

PROPOSAL—Balanced Case Revision and Reorganization  
Guidelines for Promotion and Tenure

**Background:** During 2020-2021, the IFC approved a new type of balanced case for tenure-track faculty, with three distinctive new features:

- A focus on diversity, equity, and inclusion: an existing IUPUI value.
- An integrative/holistic appraisal of candidate work, with items and achievements not separately and exclusively assigned to one category or another.
- Valuing non-dissemination work—“local” rather than solely scholarly; making a difference directly for individuals and communities, rather than indirectly through publications.

In fall of 2021, corresponding case types for clinical and lecturer faculty were developed.

Continuing to work within IU policy language allowing faculty to present “balanced strengths... of equal value to the university,” and taking into account the desired changes to the definition and evaluation of ‘service,’ the following are proposed:

No change, but clarification to be added where needed, throughout the Guidelines:

- All faculty must demonstrate that they have addressed all areas of responsibility for their particular faculty type at a satisfactory level, no matter what area of excellence or type of case they present.
  - A satisfactory level of research always includes some form of academic-peer-reviewed dissemination.
  - Satisfactory levels of teaching always include student input, peer input, and reflection on continual growth as a teacher.
  - Satisfactory levels of service always include normal participation in department and school duties.

Update:

- Grouping of case types:
  - Single area of excellence (research/creative activity, teaching, or service.)
  - Balanced:
    - Integrative-DEI
    - Integrative (generic)
    - Binned

All balanced cases present an argument for **excellence**, appraised cumulatively and holistically.

**Change:**

**Change the current Balanced-Binned-Highly Satisfactory case:**

- Allow for a greater range of activities to be considered service (see other proposal).
- Each of the three areas must be “highly satisfactory,” but, for service, “highly satisfactory” need not involve peer-reviewed dissemination.

- The three areas may be presented as relatively separate endeavors or groups of endeavors; the candidate need not present a single unifying theme, unless they or their school so determines.

**Add a Balanced Integrative (non-specified) case:**

- Candidate would present their most important activities and accomplishments as unified.
  - Individual items need not be exclusively identified as being solely teaching or research or service.
    - Clinical and lecturer faculty will explicitly connect items to a combination of teaching and service, or to teaching (lecturer).
  - Unifying themes or values are those which advance IUPUI, university, school, or program goals. Examples include but are not limited to community engagement or translational research.
  - **Diversity Equity and Inclusion** is a specific pathway within this case type.
- The overall record needs to be overall and cumulatively excellent, with distinct evidence of impact and quality. Activities which have local (non-disseminated) impact are to be valued in the overall record.
- For promotion to full rank, excellence should be sustained over time and recognized nationally.
- Balanced Integrative cases will use an integrative CV (as approved for the Balanced DEI case type), without separations of items into research/creative activity, teaching, and service, but with markings that may signal special emphases. *Balanced-binned and single-area-of-excellence cases, will continue to use the current IUPUI P&T CV format.*

*Please note: these cases must have the label of “balanced” in order to be consistent with IU policy language.*

**EXACT GUIDELINE LANGUAGE CHANGES:**

New language is in blue; deleted language has strike-throughs; red highlights exact spots of changes.

*The IFC is asked to endorse the concept of the change listed above. There may be further wording and formatting changes in the Guidelines once all proposals have been reviewed.*

In section, Tenure Track Criteria (case types.). *The Balanced-Integrative Case was not edited at all (it will show in black)—the whole section is included here for clarity and context.*

**EDIT-Balanced**

At IUPUI, candidates may present a single-area-of-excellence or a balanced case for promotion or tenure. In all balanced cases, the candidate must demonstrate at least satisfactory performance in the areas of responsibility that pertain to their faculty types. The sum total of all of their accomplishments across all areas (“balanced strengths”) adds up to an excellence that is “of comparable benefit to the university” as a single-area case ([ACA-38](#).)

An individual faculty member's career and accomplishments may be more or less integrated across teaching, research and service. Those who primarily see themselves as experts or focused on one of these should choose the single-area case type.

The balanced type of case includes each of these:

Balanced-binned: accomplishments distributed among areas, but not necessarily integrated among themselves.

Balanced-Integrative Diversity, Equity, and Inclusion: an integration among accomplishments and an overall philosophy and achievement towards DEI.

Balanced-Integrative: an integration among accomplishments according to a specified philosophy or focus.

