teaching." Faculty Colloquium for Excellence in Teaching. Indiana University. Program Co-chair, Selection Committee, session organizer (1990), participant (1990).
- 1981 "Writing for Sociologists." Panel member (Kai Erikson, organizer), American Sociological Association.

## **COURSES TAUGHT:**

### **Undergraduate**

The Sociology of Health, Illness and Healing (Junior/Senior Level).  
 Medicine in America: Physicians, Patients and Their Problems (Freshman Level).  
 Can There Be Equity? Health and Welfare Services in the U.S. (Topics in Social Problems; Freshman Level).  
 Sociological Analysis of Society (Introductory Sociology; Freshman Level. Sometimes taught in conjunction with J109 (Minority Group Program).  
 Team Taught Course: Health and Society (Advanced Undergraduate Course in the Nursing School). Lisa Lion (R.N.), coordinator; Frank Vilardo (D.P.H.).  
 Team Taught Course: Health and Human Values (Upper Level Honors Division). John Woodcock (English; coordinator).

### **Graduate Courses**

Sociological Research Practicum (The Social Organization of Mental Illness)  
 Advanced Research Techniques (Research Methods Course)  
 Statistical Analysis for Sociologists I and II (year-long required sequence)  
 Teaching Undergraduate Sociology  
 Issues in College Pedagogy  
 Research Topics in Social Organization: The Sociology of Health, Illness and Healing  
 Research Topics in Social Organization: Social Science and Medicine  
 The Sociological Craft: Workshop in the Organization and Presentation of Sociological Materials

### **Internship Director**

Children's Hospital Interactions  
 Health Care Systems of India  
 The Depiction of Ethnic Groups in American Children's Literature  
 Men's Image as Parents in Children's Books  
 The Interface of the Community and Medical Care System: The Case of the Emergency Room  
 Comparative Systems of Medicine: Nigeria, China and the U.S.  
 Attitudes of the Bloomington Elderly  
 Work Motivations on the Israeli Kibbutz  
 Health Care Systems in India

### **Independent Readings Courses (Graduate Level)**

Social Networks  
 Professional Dominance and the Medical Arena (2 semesters)  
 Medical Sociology (2 semesters)

## **TEACHING AND RESEARCH INTERESTS**

Medical Sociology/Sociology of Mental Health (General Survey Courses, Service Use, Social Organization of Medical Care, Comparative Health Systems, Profession of Medicine)  
 Social Organization (General, Link Between Macro and Micro Processes)  
 Social Networks (Inter-organizational Relationships, Patterns of Behavior)  
 Teaching Sociology; The Sociological Craft (Graduate Level)  
 Introductory Sociology (General Survey or Research Oriented Track)  
 Methods of Data Analysis, Methods of Social Research (Graduate or Undergraduate)

Socialization (General, Gender Roles)

## **PROFESSIONAL SERVICE**

### **Service Grants**

Indiana University, Student Health Services, "A Needs Assessment of the I.U. Student Population." (1985).  
Award: \$7,000.

### **Departmental Service**

Program Co-Director, Preparing Future Faculty, 1995-1998  
Ad Hoc Graduate Committee, 1994-1996  
ProSeminar Presenter 1990, 1994, 1995, 1996  
Personnel Committee, 1993-94, 1996-97  
Director of Associate Instructor Training, 1988-1990, 1993-1994  
Honors Advisor, 1985-1986  
Teaching Committee, 1985-1986, 1987-1988, 1989-90, 1991-92, 1993-94 (chair), 1995-1997(chair)  
Undergraduate Affairs Committee: 1984-1985  
S100 Course Co-ordinator: 1984-1985, 1985-1986, 1990-1991  
Executive Committee: 1982-1983, 1983-1984, 1985-1986  
Colloquium Series Coordinator (with G. Bohmstedt): 1983-1985  
Graduate Affairs Committee: 1982-1983  
Guest Lectures (Psychology, Sociology, SPEA, Nursing)

### **University Service**

Review Committee, Strategic Directions Initiative, 1996  
RUGS Committee on Data Sharing, 1996-1997  
Member, Dean of Libraries Search Committee, 1995-1996  
Chancellor Professorship Selection Committee, 1994-present  
Co-Chair, Dean of Faculties and Vice Chancellor Search Committee, 1992-1993  
Tracy Sonnebom Award Committee, 1989-present (chair 1993)  
Instructional Development Grant Committee, 1990-1992  
FACET (Faculty Colloquium for Excellence in Teaching) Selection Committee, 1990-present (chair 1991-present); Senior Advisory Committee (1994-present); Board of Editors (1995-present)  
Mentor, Summer Research Opportunity Program for Minority Students, 1992  
Mentor, Junior Faculty, Office for Women's Affairs, 1996-1997  
Indiana University Auditorium Committee, 1991-present (chair 1996-present)  
Poynter Center, Medical Studies Group, 1988-present  
Faculty, Mini University Program: 1982, 1990, 1996  
Research and Graduate School Conference on Research Funding (Summers 1991-1994)  
Vice Chancellor=s Advisory Board, 1991-present  
College Arts and Sciences Promotion Committee, 1992-1995  
FACET Program Planning Committee, 1990 (Chair)  
Student Health Center Advisory Committee, 1990  
Teaching Resources Center Grant Committee, 1990  
Honors Division Program Development, 1988-1990  
A.I. Trainers Discussion Group, 1988-1990, 1993-1994  
Consultant, Student Health Service, 1985-1988  
Student Health Advisory Committee (Faculty Advisor), 1984-1987  
Faculty Member, West European Studies Program, 1985 to present  
Faculty/Advisor Interaction Program, University Division, 1985  
Educational Policy Committee: 1983-1984

### **Profession**

NIMH Mentor for Minority Technical Assistance Program, 1991  
NIMH Special Grant Review Committee, 1990 (Summer), 1991 (Summer), 1993 (Summer), 1994 (Summer)

