# Guideline for Academic Promotion in School of Health Sciences

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Introduction

The members of the Primary Committee on Faculty Promotion in the School of Health Sciences recognize the need and utility of providing individual faculty with a guideline to assist in preparation of promotion documents. This guideline is intended to interpret the University criteria for tenure and promotion taking into consideration the College’s policy as they apply to the unique mission and character of the School of Health Sciences.

It is important to recognize that promotion/tenure review is a peer-review process and therefore interpretation of standards and documentation requirements may change for a unit based on the composition and views of the faculty. Although changes in the process, standards and associated documentation typically occur slowly, they do occur regularly. In view of this, the faculty recognizes that this Guideline must be a living document reflecting change as it occurs. Therefore, constructive suggestions are needed and should be provided to the Head of the School for consideration in an appropriate time frame. The first version of this document was passed in 2007 and revised in 2009. The current document is the third revision.

The School of Health Sciences recognizes the General Criteria for Promotion set forth by the Office of the Provost, which states that “the tasks of University faculty members are to acquire, discover, appraise, and disseminate knowledge. They should communicate this knowledge and the manner of its acquisition or discovery to their immediate community of students and scholars, to their profession, and to society at large. Service to the institution, the community, the state, the nation constitutes an important mission of University faculty members. As an institution of higher education with a commitment to excellence and a diversity of missions, Purdue University values creative endeavor, research, and scholarship; teaching and learning in its many forms; and engagement in its many forms, including extension and outreach for example. To be considered for promotion, a faculty member should have demonstrated excellence in at least one of these areas. Ordinarily, strength should be manifest in more than one of these areas.”

School of Health Sciences faculty endorses the University’s mission of discovery, teaching, and engagement and also recognize the unique mission of the School. That mission is based upon the School’s commitment to the signature areas of research, quality undergraduate and graduate learning, and dedicated services to local and national concerns associated with human health.

This Guideline does not attempt to be nor is it suitable as the mandatory criteria for promotion and tenure. A faculty member may be particularly outstanding in one area for which his/her promotion/tenure is considered. Thus, the document provides a guide for faculty in documenting their achievements in the specialty areas they perform exceptionally well. In a broader sense, it serves the purpose of guiding faculty seeking to set goals, and to design their career plans, professional development, and activities in concert with the norm of expectations for a successful faculty at Purdue University and within the School of Health Sciences.

The Guideline for promotion to each rank is specified in Section A. Specific requirements for this School are then itemized. Section B provides a general guideline for preparation of the promotion package. Finally, the University Promotion Policy and College of Health and Human Sciences Promotion Policy are attached in Section D.
Section A. Materials Required for Consideration of Promotion

A successful candidate for promotion to Associate Professor should have “a significant record of accomplishment as a faculty member and show promise of continued professional growth and recognition.” Academic tenure is acquired on promotion to this rank. Materials provided in support of the nomination should clearly identify the major contributions of the nominee and avoid an exhaustive cataloging of activities.

A successful candidate for promotion to Full Professor should be recognized as “an authority in his/her fields of specialization by external colleagues -- national and international as may be appropriate in his/her academic disciplines -- and be valued for his/her intramural contributions as faculty members”.

A1. Research and Scholarship Achievements

(1) Each candidate for promotion should have the opportunity to document his/her contributions as a scholar. This should include peer-reviewed and non-peer reviewed publications, scholarly presentations, and intellectual property development. Candidates should provide some measure of journal ranking or impact factor for each publication published during the period in rank.

(2) Each candidate should submit a listing of extramural funding obtained in support of their scholarly endeavors using the format outlined in Form 36 (see below). The extramural funding facilitates the conduct of research; the record helps to demonstrate continuity, impact, recognition, and intellectual independence. Consequently the candidate’s history record of external funding will be looked at closely when considering promotion to either rank.

(3) Where the candidate for promotion is not the corresponding author in publications or principal investigator in grants, the contribution of the candidate to the work should be briefly described.

Specific accomplishments for consideration for promotion by the School:

1. Candidate’s own statement of contributions to research
   • The candidate should state clearly, ideally itemize, the major achievements and innovative technologies he/she has made prior to this promotion.
   • For the candidate to be promoted to the Full Professor rank, the statement should include, in addition to the above, the novel conceptual breakthrough he/she has made prior to this promotion.

2. Current research programs
   • The candidate should describe concisely the goals of the current funded research programs and the significance of these on-going programs with regard to health sciences research and discoveries.

3. Grants and contracts
   • The candidate should list all active extramural support according to Form 36 guidelines, including agency or source, title of the project, duration of funding (dates),
total amount of award, role of the candidate, and if Co-Principal Investigator (Co-PI) or Co-Investigator (Co-I), the costs for which the candidate is directly responsible. The candidate should also list pending grants that have been submitted to the funding agencies for review. A complete list of past funded research projects is required to reflect the track record of the candidate in his/her research field. All gathered information should be incorporated into the form designed and provided by the Provost Office.