Top-level expectations for all balanced cases<sup>1</sup>:

The candidate demonstrates excellence across an array of activities: "In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university." (ACA-38 Faculty and Librarian Promotions)

To associate: Candidate will have led or been an essential part of endeavors with distinct and local outcomes. National or international dissemination is also expected as a reflection of the quality of work.

To full: The candidate will have sustained accomplishments and have achieved a national or international reputation through their work.

### Balanced-binned case

In this case type, the candidate's activities and accomplishments are *not* concentrated in one area, but are distributed among all three, although not necessarily to the same degree in each. The candidate must demonstrate that their work constitutes clearly more than satisfactory accomplishment in at least two of the three areas, with convincing evidence of significant peer-evaluated impact and quality. Not all candidates would have all example items in each area as listed. Cases would be expected to show a greater number and quality in at least two of the areas. Candidates must clearly identify their signature accomplishments and areas of emphasis.

#### ~~Balanced case binned highly satisfactory tenure-track~~

- In this type of case, all activities are labelled and discussed as belonging to one of research, teaching, or service ("binned.")
- ~~In the area of research, Balanced case highly satisfactory research tenure-track~~
  - The candidate's work has attracted favorable **academic** peer review and commentary notes promise. ~~Some level of national~~ **Significant** peer-reviewed dissemination of scholarship is required.
  - Successful grant and external support have been obtained [as appropriate for scholarship and departmental expectations] and continuing efforts and promise are documented.
  - ~~Regular local and external peer review; regular and significant local dissemination of good practice and dissemination has occurred. [redundant]~~

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<sup>1</sup> Adapted from the approved Integrative DEI case

In the area of teaching, ~~Balanced case highly satisfactory teaching tenure track evidence of accomplishment that is clearly beyond satisfactory can include:~~

- Quantitative and qualitative information on teaching and learning outcomes that make the case for **extraordinarily** effective and innovative instruction.
- Nature of course or curricular development clearly reflects an informed knowledge base, clear instructional goals, and assessment of the outcomes.
- **Where applicable**, mentoring and advising **document** important impact and student achievement ~~documented~~.
- Scholarly activities **demonstrate**, ~~including awards:~~
  - Evidence of regular and significant local/regional/**national** peer reviewed dissemination contributing to pedagogy in the discipline or profession. ~~of good practice. Recognition of high quality of teaching.~~
  - Grants, ~~or~~ awards at the department, ~~or~~ campus **or national** level. ~~[Candidates need not have awards, but all balanced binned cases must have peer reviewed dissemination.]~~
  - **Work with national or international bodies on standards, protocols, assessment, accreditation, etc., oriented towards university teaching, may be placed here or in Service.**
- Professional development efforts in teaching:
  - High level of activity in examining practice, seeking new ideas, obtaining feedback, and engaging in dialogue on teaching with campus or disciplinary peers.
  - Indications of substantial positive impact on colleagues. Positive peer assessment of these teaching experiments.
- In the area of service, ~~Balanced case highly satisfactory service tenure track some of these would be evident:~~
  - University (**campus, school, unit**) service:
    - Accompanied by independent testimony of value of work (e.g., letter from the committee chair; acceptance by Faculty Council) “wrote a policy that was approved by committee” “not required or expected.”
    - Played a major role in initiative over a period of time that contributed to campus or unit goals, with independent evidence of significance, role, impact, and effective communication to others.
  - Service to discipline:
    - Accompanied by independent evidence of success, impact (e.g., ratings by participants); “organized a workshop series for conference that was successfully offered”;

- Played a major role in an initiative over a period of time that contributed to discipline’s goals or organization’s mission, with independent evidence of significance, impact, role, and effective communication to others.
- Some level of national peer-reviewed dissemination of scholarship is required.
- Service to community organizations, [governmental bodies](#), etc.:
  - Accompanied by independent evidence of impact. “chaired a committee of a board that accomplished X, Y, and Z”; “played a leadership role in developing the capacity of a community-based organization.”
  - Played a major role in an initiative over a period of time that contributed to community goals, with independent evidence of the significance, role, impact, and effective communication to others.