NIMH Special Site Visit team, 1993  
 National Association of State Mental Health Program Directors (NASMHPD) Fellowship Mentor, 1992  
 National Science Foundation, External Reviewer, 1992, 1994  
 Editorial Board, *American Journal of Sociology*, 1995-1997  
 Editorial Board, *Sociological Quarterly*, 1991-1994  
 Editorial Board, *Teaching Sociology*, 1991-1994; 1997-2000  
 Editorial Board, *Journal of Health and Social Behavior*, 1988-1991; 1994-1997  
 President=s Ad Hoc Committee on Graduate Education, American Sociological Association, 1994-1997  
 Editorial Board, *Contemporary Sociology*, 1983-86  
 Section Chair, Medical Sociology Council, American Sociological Association, 1992-1993  
 Medical Sociology Council, American Sociological Association, 1979-1981, 1989-1994  
 Chair, Teaching Committee, Medical Sociology Section, American Sociological Association, 1989-1991  
 Minority Fellowship, Program Presentation, ASA 1996, 1994  
 Teaching Awards Committee, American Sociological Association, 1996-97  
 Committee on Nominations, American Sociological Association, 1995-1997  
 Committee on Professional Ethics, 1991-1997  
 Committee on Committees, American Sociological Association, 1990-1991  
 Cheryl Ann Miller Lectureship Committee, Sociologists for Women in Society, 1990  
 Area Representative, American Sociological Association, 1989-1992.  
 Program Co-Chair, Problems of the Discipline Conference sponsored by the American Sociological Association, 1983  
 Textbook Specialist Consultant, Medical Sociology, Harper & Row, 1988  
 Textbook Specialist Consultant, Introductory Sociology, Pine Forge Press, 1991-present  
 Associate Editor, *Comparative Health Systems Newsletter*, 1979-1981  
 Occasional Reviewer: *American Sociological Review*, *American Journal of Sociology*, *Journal of the American Medical Association*, *Social Psychology Quarterly*, *Social Science Quarterly*, *Suicide and Life Threatening Behavior*, *Journal of Health and Social Behavior*, *Medical Care*, *Sociological Focus*, *Sociological Forum*, *Sociology of Work and Occupations*, *Journal of Basic and Applied Social Psychology*, *Gender and Society*, *Sociological Perspectives*, *Journal of Family Issues*, *Social Problems*, *Political Science Quarterly*, *Social Psychiatry and Psychiatric Epidemiology*

### National and Regional Meetings

#### Papers or Program Committee:

Eastern Sociological Association, 1982  
 Society for the Study of Social Problems, 1982  
 Medical Sociology Section, American Sociological Association, 1993  
 American Public Health Association, 1996-1997

#### Session Organizer, Presider:

American Sociological Association, 1980, 1981, 1990, 1991, 1993  
 American Public Health Association, 1994  
 Eastern Sociological Association, 1981, 1982  
 Society for the Study of Social Problems, 1982  
 Midwest Sociological Society, 1989

#### Discussant or Roundtable Leader:

American Sociological Association, 1985, 1986, 1996  
 Society for the Study of Social Problems, 1985  
 Midwest Sociological Society, 1982  
 American Public Health Association, 1979  
 Indiana Undergraduate Symposium, 1982, 1984, 1989, 1990

### Invited Lectures

Mt. Union College, Dewald Honors Dinner Lecture, 1996.  
 Yale University, Alumni Conference, 1996.  
 University of Madison, Wisconsin (Mental Health Research Center), 1996.  
 Alpha Kappa Delta (sociology honorary) Keynote Speaker (University of Akron), 1996.

Washington University, St. Louis (George Warren Brown School of Social Work), "Social Networks in Help-Seeking and Service Utilization Among Mentally Disordered Persons." 1995.

University of North Carolina, Chapel Hill, "Linking Micro and Macro Structures to Understand the Careers of Individuals with Severe Mental Illness." October, 1994.

Duke University, "Of Patterns, Pathways and Steps: Why We Need a New Model of Utilization in Mental Health." October, 1994.

National Center for American Indian and Alaska Native Mental Health Research, "Why We Need a New Model of Utilization in Mental Health Services Research." December, 1994.

University of North Carolina, Chapel Hill (School of Public Health) and Duke University (Medical School), "Why We Need a New Model of Mental Health Care Utilization." October, 1994.

Sorbonne, Paris, 1993, "Bringing Durkheim into the 21st Century: A Network Approach to Unresolved Issues in the Sociology of Suicide."

Marshall Fellowship Program, Indiana University, "The American Health Care Systems: Structure, Problems, and Reform." 1993, 1994.

University of Pennsylvania (Sociology), "With Matchsticks and Paper Clips: Link Macro-Structures, Micro-Processes and the Experience of Mental Illness." 1992.

National Institute of Mental Health, Research Scientist Development Awardee Conference, "The Social Networks of the Severely Mentally III: Phase I--The Pathways to Treatment." June 1992.

Conference on Collaborative Learning, Indiana University, 1991.

Conference on General Education, Indiana University, 1990.

American Sociological Association, Presidential Session, "Sociology, NIMH and the Public Agenda," 1990.

Center for Health Administration Studies, University of Chicago, "Illness Careers and Network Ties: A Conceptual Model of Utilization and Compliance," 1990 (also presented at the Psychology Clinic Colloquia, IU and IUPUI).

Institute for Health, Health Care and Aging, Rutgers University, "A Multi-Level Network Model for the Severely Mentally Ill," 1990.

Multidisciplinary Seminar on Morbidity, "Social Construction of Suicide," 1989.

Alumni Scholars Program, University of Rhode Island, 1985. Topic of Lectures: "Networks, Migration and Medical Care Choice" and "Gender Images in Children's Literature of Twentieth Century America."

Counseling and Psychological Services, I.U., 1985. Topic: "Socialization Messages Regarding Gender in Children's Picture Books."

Interdisciplinary Seminar on Health and Illness, Topic: "The Social Construction of Suicide," 1989.