- If a lack of funding exists, the candidate should supply a list of all extramural funds for which he/she applied in the past five years. This list should include the agency or source, title of the project, brief description of the proposal, direct costs associated with the candidate, the candidate’s role, proposed dates of funding, and if available, agency reviews of the proposal and ranking should be appended.
- To be promoted to either rank, the candidate should have at least one active extramural award funded at the time of promotion, taking into account the candidate’s funding history. To be promoted to Full Professor, the programmatic multi-year extramural awards should be held. The candidate’s record of funding should demonstrate the continuity and sustainability in a programmatic area.

4. New research programs in development
   - The candidate should provide a list of new initiatives that are under development and may represent a new direction of his/her research leading to funding opportunities.

5. Publications
   - Respecting the diversity in publishing practices in different research fields in the School of Health Sciences, the publication record is to be judged not merely by numbers of publications, but also by their quality and significance to the candidate’s field of research.
   - The candidate should publish at least 3 peer-reviewed publications each year, or less than 3 but in high impact journals, prior to promotion. The candidate for Full Professor should show the continuity of a strong publication record, at least 3-4 peer-reviewed publications per year in high impact journals, since the candidate’s promotion to the associate professor rank.
   - While quoting the Scientific Citation Index of each paper is not mandatory, publications in high impact journals covering the candidate’s own research field is expected. Candidates are encouraged to provide information for evaluating the quality of the journals in which their work is published. This may include impact factors (relative to other publications in the field), rejection rates, editorial board membership, and overall ranking of the journal in the field. This information will be combined with the judgments of outside reviewers in evaluating the quality of the candidate’s research scholarship. The candidate should supply copies of 4 such publications that best represent the candidate’s research and its significance.
   - The publication record should be broken down to the following categories: full-length peer-review articles, invited peer-reviewed review articles, peer-reviewed books and book chapters, refereed conference or symposium proceedings, short communications, abstracts, and technical reports.
• Unpublished manuscripts submitted for publication should clearly be labeled as “in press”, i.e., accepted for publication.
• Candidates are encouraged to include a section of what work they have planned or anticipated beyond what is published.

6. Patents, technology transfer and engagement with industry
• Patents and technology transfer are considered positively as a practical outcome of faculty creative activities. The candidate should provide his/her own statement on their contributions to any technology transfer or awarded patent(s) prior to promotion review, any licensing agreements, or technical advance including commercial software package development. The candidate is encouraged to provide evidence of his/her active industry interactions which have led or may lead to the extramurally funded research activity.

7. Interdisciplinary research efforts
• The candidate should describe his/her collaborative interdisciplinary research efforts. This includes collaborative or interdisciplinary publications and applications for extramural funds.

8. International collaborations
• The candidate should provide a list of his/her international collaboration activity.

9. Honors and awards
• Candidates should provide evidence of major awards and honors they received, and national and international scholarly recognition including invited lectures and conference speeches, and service to any one of the nation’s recognized scientific organizations and similarly international ones. List or explain the important contributions made to each organization. This may include serving as a Section Chair at national and international conferences or other recognition by peers.
• Candidates for promotion to Associate Professor are required to be “nationally recognized”. Candidate promoted to Full Professor are required to be both “nationally” and “internationally” recognized.

A2. Teaching and Learning
(1) Candidates for promotion should have the opportunity to document in writing their contributions to student learning. This can include (but not necessarily be limited to) new courses developed, innovative approaches to teaching, and contributions to teaching scholarship. Where appropriate, contributions to teaching scholarship should be evaluated by outside referees in the same manner described for Research and Scholarship in the last section. “Teaching” includes both graduate and undergraduate teaching and teaching in the broadest sense, which includes graduate student mentoring, academic advising, clinical teaching, etc.

(2) Each candidate should provide a listing of courses taught by semester that includes course number, course name, number of contact hours provided by the candidate, coordinator responsibilities, and number of students enrolled.
(3) Each candidate should provide tables of student evaluations of each course for each semester taught. Formatting and content of these tables should be according to the current HHS Tenure and Promotion Guidelines.

(4) Candidates to be promoted on the basis of teaching excellence should include summaries of peer-reviews of teaching that have been conducted. An ad hoc committee appointed by the Head will conduct such an evaluation.

(5) Each candidate should submit representative course materials, such as syllabi and a representative examination to the Primary Committee (or to a subcommittee thereof, which will report on these) well in advance of the Primary Committee meeting.

Specific accomplishments for consideration for promotion by the School:

1. Candidate’s own statement of contributions to teaching
   - Because the primary mission of the School of Health Sciences is research and discovery, it is expected that in almost all cases promotion and tenure will be based on a faculty member’s research contributions (as described above).
   - The candidate should state clearly their major contributions to the teaching of undergraduate and graduate courses prior to this promotion review. If applicable, the candidate should briefly explain any new teaching technologies developed during this period and the development of any new courses.
   - Candidates for promotion to Associate Professor are expected to have delivered several full courses and demonstrated strong teaching skills (evaluations average >4.0 out of 5.0 on student surveys taking into account the nature of the lectures such as the class size and the level being taught).
   - Candidates for promotion to Associate Professor emphasizing teaching as their field of excellence should publish at least 3 articles per year in journals devoted to teaching and teaching methodology.
   - Candidates for promotion to the Full Professor rank emphasizing teaching scholarship as their field of excellence should publish at least 3 articles per year in journals devoted to teaching and teaching methodology since the candidate’s promotion to the associate professor rank.