#### Balanced-Integrative Case-Diversity, Equity, and Inclusion-Tenure-Track

- Top level expectation: The candidate demonstrates excellence across an array of integrated scholarly activities aligned with diversity, equity, and inclusion, consistent with IU policy on balanced cases: “In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university.” (ACA-38 Faculty and Librarian Promotions)
  - To associate: Candidate will have led or been an essential part of endeavors with distinct and demonstrable local outcomes. Local refers to either or both of campus/university and local community. National or international dissemination is also expected as a reflection of the quality of work.
  - To full: The candidate will be seen as a local leader and will also have achieved a national or international reputation through their work.
- Integrative Excellence in Diversity, Equity, and Inclusion: The following should be evident, using multiple sources of information.
  - Diversity, equity, and inclusion: The candidate articulates a philosophy<sup>2</sup> of diversity, equity, and inclusion, including if appropriate any specifically targeted aspect.
  - Integrated activity: The candidate has interrelated activities and accomplishments as an IUPUI faculty member in teaching, research, and service which demonstrably support and advance diversity, equity, and inclusion.
  - Independence, innovation, and initiative: The candidate articulates their personal role as an essential and generative actor within diversity initiatives. Interdependence and teamwork are valued as well as contributions to group achievements; the candidates need to describe their own roles and responsibilities.

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<sup>2</sup> Similar to the requirement for a teaching philosophy in teaching excellence cases (which is incorporated into the candidate statement or presented separately.)

- Scholarly<sup>3</sup> impact: Often but not exclusively facilitated by peer-reviewed dissemination<sup>4</sup>; a variety of venues for dissemination are accepted.
- Local impact: Effective evaluation of diversity, equity, and inclusion initiatives should demonstrate distinct outcomes. Tying to unit (program, department, school, campus, or university) missions strengthens the importance of the impact (e.g., contributing to a local community's using professional expertise, recruiting diverse students to undergraduate or graduate programs, diversifying curricula, etc.).
- Increasing development over time. A candidate's statement should describe plans for the future.

### Balanced-Integrative Case-Tenure Track

In this case type, the candidate's activities and accomplishments are interrelated, usually around some theme or philosophy. Individual items need not be labelled or separated as belonging exclusively to teaching, research, or service. However, the candidate should demonstrate how teaching, research, and service are expressed by the items: for example, a particular grant may have both teaching and research aspects or a publication may advance disciplinary knowledge (research) and but also be a result of collaboration with practitioners (service). Candidates will state their integrative philosophy and show how their most important accomplishments demonstrate peer-evaluated impact and quality.

- IUPUI P&T Guidelines (section I above, "Institutional Values") name five areas with "should have that work acknowledged and rewarded in the review process":
  - Diversity, Equity, and Inclusion (see Balanced-Integrative-DEI case above)
  - Civic Engagement
  - Teaching: Profiles of Learning for Undergraduate Success, RISE to the IUPUI Challenge/Experiential Learning, University College.

Balanced-Integrative cases may address one of these values as their philosophy, but this list is not exhaustive. The strongest cases will be tied to unit missions and goals.

Balanced Integrative cases will demonstrate that the candidate possesses these characteristics:

- Evidence of at least satisfactory performance in teaching, research/creative activity, and service.
- A clearly articulated philosophy of the interrelatedness of their activities across teaching, research/creative activity, and service.

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<sup>3</sup> In the current guidelines, in the Service area, this is phrased as, the work is *academic in nature*. This is described as "characterized by "command and application of relevant knowledge, skills, and technological expertise; contribution to a body of knowledge; imagination, creativity, and innovation; application of ethical standards; achievement of intentional outcomes; and evidence of impact."

<sup>4</sup> Peer-reviewed dissemination is the standard language already used in the IUPUI guidelines, broad enough to cover the wide range of research and creative activities pursued by IUPUI faculty across all schools.

- Independence, innovation, and initiative: The candidate articulates their personal role as an essential and generative actor within diversity initiatives. Interdependence and teamwork are valued as well as contributions to group achievements; the candidates need to describe their own roles and responsibilities.
- Scholarly and local impact and demonstrated quality. Academic peer review is required as a component of assessing scholarly (research, creative activity) impact; professional or academic peer review as well as other indicators would support assessments of teaching- and service- oriented activities.
- A cumulative record that supports an argument for overall excellent contribution to the unit and university.

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In section, Clinical Faculty (introduction):

- Clinical faculty may choose:
  - Excellent in service and satisfactory in teaching
  - Excellent in teaching and satisfactory in service
  - A balanced case, highly satisfactory in service and teaching
  - **EDIT-Proposal DEI NTT** A balanced case, with integrative activities supporting diversity, equity, and inclusion.

[NOTE: THE DEI NTT CLINICAL PROPOSAL IS NOT YET INCORPORATED AND IS NOT INCLUDED HERE. IT WILL BE INCLUDED IF PASSED BY IFC.]