Guest Speaker, Interdisciplinary Seminar on Science and Technology, Topic: "The Rise of the Modern Profession of Medicine," 1985.

Union Board Lectures, "Time Out Thursdays," 1984. Topic: "Hidden Messages in Popular Culture: 40 Years with Dick, Jane and Spot."

Guest Speaker, Interdisciplinary Project on Morbidity, "Sociological Approaches to Illness and Disease," 1984.

Speakers Bureau, Institute for Russian and East European Studies, "Medical Care in the U.S.S.R.," 1983.

Symposium on Applied Sociology, "Medical Sociology," (IUPUI) 1983.

### **Other Service Publications**

"The I.U. Auditorium Report I: Analyses of Attendees, 1993-1994 Season" (with Eric Wright).

"Central State Hospital Tracking Reports" (with Eric Wright and various co-authors), 1994-1996.

Series of reports commissioned by the Student Health Advisory Committee (SHAC) at Indiana University. The reports are based on a "needs assessment" survey of I.U. students and have been used by the Vice President's Committee on the Student Health Services (Eugene D. Weinberg, chair) in Fall 1985.

### **Professional Affiliations**

American Sociological Association (Medical, Mental Health, Teaching Sections)

American Public Health Association (Mental Health, Medical Care, International Health)

American Association of Higher Education

### V-B3 Sample Candidate Statement on Research, Teaching, and Service

MIRIAM ZOLAN

Assistant Professor of Biology

#### **I. Research**

The focus of my research is an investigation into the genetic, biochemical, and evolutionary relationships between meiosis and DNA repair. The process of meiosis is an essential function of organisms (such as humans) that reproduce sexually. Organisms that use meiosis exist, at some point in their life history, as diploids, which means that they have two copies of each chromosome, except for certain sex chromosomes. Meiosis is a specialized, reductive cell division resulting in the production of haploid cells, with one copy of each chromosome (that is, with exactly half the total diploid chromosome number). These haploid cells give rise to the organism's gametes. In sexual reproduction, a new diploid generation is produced by the fusion of haploid gametes from two different parents.

The processes of DNA repair are fundamental to all cells. The DNA of chromosomes is subject to damage by external factors in the environment, such as ultraviolet light and ionizing radiation, and by internally generated by-products of metabolism. Therefore, all organisms have evolved multiple pathways for correcting DNA damage. Thus, both the correct processing and repair of DNA damage and the proper segregation of chromosome pairs in meiosis are two fundamental activities of eukaryotes, and ample evidence exists for their common genetic basis. Mutants (genetic variants) with defects in both processes have been characterized in several different fungi and in the fruit fly *Drosophila melanogaster*. Although the specific genetic defect was not determined, a correlation between DNA repair defects and meiotic dysfunction has also been documented in a case of human male infertility.

During meiosis, the two copies of each chromosome condense, pair, recombine, and then segregate from each other. Defects in DNA repair genes that also have roles in meiosis lead to the failure of all of these processes. Therefore, the study of DNA repair genes is essential to a thorough understanding of meiotic DNA metabolism. It is known that meiotic recombination involves physical breakage and rejoining of DNA strands. Similarly, ionizing radiation causes DNA strand breaks, which must be repaired. Although meiotic recombination and DNA repair share these features, the exact functions of DNA repair genes in meiosis are not yet known. For example, in most cases it is not known whether DNA repair genes have direct roles in meiotic recombination, or whether their repair functions play essential, but indirect, roles in this process. The long term goal of my research is to understand what roles DNA repair genes and their products serve in meiosis, and how pathways of DNA repair may have evolved to allow or facilitate the essential chromosome segregation process of meiosis.

We are using for our studies the fungus *Coprinus cinereus* (a mushroom), because this organism's life cycle is uniquely suited for these experiments. The 10 million meiotic cells in each mushroom cap undergo meiosis synchronously. The chromosomes of the mushroom can be easily studied by light and electron microscopy and can also be separated, intact, using techniques of gel electrophoresis. In addition, because of the remarkable synchrony of the system, cells at different stages of meiosis can be isolated for biochemical studies. Other useful features of *C. cinereus* are conditions in the laboratory. Most importantly, this mushroom is an excellent experimental system for our research because the major features of meiosis are the same in *C. cinereus* as in humans and most other organisms, and we wish to understand fundamental properties of the relationship between meiosis and DNA repair that are general to diverse organisms.

My research at Indiana University has centered on two aspects of chromosome metabolism in *C. cinereus*. The first, the characterization of genes required for DNA repair and meiosis, is the main focus of the laboratory and, hence, of this overview. The second, a study of the generation and inheritance of chromosome-length polymorphisms, is a natural extension of our interest in the molecular genetics of *C. cinereus* in particular, and of fungi in general, and will be summarized more briefly.

**Identification of genes necessary for DNA repair and meiosis:**

We have isolated more than 40 radiation-sensitive (*rad*) mutants of *C. cinereus*, and have found that the defects in these mutants are in at least 10 different genes. Since these genes are necessary for the survival of gamma irradiation, they are most likely involved, directly or indirectly, in DNA repair pathways. Four genes, *rad3*, *rad9*, *rad11* and *rad12*, are necessary for both the survival of gamma irradiation and for meiosis. These four genes are part of the same gamma radiation survival pathway, and mutants in any of the four lead to the failure of proper meiotic divisions and to profound defects in the formation of basidiospores, which are essentially the mushroom's gametes and which give a normal mushroom cap its dark color (manuscripts 4 and 5). Therefore, we have identified a DNA repair pathway containing gene functions which are also required for meiotic chromosome metabolism. Current and future work will allow us to determine whether these genes function together in a meiotic pathway and hence, whether a process has likely been recruited, in total, from DNA repair into meiosis.