2. New or major modifications to courses
   - Any new courses developed by the candidate should be included, and a brief rationale and the impact their inclusion has been for the curriculum.
   - A brief description of advancements and innovations in the course(s) or course material(s) the candidate instructs should be briefly described, for example website development, outside instruction, and the addition of new and updated topics.
   - A list of representative materials such as the course syllabus, schedule, and/or exams should be appended.

3. Participating in courses taught at Purdue or at other higher learning institutions
• Guest lectures and partial teaching responsibilities in Purdue courses taught by other course coordinators should be listed including course number, course name, number of contact hours provided by the candidate.
• This section also provides the opportunity to present the candidate’s previous teaching experience prior to joining the School of Health Sciences faculty or teaching responsibilities at other institutions in a joint appointment situation.

4. Ph.D. and M.S. committees chaired
• Candidates should list graduate students they have mentored. For each student, the candidate should include the student’s degree path (Master of Science or Doctor of Philosophy), the student’s graduation date or anticipated date, and the students thesis title or practicum title if applicable.

5. Short courses and workshops
• Organizing and teaching of short courses or workshops are consistent with the faculty’s advancement and excellence in scholastic instruction. The candidate should list the title, syllabus and targeted audience of such courses.

6. Teaching scores summary table
• Instructional performance is based on student evaluations and comments. The candidate is expected to achieve an average student evaluation of 4.0 out of 5.0 or greater, taking into account the nature of the lectures such as the class size and the level being taught.

7. Postdoctoral fellows and visiting scholars trained and in training
• Candidates should list post-doctoral fellows and visiting scholars they have or are mentoring. The list should include the fellow’s name, academic title, research project, awards obtained, and the mentoring period.

8. Activities of diversity and climate
• Diversity is key to the global competitiveness and success of any established higher learning institute. Embracing and promoting diversity is a priority for the School. Candidates should list their participation in and contribution to the activities pertinent to accomplishment of this goal.

A3. Engagement
(1) Each candidate for promotion should have the opportunity to document his/her contributions as defined in the Strategic Plans of the Schools and/or academic unit promotion documents. Where such activities have had an impact beyond the University, it is appropriate to solicit the comments of outside evaluators.

(2) For faculty with significant clinical service responsibilities, the nature and extent of those services should be described. In addition to the external letters described below, letters may be solicited from individuals able to evaluate the quality and impact of the clinical services provided by the candidate.
Specific accomplishments for consideration for promotion by the School:

1. Candidate’s own statement of contributions to engagement.
   - The candidate should state clearly their major service contributions to the School, College and University prior to this promotion review. If applicable, a statement should be made on any new initiatives during this period.
   - For the candidate to be promoted to the Full Professor rank demonstrated administrative service to the School and University is mandatory. Such service activities should be documented.

2. Major committee assignments in the Department, School, and University
   - Candidates are expected to serve on committees and should list the committees served, specifying the name of the committee, state if it is standing or ad hoc, personal role (e.g. member, chair, secretary, treasurer etc), dates of service, and level – school, college, or university. The candidate should provide a brief description of the committee’s function and their contribution.
   - Critical to the prestige and enhancement of the School of Health Science’s national ranking is the fostering of the graduate program and its students, and the nurturing recruitment of talented undergraduates. Candidates are expected to support the review of graduate students, undergraduate and graduate student recruitment, and play an advisory role to undergraduate and graduate students within the School.

3. Administrative duties at Purdue
   - The candidate should list any administrative duties held on behalf of the School or University. A description of the duty, reporting structure, and period of service should be included.

4. Service to government or professional organization
   - Candidates should provide a list of service(s) activities to governmental agencies or institutes and any significant role they have played in professional organizations. This role can be in an administrative and/or advisory capacity within national or international organizations. Each item should include the name of the body served, their service role, period of service, and a brief description of mission for the body.

5. Consulting arrangements
   - Consulting services requested by others are the recognition of the faculty by his/her peers in the established knowledge field. The candidate should list and briefly describe his/her activities pertinent to the consulting services.

6. Outreach activities
   - The candidate should list and briefly describe his/her activities contributing to communities beyond Purdue University. This should include his/her service to the local community, a brief description of the candidate’s role, the dates of service, and the impact of the candidate’s service. Letters of support should be solicited, if appropriate, from outside evaluators highlighting the impact of the service.
A4. Solicitation of External Review Letters

As the intent of external reviews is to assess the national and/or international reputation of the nominee and to provide an external quality control to the evaluation process, it is important to avoid reviewers with significant personal or professional relationships to the nominee. Therefore, letters to mentors and current or former collaborators should be avoided. In addition, external reviewers should generally reside at peer institutions with a mission similar to that of Purdue University and being knowledgeable in the applicant’s field. In the case of faculty for whom engagement/service is a significant basis for their promotion, inclusion of letters from local individuals who can attest to the quality of their engagement/service activity is appropriate. This should not, however, be to the exclusion of letters from individuals from peer institutions.