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In section, Clinical Faculty Balanced Case

**EDIT-Balanced** Balanced service and teaching-clinical

- Clinical faculty may present accomplishments and activities which are “highly satisfactory” and achieve the same benefit to the university as excellence in one and satisfactory in another. **EDIT Peer review:** It is understood that **academic or professional** peer-reviewed scholarship is **required to demonstrate overall excellence** ~~for achieving a highly satisfactory rating in each area of performance~~ in a balanced case. (Language adapted from IU policy on balanced cases.)
- **Accomplishments and activities may be highly integrated across teaching and service or may be more separate. The cumulative effect of all activities would reach the level of overall excellence as a clinical faculty member.**

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In the section, CV

- **EDIT-Balanced.** Except in the **Balanced-Integrative Case types**, candidates must determine and list each grant, presentation, and publication under one appropriate category: teaching, research, service as appropriate for their appointment.

- **EDIT-Balanced.** In the **Balanced-Integrative Case** types, items are organized in the following categories. No item can be listed more than once; indicators such as T, R, or S or a combination may be used to signal the main goals of each item.

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In the section, Dossier Folders

**Edit: Balanced**

### **Main Section: Integrative Excellence: **Balanced-Integrative** and **Balanced-Integrative-DEI Case**<sup>5</sup>**

- In a **Balanced-Binned Case**, use the folders as described in previous sections.
- In **Balanced-Integrative cases**, combine the following into two PDFs: main section (deposited in the **Research folder**) and appendices. Each should have a table of contents indicating the sections. Upload the main section into the first folder in **Research** and the appendices into the first folder in **Appendices-Research**.
- Provide substantiation of the statements in the candidate statement including:

Dossier Folder Checklist. [further edits only entail removing “DEI” as a qualifier, to encompass other integrative cases.]

- ✓ Include in candidate statement, with additional details here if needed:
  - For the **DEI case**: Diversity, Equity, and Inclusion Philosophy (unless included in a 7-page Candidate Statement). The case for excellence is grounded in a sophisticated diversity, equity, and inclusion philosophy. The candidate may highlight aspects of DEI that are a particular focus of their work.
- ✓ Description of teaching, research/creative activity, and service/load expectations throughout time in rank.
  - Includes, as applicable, teaching responsibilities including number of sections and courses per semester or year, assigned mentoring or advising loads, percent of time allocated to research/creative activity (whether funded or not), and any administrative responsibilities. Service on committees should be briefly summarized—do not simply copy the CV listings.
- ✓ Discussion of three to five most significant accomplishments
  - “Accomplishments” is inclusive of local, regional, national, or international work. Make evident the intentionality between and among efforts. Initiatives may be at various stages of development at the time of promotion or tenure. Activities may span teaching, research, service, and administration. Do not repeat lists, but identify select key, signature activities.
- ✓ Evidence of quality and impact of ~~DEI~~ activities

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<sup>5</sup> Until the eDossier folder structure can be changed, the “Research” folder is arbitrarily designated to hold these materials.

- Quality indicators include but are not limited to traditional metrics such as publication and consequent citations; receipt of internal or external funding; competitive or invited presentations.
- Qualitative and quantitative input from local constituencies is an essential element of demonstrating impact.
- Other evidence includes program evaluation reporting generated for funders and other organizations; awards; descriptions of policy or other changes made as a result of efforts.
- ✓ Documentation of individual contributions to collaborative work
  - The candidate must provide a clear explanation of their own role within collaborative work. Confirmation from co-workers is essential for at least the signature activities.
  - The candidate's role must be unique and essential to the success of the endeavor.
- ✓ Teaching evidence: Summaries of student evaluations, peer evaluations, professional development, and reflection on teaching responsibilities
  - The candidate is expected to engage in regular efforts to obtain and use feedback from learners and peers in order to continually improve their teaching. Numerical comparisons are neither required nor advised. Candidates may include direct measures of learning here or may include it within the evidence of impact or the signature activities section.
- ✓ ~~DEI~~ Recognition: Grants, Awards, Honors, Fellowships
  - The candidate should describe and provide contexts for all awards, so that readers understand the scope and the audience of those awarding the recognition, especially since these may not be obvious to all readers.
- ✓ Plans for future work
  - A brief plan of action is included in the candidate statement. In this section, provide additional detail and description.
- ✓ Appendix: ~~DEI~~
  - *Raw materials, copies of publications, letters, and other materials not included in the regular 50-page limit.*