We have mapped all four of the identified genes to the *C. cinereus* chromosomes, using a novel method of gene mapping which we developed (manuscript 2). We have constructed chromosome-specific recombinant DNA libraries of the *rad* gene-containing chromosomes, and have used the technique of DNA-mediated cell transformation to isolate and characterize the *rad9* gene (manuscript 1). In this procedure, radiation-sensitive cells are caused to take up recombinant clones, grown into colonies of cells, and then tested for their transformation from radiation-sensitivity to radiation-resistance. We found that the *rad9* gene encodes an unusually large, proline-rich protein, and that its expression is induced after gamma irradiation and during meiosis (manuscript 8). In a complementary approach, we used molecular methods to clone a *C. cinereus* homolog of *rad51*, a DNA repair gene which is conserved in evolution, and which is known in other organisms to be necessary for both DNA repair and meiosis (manuscript 9). In current work, we are attempting to construct a *C. cinereus* mutant with a defect in its *rad51* gene. This will allow us to determine whether *rad51* is in the same DNA repair and meiotic pathways as the *rad* genes we identified by mutagenesis.

To increase our understanding of the basic meiotic process, we have examined the time course of meiotic chromosome condensation and pairing in normal and mutant cells (manuscripts 7 and 8). Our work confirms and extends the previous work of other labs, in which these processes were studied using different techniques, and shows dramatically that two distinct, temporally separated, cycles of chromatin condensation occur during meiosis. We have shown for the first time that these two cycles can be uncoupled; the mutant *rad9-1* undergoes very little of the first meiotic chromosome condensation, but can progress to nearly normal levels of the second. In contrast, *rad12* mutants undergo nearly normal levels of the first type of condensation, but do not undergo the second condensation phase.

**Future directions**

Our current work is directed toward a deeper understanding of the roles of *rad* genes in meiosis. For example, we have observed a small amount of residual condensation and pairing in the mutant *rad9-1*, and we wish to determine whether this represents normal initiation of these processes followed by arrest, or completely abnormal chromosome behavior. We will increase our knowledge of the function of the *rad9* gene by creating mutants with a complete disruption of the gene, such that no *rad9* function is left in the cell, and by the characterization of the protein product of this gene. Additionally, we plan to raise antibodies to the Rad51 and Rad9 proteins, to aid in the exploration of the temporal- and tissue-specific patterns of expression of these gene products.

My major goal for the next several years is to link our work to the broader base of current knowledge about DNA repair and meiosis, in order to understand which aspects are universal. We will determine whether and how the genes we have identified by mutation interact with genes previously identified in other organisms, such as the well studied yeast *Saccharomyces cerevisiae*, and we will exploit the clear cytology and synchronous meiosis of *C. cinereus* in order to increase our understanding of the roles of evolutionarily conserved genes, initially identified in other organisms, in meiosis. In addition, our mutants provide a unique opportunity for the examination of functional correlations between nuclear events in meiosis and the cellular processes of spindle formation and spore development. The next several paragraphs will describe our approaches to making these connections.



First, the genomes of two other fungi, *S. cerevisiae* and *Schizosaccharomyces pombe*, are being completely sequenced. By comparing the sequence of the *C. cinereus rad9* gene to databases of DNA sequences from these organisms, we have found that the *rad9* gene have not been identified by the laboratories that study meiosis using these systems. We will construct a mutant of the *S. cerevisiae rad9* gene, and also study the expression of this gene during meiosis in that fungus, in order to determine whether the function of *rad9* has been conserved during evolution. This work will also allow us to use genetic tools to determine whether known DNA repair genes of *S. cerevisiae* function in the same pathways as *rad9*. Similarly, we will disrupt the *C. cinereus rad51* gene. This gene was first identified in *S. cerevisiae*, and the *C. cinereus* mutant we generate will enable us to determine how *rad51* function fits in with that of our characterized *C. cinereus* genes.

Second, we have initiated screens for genes whose products interact with our known *rad* genes. For example, a mutation in a gene encoding a protein which interacts directly with the Rad9 protein may suppress a *rad9* mutant phenotype. Conversely, such a mutation might be synergistic with a *rad9* mutation. So far, we have isolated a collection of mutants which fail to complement the meiotic defect of *rad9-1*. These are most likely defective at either the *rad9* locus itself or for another gene whose product works in conjunction with *rad9*. The characterization of these mutants (and others uncovered by similar screens) will allow us to connect the *rad* genes to other essential meiotic functions. Ultimately we hope to demonstrate biochemical interactions among *rad* gene products, and between these proteins and other gene products which are required for DNA repair and meiosis.

Third, we have begun an investigation of the mechanisms of coupling between the nuclear events of meiosis and structural aspects of the development of basidia, the meiotic cells of *C. cinereus*. Normally, the four haploid nuclear products of meiosis in *C. cinereus* migrate into spores which develop on top of the basidia. We have shown that the *rad* mutations lead to profound and interesting defects in spore formation (ms 4). Our finding that the majority of basidia do not form spores at all indicates that the normal initiation and formation of basidiospores are dependent on the successful completion of meiotic divisions. We find it interesting that in each mutant, basidia with an abnormal number of spores form them in an interesting, symmetrical pattern. These abnormal patterns of development likely reflect distinct perturbations in the underlying cellular events which normally lead to the production of four spores, placed in a box-like configuration on the basidial apex. By developing *in vitro* and *in vivo* assays for cytoskeletal proteins and the progression of spore development, we hope to understand the basis for the coupling of nuclear events with cellular features of meiotic progression and spore formation.

A fourth active area of research in our laboratory is the isolation of other *rad* genes identified in our screens. We have used chromosome walking to identify sequences tightly linked to *rad3*, *rad11* and *rad12*, and have constructed both phage and chromosome-specific cosmid libraries to facilitate the isolation of these genes. In addition, we have recently begun using insertional mutagenesis to simultaneously create and tag *rad* gene mutations; these mutations are generated by random insertion of plasmid sequences, which can then be recovered along with a portion of the genes they have disrupted. We have found that these mutants arise with the same frequency (0.2% of surviving cells) as *rad* mutants generated by chemical or radiation mutagenesis. Therefore, this approach is likely to greatly facilitate our cloning efforts.