By June 1, faculty should notify the Head of their intent to seek a promotion and/or tenure. By August 1, the candidate should provide a list of 5-7 potential external reviewers to the Head of the School. The candidate may also provide a list of up to 5 individuals who should be excluded as potential external reviewers. In consultation with the Dean, the Head will develop a final list of 5 reviewers by selecting 2-3 names from the candidate’s list and adding up to additional 2-3 names, from whom letters of evaluation of the candidate will be solicited. The School Head will solicit agreement to conduct the evaluation prior to sending reviewers the candidate’s packet. External reviewers will be provided the candidate’s three to five most significant publications, the packet in support of the nomination, and the School’s promotion and tenure guidelines. Letters to external reviewers should be sent no later than August 21 with a requested due date of October 1.

When the packet is distributed to the Primary and Area Committees, the Head shall include a listing of all individuals from whom letters were solicited, a brief (one paragraph) biographical description of the reviewer, and all letters received in their entirety. If an external reviewer does not reside in a peer institution, the rationale for their selection as an external reviewer should be described. Completed packets, including the external review letters, should be distributed to members of the Primary Committee no later than October 15.

Section B. Preparation of Promotion Package

The packet in support of the nomination should be submitted together with the President’s Form 36. Please note that once submitted to the Primary Committee, the packet in support of the nomination should not be altered except to correct errors of fact or typographical errors. If relevant new information becomes available after the materials have been reviewed by the Primary Committee (e.g., acquisition of extramural funding, significant scholarly award), this information should be noted in the Head’s evaluation of the nominee. Similarly, if such material becomes available after review by the Area Committee, it should be noted in the Dean’s evaluation of the nomination.

Section C. Guideline for Evaluation and Promotion of Faculty in Research Track

An annual merit review should be conducted by the Principal Investigator who funds the research faculty and report to the School Head.

For promotion to the rank of research associate professor or research professor, the same promotion criteria for tenure-track faculty in respective ranks shall be applied, with a greater emphasis on research accomplishments. Promotion is contingent upon the availability of research funding.
## Section D. Appendices

### Appendix 1. Timetable of Procedures for P&T

**Time Table of Procedures for Promotion and Tenure**

**In School of Health Sciences**

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>January (anytime)</td>
<td>Discuss P&amp;T issue with the Head</td>
</tr>
<tr>
<td><strong>Feb – March</strong></td>
<td>Primary Committee Spring Meeting; items include the 3&lt;sup&gt;rd&lt;/sup&gt; year review, junior faculty annual evaluation/feedback, tenure only candidate, distinguished professor nomination</td>
</tr>
<tr>
<td>June (anytime)</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; draft of Form 36 ready for Head’s preview and comments</td>
</tr>
<tr>
<td>July (2&lt;sup&gt;nd&lt;/sup&gt; week)</td>
<td>Head’s recommendation made to the Dean</td>
</tr>
<tr>
<td>August 1 (1&lt;sup&gt;st&lt;/sup&gt; week)</td>
<td>Candidate submits a list of 5 names of potential external reviewers; the Head starts soliciting external reviewers by email. 2&lt;sup&gt;nd&lt;/sup&gt; draft Form 36 submitted to the Head if additional advice is needed</td>
</tr>
<tr>
<td>August 15 (by the end of the 2&lt;sup&gt;nd&lt;/sup&gt; week)</td>
<td>Nominee submits final P&amp;T dossier to the Head including Form 36 and supporting materials</td>
</tr>
<tr>
<td>August 21 (3&lt;sup&gt;rd&lt;/sup&gt; week)</td>
<td>Dossier sent to the external reviewers expecting a due date by the end of the third week of September</td>
</tr>
<tr>
<td>September (4&lt;sup&gt;th&lt;/sup&gt; week)</td>
<td>External letters due</td>
</tr>
<tr>
<td>October 12 (2&lt;sup&gt;nd&lt;/sup&gt; week)</td>
<td>Packets including dossier and letters submitted to the Primary Committee</td>
</tr>
<tr>
<td>Last week of October or the 1&lt;sup&gt;st&lt;/sup&gt; week of November</td>
<td>Primary Committee meeting (review and vote)</td>
</tr>
<tr>
<td>November 7 (2&lt;sup&gt;nd&lt;/sup&gt; week)</td>
<td>Approved documents due to Dean’s office</td>
</tr>
<tr>
<td>November 29 (last week)</td>
<td>Area Committee meeting</td>
</tr>
<tr>
<td>February (3&lt;sup&gt;rd&lt;/sup&gt; week)</td>
<td>University P&amp;T Committee</td>
</tr>
</tbody>
</table>
| March (1<sup>st</sup> week)   | Spring Area Committee and Business Meeting. Candidates for consideration include:  
- Tenure-only  
- Distinguished Professors  
- Honorary Doctorates |
Appendix 2. University Promotion Policy
(July 12, 2013)

Appendix 3. College of HHS Promotion and Tenure Policy
(November 30, 2012)
Supersedes Memoranda dated August 2, 2012  West Lafayette Campus Promotion and Tenure Policy  Purdue University
THE FACULTY REVIEW SYSTEM

The promotion requirements are intended to guide all academic units of the University. Throughout the entire promotion process, primary, area and university promotion committee members respond to each tenure or promotion nomination as individuals, interpreting achievements described in the nominating documents in the light of standards appropriate for the nominee’s discipline and the University’s criteria for promotion. In the course of these evaluations, the give-and-take of full and confidential discussion is a critical element to informing each committee member of the candidate’s accomplishments. To this end, and with the unanimous support of the University Senate Faculty Affairs Committee, only those promotion committee members present for the entire discussion of a candidate’s record shall be extended the privilege of voting (Faculty Affairs Committee Meeting Minutes, March 2, 1998). Additional information about Purdue’s promotion process is included in Section III of this document.

To optimize faculty growth and productivity, it is important that department and/or school heads who chair primary committees and have an active role on area committees attempt to convey, annually and as accurately as possible, to each colleague who is not a full professor, what levels of performance and achievement are viewed favorably by those two committees. Deans of colleges/schools who chair area committees and have an active role on the University Promotions Committee have corresponding obligations to the members of their area committees.

SECTION II
PROMOTION TO DIFFERENT RANKS

Tenure-track Faculty

Promotion to Assistant Professor
A tenure-track instructor may be promoted to assistant professor upon attaining the level of professional accomplishment, which would have justified appointment to an assistant professorship.

Promotion to Associate Professor
Academic tenure is acquired on promotion to this rank. A successful candidate should have a significant record of accomplishment as a faculty member and show promise of continued professional growth and recognition.

Promotion to Professor
Successful candidates should be recognized as authorities in their fields of specialization by external colleagues -- national and/or international as may be appropriate in their academic disciplines -- and be valued for their intramural contributions as faculty members.

Clinical/Professional Faculty

Promotion to Clinical/Professional Assistant Professor
Required degrees, qualifications, specialty certifications, and experience shall be determined by the appointing department. Successful candidates for promotion must exhibit expertise in clinical/professional practice and be qualified to participate in the education program of the department. They also must have a primary commitment to assist the college/school in meeting its programmatic need for clinical/professional services and instruction.

Promotion to Clinical/Professional Associate Professor
Required degrees, qualifications (e.g., certification), or experience shall be determined by the appointing department. Successful candidates for promotion must demonstrate evidence of excellence in teaching and clinical/professional practice and have a primary commitment to assist the college/school in meeting its programmatic needs for clinical/professional services and instruction. They also are expected to have accomplishments or potential for national prominence in their fields.
Promotion to Clinical/Professional Professor
Successful candidates must demonstrate an extremely high level of professional accomplishment in teaching, service, and clinical/professional practice and must be recognized by their peers at the national level.

SECTION III
GENERAL PROCEDURE

Before or during the first semester of each academic year, the head of each school, division, or department shall convene the primary committee, which is to consist of all tenured full professors and all tenured associate professors in the respective administrative unit. Tenured associate professors discuss and vote upon promotion up to and including the associate professor level. The department head shall act as chair of the primary committee.

At least five tenured full professors are necessary for voting on cases of promotion to full and associate professors. When this minimum number is not available in the candidate’s department, additional tenured full professors shall be appointed by the chair of the area committee (usually the dean) to which the primary committee reports, following consultation with the appropriate department head. Clinical/professional faculty at the professor level will vote on all clinical/professional faculty being considered for promotion. Clinical/professional associate professors discuss and vote upon promotion up to and including the clinical/professional associate professor level.

Faculty members who are in their penultimate probationary year shall be automatically nominated for promotion and voted on by the primary committee, unless they specifically request otherwise in writing at any step in the process. Faculty who have been in rank less than six years also may be nominated for promotion by any member of the primary committee. Those whose nominations are seconded shall be voted on by the committee. Faculty with tenure who are not nominated by a member of the primary committee but, nevertheless, consider themselves ready for promotion may nominate themselves and have their cases for promotion considered by the primary committee, if they have not been considered for promotion during the last three years. Review of candidates in the final year of their probationary period requires prior approval by the Provost.

A Nomination for Promotion form – President’s Office Form 36 (hereafter referred to as Form 36) must be submitted for ALL faculty members in their penultimate year, regardless of the vote at the Primary and/or Area Committee levels. A Form 36 also should be submitted for penultimate year faculty members who choose not to be reviewed. A Form 36 also should be submitted for all faculty members who are nominated for tenure and receive a majority affirmative Primary Committee vote regardless of their year in rank. A Form 36 also should be submitted for all faculty who are nominated for promotion to full professor and receive a majority affirmative Area Committee vote.

Supporting documents are not required with Form 36 if the penultimate year faculty member chooses not to be considered for promotion. Supporting documents also are not required for faculty members who fail to receive a positive majority vote for promotion to Full Professor, but Form 36 should be submitted in both of these cases.

The department head shall not cast a vote in the primary committee; rather, his/her recommendation will appear separate from the primary committee’s recommendation on the promotion document. This constraint will not apply if the number (including the chair) of tenured full professors on the primary committee is less than seven. Tenured associate professors are included in this count for review of candidates for promotion up to associate professor. The Provost, the Dean of the Graduate School, and the other members of the University Promotions Committee (see below) who are deans of academic colleges/schools will not vote in any primary committee.