#### **Chromosome-length polymorphism in *C. cinereus* and other fungi:**

Chromosomes of most fungi can be separated according to size using a method called pulsed field gel electrophoresis. A gel containing separated chromosomes can then be stained with a DNA-specific dye and examined. The pattern of chromosomes seen on a pulsed field gel is referred to as the electrophoretic karyotype of an organism. We and others have found that different strains of *C. cinereus* have strikingly different electrophoretic karyotypes, even though crosses between them are fertile, and that meiotic crosses produce progeny with new karyotypes (manuscript 3). We have exploited this observation and developed a new way to map genes, based on repeated crosses between a mutant strain and a normal strain. These crosses eventually lead to stabilization of the electrophoretic karyotype, and the appearance of a novel, marker chromosome, which contains the mutant genes (manuscripts 2 and 3), and which can be used as a probe for the normal chromosome in other strains. We then construct recombinant DNA libraries of these individual chromosomes and screen them for *rad* genes (manuscript 1). Thus, we can rapidly map any new gene to a chromosome and then screen

that specific chromosome for a molecular clone of the gene. Because chromosome-length polymorphism is nearly universal among fungi, our mapping technique can be applied to any system in which repeated crosses are feasible. In addition, studies of wild-collected fungi have shown that rearrangements of the karyotype are common and may be an important source of genetic variation in these organisms. This work is particularly important with regard to both plant and animal pathology; chromosome-length polymorphism has been well-documented for fungi which are major crop pathogens, and for some of the major human pathogens as well.

We have also investigated the mechanisms of formation and maintenance of these marker chromosomes (manuscript 3) and have learned that they are most likely formed by meiotic recombination. My expertise in the analysis of fungal electrophoretic karyotypes was recently recognized by my invitation to write a review on this subject for the prestigious review journal *Microbiological Review* (manuscript 6), and I have participated in several workshops and seminars on this topic.

### Personnel

I am currently directing the research of four Ph.D. students, one master's level research associate, and one excellent undergraduate. One student will finish her Ph.D. in September of this year (and will then start a postdoc at the University of British Columbia, in Vancouver, Canada), a second will finish in about a year, and the other two (both of whom are supported by NIH training grants) are just starting their second year in our Ph.D. program. In addition, three postdoctoral fellows will be joining my laboratory during the next year: Francois Lutzoni is a mycologist who will work in my lab for one year, starting in November of this year, before taking his own position at the Field Museum of Natural History, in Chicago; Martina Celerin has extensive experience in fungal molecular biology and biochemistry, and will be joining my laboratory for about three years, starting in January, 1996; and Sandra Merino, whose background is in the study of meiosis in *Neurospora crassa*, will also join my lab for about three years, beginning in April, 1996.

### Recognition

The growing prestige of my laboratory is supported by the following information:

1. My laboratory has had continuous funding, from the National Institutes of Health, since April 1, 1990. My first grant was also approved by the National Science Foundation, and these reviews are included in my tenure notebook, although I declined that grant. My current NIH renewal began April 1, 1995 and is approved for four years of funding; the direct costs for this year are \$111,066.
2. I have been invited to speak at three Gordon Conferences in the field of fungal biology, including the newly renamed Molecular and Cellular Mycology conference to be held next June. I have been an invited speaker at all three of the international meetings on the Molecular and Cellular Biology of Basidiomycetes (the most recent of which was held in June, 1995 in London, England). In addition, I have been both an invited speaker and an invited workshop organizer for the International Fungal Genetics conference.
3. I have been invited to give seminars on my laboratory's research at 13 different institutions since 1990. One of my upcoming post-docs, Dr. Francois Lutzoni, decided to join my laboratory after hearing my invited seminar at Duke University, his doctoral institution.
4. In 1993, I was elected to a six-year term on the Policy Committee of the Fungal Genetics Conference. This committee oversees the organization of the biennial meeting, which currently attracts nearly 600 scientists from around the world. Election to this committee is a strong reflection of my high regard with the fungal genetics community.
5. In 1994, I was elected to a three-year term as a council delegate for the American Association for the Advancement of Science.
6. My laboratory was among the first to perform high quality electrophoretic separations of fungal chromosomes, and to make chromosome-specific libraries. I have been asked by more than a dozen researchers for advice about these two issues, and am currently collaborating with Dr. Takashi Kamada, of Okayama University, Japan, on two such projects. Several letters of request or acknowledgement relating

to our expertise in these areas are included in my tenure notebook. I have provided chromosome plugs and/or advice, in some cases extensive, to scientists at: the University of Vermont; the United States Department of Agriculture; the University of California-Berkeley; Oxford University, England; Anheuser Busch; the University of Arizona; the University of Minnesota; Eli Lilly and Company; Cornell University; Okayama University, Japan; Hiroshima University, Japan; and the University of Michigan.

7. I have reviewed grants for both the National Science Foundation and the Department of Energy, and have reviewed manuscripts for the following journals: *Current Genetics*; *Genetics*; *Molecular and Cellular Biology*; *Molecular and General Genetics*; *Mycologia*; and *Plant Cell, Tissue and Organ Culture*.