The Form 36 shall contain at least the following items: name and PUID of the nominee, proposed rank and title, present rank and title, previous Purdue University rank and title, penultimate year (if applicable) and academic record. For faculty who remain in consideration for promotion beyond the
Primary Committee level, additional documentation should contain, basis of nomination, prior experience, teaching assignments and evaluations of performance, research responsibilities and achievements, extension and engagement assignments and evaluation of performance, scholarly work in progress, publications, administrative and committee responsibilities, other pertinent activities (membership and positions held in professional societies, consultation, committee and public service, etc.), prospects for future development, comments and recommendations by the department head, reference letters, and the vote of the primary committee and area committee where applicable.

Please note that a faculty member may have received an extension of the tenure clock by virtue of University policy. Under these circumstances, the criteria for promotion and tenure are the same. When applicable, this language shall be included in a request for an external review letter.

Additionally it should be noted to external reviewers, under Purdue University policies, that their reply will be held in confidence to the extent permitted by law. The following statement should be included in all external review letter requests:

Candidates may request a summary of all evaluations in their file, however sources remain confidential. We cannot guarantee that at some future time a court or government agency will not require the disclosure of the source of confidential evaluations. Purdue University will endeavor to protect the identity of authors of letters of evaluations to the fullest extent allowable under law.

A candidate should be given the opportunity to help create and review his/her promotion documentation and may receive a copy of any document (with confidential statements omitted) that will be submitted to the primary, area, and/or University committee(s). It is the right of the candidate to have included in his/her departmental file whatever the candidate chooses to add, including the candidate’s own brief (one page) comments about teaching, research/creative activities, service or engagement. The candidate may choose to attach their comments to the promotion document.

To permit candidates and potential candidates to exercise their rights in a convenient fashion, it is expected that each chair of a primary committee should, during the first month of each fall semester, publish a timetable setting forth the dates of the primary committee meetings and suitable deadlines for faculty members to update their files and to receive and react to the appropriate parts of a nomination for promotion.

The area committee shall consist of the dean, serving as chair, department and/or school heads, plus tenured full professors elected by the voting faculty of the college/school according to procedures established by that faculty. If specified by college/school by-laws, area committees may include associate deans. At least one-third of the membership of each area committee shall consist of tenured faculty members without administrative responsibilities. In no case will the number of faculty members without administrative responsibilities be fewer than two. Clinical/professional faculty at the rank of full professor selected in accordance with college/school procedures will be voting members for all clinical/professional faculty being considered for promotion.

Each nomination shall be considered and discussed individually by the area committee, after which a secret ballot will be held. The result of the ballot shall be recorded on the nomination form.

The dean shall not cast a vote in the area committee. Rather, the dean's recommendation will appear separate from the area committee's recommendation on the promotion document.

A separate, secret ballot shall be cast for each candidate in the primary and area committees. In addition to providing for a “yes” or “no” vote, the ballot should provide an opportunity to show reasons for the vote cast, with space allocated for comments, explanations, etc. The primary purpose of the ballot, other than to obtain a numerical vote count, is to contribute to a summary for “feed-forward” and “feed-back” use. The reasons for a negative vote are especially important. The
Dean of the College/School determines the attendance policy for the primary and area committee meetings. All eligible members participating in promotion committee deliberation are required to vote on all candidates unless a conflict of interest with a particular candidate has been identified. Submission of a blank ballot, recusals, or failure to cast a ballot are not regarded as votes.

Candidates who receive at least a simple majority vote of the area committee and support of their dean will be considered by the University Promotions Committee. In addition, the University Promotions Committee will consider candidates who receive either a simple majority vote of the area committee or the support of their respective college/school dean. Panel A will consider promotions within tenured and tenure-track ranks and Panel X will consider promotions within clinical/professional ranks. These panels, following a secret ballot on each nomination, shall record the result of their ballot on Form 36 that also shows the results of the balloting by the primary and area committees. These forms are then to be transmitted to the President of the University who, in turn, makes his/her recommendations to the Board of Trustees for final action.

Candidates receiving a two-thirds affirmative vote by the University Promotions committee will be recommended by the Provost for promotion. In those cases where a recommendation supported by at least two-thirds of an area committee has been rejected by the University Promotions Committee, the dean may request written explanations for the vote.

Panel A of the University Promotions Committee for the West Lafayette campus shall consist of the Provost (chair); the Dean of the Graduate School; the Dean of Libraries; the academic deans; seven tenured faculty members nominated by the University Senate Nominating Committee and appointed by the President for three-year terms. Members of the University Promotions Committee must attend in person in order to cast a ballot. The Vice Provost for Faculty Affairs is invited to attend Panel A sessions as a non-voting advisor to the Provost.

Panel X shall consist of the Provost as chair, three academic deans from schools/colleges employing clinical/professional faculty, and six faculty members. The Provost shall nominate three of these faculty from Panel A of the University Promotions Committee. The remaining three faculty, either tenure-track or clinical/professional professors, shall be nominated by the University Senate Nominating Committee and appointed by the President for three-year terms.