#### **Publications from work at Indiana University**

1. Zolan, M.E., J.R. Crittenden, N.K. Heyler and L.C. Seitz. 1992. Efficient isolation and mapping of rad genes of the fungus *Coprinus cinereus* using chromosome-specific libraries. *Nucleic Acids Res.* 20: 3993-3999.
2. Zolan, M.E., N.K. Heyler and M.A. Ramesh. 1993. Gene mapping using marker chromosomes in *Coprinus cinereus*. In *Molecular Biology and Genetics of Industrial Microorganisms* (Washington: American Society for Microbiology), pp. 31-35.
3. Zolan, M.E., N.K. Heyler and N. Yeager Stassen. 1994. Inheritance of chromosome-length polymorphisms in *Coprinus cinereus*. *Genetics* 137: 87-94.
4. Valentine, G., Y.J. Wallace, F.R. Turner and M.E. Zolan. 1995. Genetic pathway analysis of radiation-sensitive, meiotic mutants of *Coprinus cinereus*. *Molec. Gen. Genet.* 247: 169-179.
5. Zolan, M.E., N.Y. Stassen, M.A. Ramesh, B.C. Lu and G. Valentine. 1995. Meiotic defects in gamma radiation-sensitive mutants of *Coprinus cinereus*. *Can. J. Bot.* 73: S226-S233.
6. Zolan, M.E. 1995. Chromosome-length polymorphism in fungi. *Microbiol. Rev.*, in press for the December issue.
7. Ramesh, M.A. and M.E. Zolan. Chromosome dynamics in *rad12* mutants of *Coprinus cinereus*. *Chromosoma*, in press.
8. Seitz, L.C., K. Tang, W.J. Cummings and M.E. Zolan. The *rad9* gene of *Coprinus cinereus* encodes a proline-rich protein required for meiotic chromosome condensation and synapsis. *Genetics*, in press.
9. Yeager Stassen, J., J. Logsdon, H. Offenberg and M.E. Zolan. Isolation and analysis of *RAD51* orthologs from *Coprinus cinereus* and *Lycopersicon esculentum*, and phylogenetic analysis of eukaryotic *recA* homologs. Submitted (to *Current Genetics*).

#### **Coauthors on the publications:**

As a junior faculty member with a young and small laboratory, I have been responsible for the intellectual direction of all of this research, for most of the experimental design, and for a substantial amount of the actual experimental work. In addition, I wrote all of the manuscripts except for numbers 7 and 9; these were written by my graduate students with my editorial assistance. With four exceptions to be discussed below, all of my coauthors were members of my own laboratory and were supervised closely by me. The coauthors from my laboratory have been: three graduate students, W.J. Cummings, M.A. Ramesh and N.Y. Stassen; three undergraduates, J.R. Crittenden, G. Valentine and Y.J. Wallace; and three technicians, N.K. Heyler, L.C. Seitz and K. Tang. Coauthors who did not work directly under my supervision were as follows: Dr. F. R. Turner, an expert electron microscopist who works with my research group as well as those of several other faculty members in the Department of Biology, worked with me on the spore formation studies described in manuscript 4. Mr. J. Logsdon, a graduate student in Dr. Jeffrey Palmer's laboratory in the Department of Biology, performed the phylogenetic analysis described in manuscript 9. Dr. H. Offenberg, of Agricultural University, Wageningen, The Netherlands, provided the tomato *RAD51* sequence reported in manuscript 9. Dr. B.C. Lu, of the University of Guelph, Guelph, Canada, visited my laboratory and taught me his technique for spreading meiotic chromosomes and is a coauthor on manuscript 5.

## **II. Teaching**

I believe that I am an effective teacher because I prepare and teach rigorous, well-structured courses and because I have the ability to develop a special rapport with my students in a wide range of teaching settings, from the one-on-one mentoring of graduate students to the large lecture format of an undergraduate course. In recognition of my teaching achievements and my interest in teaching, I was elected to the Faculty Colloquium on Excellence

in Teaching (FACET) in 1993. Other teaching awards have included recognition from the Biology Department in 1990, and the 1991 Senior Class Award for Teaching Excellence in Biology. In addition, I was the Biology Department's nominee for a Distinguished Teaching award in 1992 and 1993. The nomination materials for this award are compiled in a separate notebook and include my own extensive analysis of most of the courses I have developed at Indiana University. A brief description of my teaching activities is included here.

### **Undergraduate Teaching**

#### *Classroom teaching*

I have developed two different undergraduate courses here at Indiana University. The first, M485, is an advanced laboratory course in molecular genetics. I was completely responsible for the design of M485, which covers both classical and molecular genetic analysis, and emphasizes critical analysis and scientific writing. There are four aspects of M485 that I believe have contributed most strongly to its success.

First, the core of the class is a series of well-planned laboratory experiments, which illustrate principles of molecular genetics. Some of these experiments are completely my own design and others were adapted from successful laboratory courses taught elsewhere. The strains of microorganisms used in the laboratory experiments have been collected from research laboratories all over the country, and I maintain my own strain collection for the course.

Second, because the experiments in M485 are carefully designed, they yield interesting data, which become the basis for the second important aspect of the course, in-depth class discussions. I help students relate their data to published work and to their lecture course, and I constantly challenge them to design new hypotheses and ways to test them. I am pleased that, in most years, nearly all of the class participates in these discussions. Students frequently comment that they have never been challenged in this way before, that participating in the discussions enhances their ability to think critically about experiments, and that they are learning a tremendous amount.

Third, the first two important aspects of M485, the laboratory experiments and the class discussions, form the basis for what I see as the third important aspect of this course, which is its intensive writing component. Students write formal lab reports, in the style of a journal article. I treat their reports as though they were manuscripts to be submitted from my own research laboratory and I critique them accordingly. I then meet with each student in the class, and discuss the report. Students then revise the reports before they turn them in for a grade. Most students submit two or more drafts for critique before they submit a version for a grade, and I critique each draft. My students frequently comment that they have never had this experience in a course before, and the improvement in their writing is usually substantial.

The fourth and final aspect of M485 I would like to emphasize is that I schedule time to discuss each student's future plans with him or her. For many of my students, this discussion comes at a critical time, when they are deciding what career path they will take. I am pleased that I have helped several students choose graduate programs which are appropriate for them.

My second undergraduate course, L311, is our large genetics lecture course for majors, which I taught with Dr. Karen Muskavitch (1991) and Dr. Susan Strome (1992, 1993). A course in general genetics is what convinced me to major in biology in college, and my own research focuses on meiosis, the basis for eukaryotic genetics. Therefore, I particularly enjoy teaching this subject. In addition, I enjoy being part of the required courses for Biology majors. The first year I taught L311 I was, by various measures, an effective teacher. Several students commented that I was the best instructor they had had at Indiana University, and many praised my organization and clarity. However, I felt that several improvements could be made in the course. My evaluation was based partly on extensive conversations with students, partly on my student course evaluations, and partly on my own observations. As described in detail in my teaching notebook, I have tried several strategies with the goal of ensuring that students are both sufficiently challenged and sufficiently supported in their efforts in this class. I instituted lecture outlines, which the students filled in during class as worksheets; this approach took away the secretarial aspect of note-taking and allowed students to think about course material during the lecture and to ask questions. I held open houses at the beginning of the semester, during which students signed up for small learning groups, and met the course instructors and teaching assistants. I changed exams to evening hours, so

that students could be evaluated on their ability to apply genetics principles to data analysis and problem solving, without time constraints.

I think the greatest challenge in teaching a large lecture class is to give each student the same sense of accessibility and responsibility that are naturally and more easily achieved in a small class. Students must have access to one-on-one and small group discussions of course material, and they must understand their own responsibility as students, to make an honest effort to meet the goals of the course. During the first year that Dr. Strome and I instituted the above changes in L311, I think the students used their increased sense of accessibility to really push their understanding of the course. Students did well on their exams because they worked hard, throughout the semester. However, the following year some students took advantage of the structure of the course, especially the availability of outlines and teaching assistants, to skip class and delay their studying. An additional problem stemmed from the difficulty of teaching familiar concepts at a deeper level; since students had a cursory knowledge of some genetics principles, the beginning of the course felt like review, and so students did not always focus hard enough to really master the material. When I teach L311 again I will rearrange the course syllabus so that material covered at the beginning of the semester is more novel and therefore better captures the students' intellectual intensity at the outset. In addition, I will require the students to be more active participants in the class at the outset; for example, I might give a short exam after only two weeks of lectures, so that my expectations are clear at the outset.

#### *Independent Research*

My own inspiration for a career in science came from my participation in research as an undergraduate. Particularly for students involved in laboratory research for the first time, there are both scientific and social aspects of research which are very important. Students working in research labs learn that scientific facts are often changing, and that both fact and theory are only as good as the data that support them. Although we try as classroom instructors to show our students how science works as a process, and we try to teach them to analyze data and use them to test hypotheses, it is laboratory research that teaches them what constitutes usable data in the first place. Thirteen undergraduates have participated in research so far in my laboratory at Indiana University. They have all worked on projects that are central to the lab's focus, and have participated in all aspects of research, from the making of media and solutions, to experimental design and execution, to data analysis and interpretation. Of particular importance to this process are the grant proposals that most of these students have written for every semester they are involved in research. I have set high standard for these grant proposals, and have spent many hours working with my research students on their science writing.

#### **Graduate Teaching**

##### *Classroom teaching*

In both 1993 and 1994 I taught one-third of L521, a graduate lecture course in eukaryotic genetics. In 1990 I taught a shorter (two week) segment of the same course. This class is completely literature-based, and my portion provided an introduction to fungal genetics and the fungal genome, a discussion of current issues in meiosis, and an in-depth study of recombination models. I described how genetic data were used to generate models for recombination, discussed predictions of the models, and then discussed genetic experiments that tested various predictions of these models. I found that the first year I taught the course I could not adequately anticipate areas of confusion; in addition, I committed the common error of attempting to cram too much information into the course. During the second year, I believe I was more effective at eliciting student questions and discussion of the material; students frequently stayed after class to continue discussions, and I found that several were able to make creative connections among different segments of the course.

I have also participated in student seminars in two different ways. During the 1990-1991 academic year, I led the graduate genetics seminar, as described in my teaching notebook. During the 1993-1994 year, I helped students prepare for department journal presentations. In both cases, I tried to emphasize both the craft of constructing a clear, organized seminar, and the process of critique of scientific data.

##### *Independent research*

For both my predoctoral and postdoctoral research, I was fortunate to have advisors who provided positive, effective models for how to run a research laboratory. In both cases, and in my own laboratory, all members of

the lab are treated as scientific colleagues, and everyone is encouraged to bring an independent focus to his or her own research. I do spend a lot of time with all of my students, and consider myself a hands-on type of advisor, because I perform laboratory experiments myself, and because I am often involved in the day-to-day process of designing and carrying out experiments. We have weekly laboratory group meetings, and periodically these are devoted to discussions of current literature. I provide my students with subscriptions to journals and to online journal services, in order to facilitate their use of the scientific literature. I am pleased that my lab is now burgeoning, and that creative and intensive discussions of research have become a common and treasured part of the laboratory atmosphere. I consider that an important part of my role is to provide consistent, critical feedback of students' ideas and to be a resource for furthering their independent pursuit of scientific questions. I have been fortunate in being able to provide a well-funded laboratory, and I take great pleasure in participating intellectually in the research of my own students, and in the research of students in other laboratories who have chosen me as a member of their doctoral committees.

### **III. Service**

Not surprisingly, given my interest and expertise in teaching, I have focused on teaching-related service, from individual conferences with high school students to FACET policy discussions. I have been a member of our department's undergraduate research committee, which reviews student research proposals, since its inception in 1989. I have spoken at Red Carpet Day for prospective undergraduate students, served as an advisor for a summer research opportunity student, and participated in an honors division theme discussion dinner. I also enjoy service on our departmental honors and awards committee and am intensively involved in student placement; in 1993, for example, I wrote recommendation letters for more than 60 different undergraduate students. In addition, I serve or have served on ten doctoral and four master's thesis committees for students in laboratories other than my own. Thus, at the departmental, college, and university levels, as listed in my C.V., I have participated extensively in student-oriented service.

I have also served on several major Departmental committees. During my first year at Indiana University, I was completely in charge of our graduate student recruiting weekend. This involved supervising and working with a team of graduate students to organize a one-day scientific program of talks and poster, arrange for housing, airport transportation and meals, and plan a dance party. That year, I also housed prospective students at my home, and instituted a welcoming pot-luck dinner, which I hosted at my house that year and the next two years, and which has become a regular part of the program. I have served as a file reader for the graduate admissions committee for three years, and on two faculty search committees.