It is in the best interest of the University and faculty that full and frank discussions occur during the deliberations of promotion committees. The confidentiality of remarks made at such meetings should, therefore, be carefully preserved. Recommendations against promotion may be discussed with the faculty member affected, in a discreet manner and without undue delay, by the appropriate department head or dean. Faculty will be advised of their promotion progress by their department head after the Primary Committee and by their dean or his /her designee after the Area Committee and University Promotions Committee meetings. Official notice will be sent to promoted faculty members after the President and the Board of Trustees approve the promotions.

For tenure track faculty, where tenure is requested and approved outside of the normal promotion process, the tenure will be effective with the beginning of the semester following approval. Therefore, tenure approvals in the Fall semester will be effective in the following Spring semester. Spring semester approvals will be effective with the start of the next academic year for academic year faculty and the start of the next fiscal year for fiscal year faculty. Approvals in the summer will be effective at the beginning of the next academic year for both academic year and fiscal year faculty. In accordance with current practice, tenure without promotion requires an endorsement by both the Primary and Area Promotion Committees, a recommendation by the Dean, and approval by the Provost.

Note that new faculty appointments that include the awarding of tenure with the offers are not covered by the above process. In these cases, tenure is effective with the start date of the contract. For immediate tenure, current practice requires a request be submitted to the Provost for approval that includes an endorsement by the Primary (or Area) Promotion Committee and a recommendation by the Dean.
Questions regarding interpretation of these procedures shall be referred to the Provost or Vice Provost for Faculty Affairs for final determination.

Sincerely,

Timothy D. Sands  
Executive Vice President for  
Academic Affairs and Provost

2013-14 AY POLICY
College of Health and Human Sciences  
November 30, 2012

PROMOTION AND TENURE POLICIES AND PROCEDURES

This document is intended as a guide to the promotion and tenure policies and procedures of the College of Health and Human Sciences. The college’s policies and procedures are designed to be in accord with those set forth in the West Lafayette Campus Promotion and Tenure Policy and in Executive Memorandum B-48. Therefore, certain portions of those documents are repeated or restated in this document. The boldfaced portions of this document are specific to the College of Health and Human Sciences.

I. The Faculty Review System

A. To optimize faculty development and productivity, it is important that department and/or school heads who chair primary committees and have an active role on area committees attempt to convey, annually and as accurately as possible, to each colleague who is not a full professor what levels of performance and achievement are viewed favorably by those two committees.

B. To inform faculty about the levels of performance viewed favorably by the primary committee, the head of each unit (i.e., school or department) shall work collaboratively with the primary committee to prepare a document that summarizes the standards for promotion in the unit. In particular, the document will describe the promotion standards for all categories of faculty with appointments in the unit (i.e., tenure-track and tenured faculty, clinical/professional faculty, and research faculty). The final document will be distributed to all faculty and to the dean. The document will also be available through the dean’s office (e.g., on the college’s website) to all members of the college’s faculty.

II. Annual Review

A. During each academic year the head of each unit shall convene the primary committee to conduct a review of the performance and achievements of the tenure-track assistant professors and the untenured (but tenure-track) associate professors in the unit, beginning in the second year of their appointment at Purdue. To facilitate this review, the head will ask these faculty members to submit an updated curriculum vitae or Form 36 at least two calendar weeks before that meeting of the primary committee. In addition, faculty may provide the head with other information relevant to the review that they consider significant. Research professors of all ranks who are appointed for at least 50 percent CUL shall be reviewed at least every five years, as specified by University policy. In addition, tenured associate professors, clinical/professional assistant and associate professors, and research assistant and associate professors shall be given a comparable review during any academic year in which they provide their materials to the head at least two weeks before the primary committee meeting convened for this annual review.

B. The unit head shall act as chair of the primary committee.
C. After the primary committee meeting, the unit head shall provide written feedback to all faculty who were reviewed. The feedback should include an evaluation of the faculty members’ progress toward promotion and/or tenure.

III. Tenure-track and Tenured Faculty Promotion Procedures

A. Primary Committees

1. At least five tenured full professors are necessary for voting on cases of promotion to full or associate professor. When this minimum number is not available in the candidate’s department, additional tenured full professors shall be appointed by the chair of the area committee (i.e., the dean), following consultation with the appropriate unit head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to full or associate professor.

2. To permit candidates and potential candidates to exercise their rights in a convenient fashion, it is expected that each chair of a primary committee should, during the first month of each fall semester, publish a timetable setting forth the dates of the primary committee meetings and suitable deadlines for faculty members to update their files and to receive and react to the appropriate parts of a nomination for promotion.

3. Before or during the first semester of each academic year, the head of each unit shall convene the primary committee, which is to consist of all tenured full professors and all tenured associate professors in the unit. At this meeting, faculty members who are in their penultimate probationary year shall be automatically nominated for promotion and voted on by the primary committee, unless they specifically request otherwise in writing at any step in the process. When any other faculty member eligible for promotion is nominated by any member of the primary committee and the nomination is seconded, the voting members of the primary committee shall discuss and vote on the nomination.

4. Faculty with tenure who are not nominated by a member of the primary committee but, nevertheless, consider themselves ready for promotion may nominate themselves and have their cases for promotion considered by the primary committee, if they have not been considered for promotion during the last three years.