My professional service, which includes careful reviews of grants and manuscripts, and service on national and international committees, was mentioned previously as part of my research statement, as my inclusion as a reviewer and my election as a delegate to these committees is both a service to the scientific community and an honor to me.

Finally, I find that I am often sought by both undergraduate and graduate students as an advisor, in large and small matters pertaining to their careers. As mentioned in my discussion of M485, I consider discussions of my students' career goals to be part of my responsibility to the advanced students who take that course. I have also helped students from L311 find research opportunities appropriate to their interests, and given them information about careers in Genetics. This last type of service may be very informal, but I believe that my accessibility to students in this capacity is an important part of my position as a faculty member at this university, and I take this role seriously.

## SECTION V-C BIOGRAPHICAL SKETCHES FOR SELECTED TENURED AND PROMOTED FACULTY



The Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties compiled biographical sketches for the faculty and librarians who received tenure or were promoted in 1998. The achievements of three such individuals are cited below as examples of academic excellence. Permission to use the sketches in this guidebook was provided by the persons whose sketches appear below.

***Tenured  
and  
Promoted  
to  
Rank of  
Associate  
Professor***

*Marc A. Rodwin, School of Public and Environmental Affairs*

Professor Rodwin holds a Ph.D. from Brandeis University in health and social welfare policy, a J.D. from the University of Virginia Law School, a B.A./M.A. from Oxford University in philosophy, politics and economics, and a B.A. from Brown University in analytical method and policy. He is author of *Medicine, Money and Morals: Physicians' Conflicts of Interest* (Oxford University Press, 1993) and has published widely in law, medicine, and policy journals and markets in the health and environmental fields. Among the journals in which he has published are the *New England Journal of Medicine*, *Journal of Health Politics, Policy and Law*, *Milbank Quarterly*, *American Journal of Law and Medicine*, *Environmental Impact Assessment Review*, *Ethics and Behavior*, *Widener Topics in Law*, and *Houston Law Review*. His writing has led to his being asked to testify before Congress and state legislatures, to serve on government commissions and advisory boards, and to speak at professional societies and meetings. Professor Rodwin's current research, funded by a Robert Wood Johnson Foundation Investigator Award, explores different approaches to promoting accountable health care, particularly in managed care organizations. Prior to joining Indiana University Professor Rodwin taught at Tufts and Brandeis universities. He also practiced law and was a consultant. Among his clients as a consultant were Blue Cross and Blue Shield-Massachusetts, the World Wildlife Fund, the National Health Policy Forum, and several law firms and consulting groups.

***Promoted  
to  
Rank of  
Professor***

*Bernice A. Pescosolido, Sociology*

Professor Pescosolido is a Chancellors' Professor of Sociology and director of the NIMH-funded Indiana Consortium for Mental Health Services Research. Along with Brian Powell, she directs the Preparing Future Faculty Program for the sociology department and serves on the executive committee of the Future Faculty Teaching Fellowship Program. As a member of Indiana University's FACET (Faculty Colloquium for Excellence in Teaching), she is a member of the steering committee, organized one of its yearly retreats, and has chaired the statewide selection committee for the last five years. At the national level, she is on the editorial board of *Teaching Sociology* and has presented teaching or training workshops for a number of conferences, including the American Sociological Association, the National Institutes of Health, and the National TA Conference. Specific teaching interests include rethinking graduate education, cross-disciplinary training for those in the medical and social sciences, the use of media in teaching, and ethical issues in teaching and training. She has published articles on these issues and won a number of teaching awards, including IU's Herman F. Leiber Award for Distinguished Teaching and the Department of Sociology's Edwin H. Sutherland Teaching Award.

***Promoted  
to  
Rank of  
Clinical  
Associate  
Professor***

*Richard E. Meetz, Optometry*

Dr. Richard Meetz received the doctor of optometry degree from the Indiana University School of Optometry in 1975 and a master of science in clinical research design and statistical analysis from the School of Public Health at the University of Michigan in 1988. He has been with Indiana University since 1976. For 20 years he served as the director of Screening and Evaluative Services, where he directed the School of Optometry's mobile clinics in a statewide program bringing eye care to thousands of children each year who otherwise would not receive any. During those years he has testified before the state legislature, advised revisions in the school health laws, and wrote the procedure manual for vision testing of children for Indiana public schools. In addition, he has served for the last eight years as a senior examiner for the National Board of Examiners in Optometry. Dr. Meetz presently teaches the beginning clinical methods laboratory courses to the first- and second-year optometry students and epidemiology and the courses on physical assessment and medicine to the third-year optometry interns.



## **SECTION V-D INDIANA UNIVERSITY PROMOTION AND TENURE RESOURCES**



### **V-D1 Office of the Vice Chancellor for Academic Affairs and Dean of the Faculties**

#### ***V-D1.1 Publications***

- *Academic Handbook*
- *Bloomington Academic Guide*
- *Evaluation of Teaching Handbook*
- *Tenure and Promotion Handbook*

#### ***V-D1.2 Other Resources***

- Faculty/School consultation
- Sample candidate's statements on research, teaching, and service
- Tenure and Promotion Workshops

### **V-D2 School of Optometry**

#### ***V-D2.1 Publications***

- *School of Optometry Bulletin*

#### ***V-D2.2 Academic Policies***

- Academic Fairness Committee
- Academic Regulations (Grades)
- Composition and Duties of the Standing Tenure and Promotions Committee
- Criteria for Tenure and Promotion
- Faculty Load Expectations
- Guidelines for Appointment and Promotion of Clinical Rank Faculty
- Guidelines for the Recruitment of Faculty Addendum: Recruitment Procedures
- Lectureships, Clinical Ranks and Conversion to Tenure Track Positions
- Requests for Transfer Credit
- Timetable for Submission and Transmission of Promotion Dossier
- Timetable for Submission and Transmission of Tenure Dossier

**NOTES**