5. A candidate should be given the opportunity to help create and review his/her promotion documentation and may receive a copy of the document (with confidential statements omitted) that will be submitted to the primary, area, and/or University committee(s). It is the right of the candidate to have included in his/her departmental or school file whatever the candidate chooses to add, including the candidate’s own brief (one page) comments about teaching, research/creative activities, and service or engagement. Candidates may choose to attach their comments to the promotion document.

6. After supporting data of nominees have been compiled (Nominations for Promotion-President’s Office Form 36), this material shall be made available to primary committee members at least one calendar week before the meeting at which a vote of the primary
committee will take place. At this meeting, a primary committee member shall present each candidate’s case, and general discussion and a vote on the candidate will follow.

7. A separate, secret ballot shall be cast for each candidate in the primary committee. In addition to providing for a “yes” or “no” vote, the ballot should provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations. Submissions of a blank ballot, recusals, or failure to cast a ballot are not considered as votes. The primary purpose of the ballot, other than to obtain a numerical vote count, is to contribute to a summary for “feed-forward” and “feedback” use. The reasons for a negative vote are especially important. Nominations receiving a majority affirmative vote shall be forwarded to the area committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the head may elect to forward the case to the area committee unless the candidate requests in writing that the head not take such action. After the ballots have been tallied, the head shall notify candidates of their promotion progress.

8. The unit head shall not cast a vote in the primary committee: rather, the head’s recommendation will appear separately from the primary committee’s recommendation on the promotion document. This constraint will not apply if the number of tenured full professors (including the head) on the primary committee is less than seven. Tenured associate professors are included in this count for review of candidates for promotion up to associate professor.

9. The provost, the Dean of the Graduate School, and the other members of the University Promotions Committee who are deans of academic colleges/schools will not vote in any primary committee.

B. Area Committee

1. The dean of the college shall act as chairperson of the committee. The dean shall not cast a vote in the area committee. Rather the dean’s recommendation will appear separately from the area committee’s recommendation on the promotion document.

2. An associate dean of the College of Health and Human Sciences who is a tenured full professor shall be appointed by the dean to serve as a non-voting member of the committee.

3. If the dean cannot attend a meeting of the area committee or the University Promotions Committee, the dean will appoint a replacement who is both an associate dean and a tenured full professor. The appointee shall function in the dean’s stead as chair of the area committee, as a voting member of the University Promotions Committee, or in both roles, as needed.

4. All unit heads shall be voting members of the area committee and shall present their units’ promotion candidates. In addition to the unit head, the voting faculty of each unit will elect to voting membership on the area committee one other tenured full professor from that unit to serve a three-year term. The number of full professors without administrative responsibilities who serve on the area committee must be at least equal to one third of the area committee’s membership. To ensure that this requirement is met, no
candidate for election to the area committee shall hold the position of Assistant or Associate Head, or Assistant or Associate Dean, in the College of Health and Human Sciences. In addition, full professors must have at least a half-time appointment in their units in order to be eligible to represent their units on the area committee.

5. An elected faculty representative to the area committee may be reelected and serve consecutive terms.

6. A separate, secret ballot shall be cast for each candidate reviewed by the area committee. In addition to providing for a “yes” or “no” vote, the ballot should provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations. Submissions of a blank ballot, recusals, or failure to cast a ballot are not considered as votes. The primary purpose of the ballot, other than to obtain a numerical vote count, is to contribute to a summary for “feed-forward” and “feedback” use. The reasons for a negative vote are especially important. Nominations receiving a majority affirmative vote shall be forwarded to the university committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the dean may elect to forward the case to the area committee unless the candidate requests in writing that the dean not take such action.

After the ballots have been tallied, the dean or his/her designee shall notify candidates of their promotion progress.

7. In those cases where a recommendation supported by at least two-thirds of an area committee has been rejected by the University Promotions Committee, the dean may request written explanations for the vote.

IV. Promotion Procedures for Tenured/tenure-track Faculty with Joint Appointments

A. When a promotion candidate has a joint appointment in two academic units, the procedures outlined above shall be followed in both the primary and the area committees, but the following procedures will also apply. Comparable procedures will be followed when faculty have appointments in more than two academic units.

B. The head of the unit that is the tenure home of a jointly-appointed faculty member who is nominated for promotion will inform the head of the other unit of the nomination and of that unit’s procedures and schedule for document preparation and primary-committee meetings.

C. The head of the other academic unit will be invited to provide the head of the unit that is the tenure home with a letter of evaluation of the performance and achievements of the candidate from the perspective of that unit. If provided, this letter will be included in the candidate’s promotion document.

V. Promotion Procedures for Clinical/Professional Faculty
A. The University recognizes a non-tenure track faculty status (i.e. clinical/professional faculty). These appointments provide the opportunity for career advancement for faculty members who focus on excellence in clinical/professional instruction.

B. Primary Committee

1. Clinical/Professional faculty at the full professor level will attend the portion of primary committee meetings during which candidates for promotion who are clinical/professional faculty are being considered and will vote on those candidates.

2. Clinical/Professional faculty at the associate professor level will attend the portion of primary committee meetings and vote on candidates for promotion who are clinical/professional assistant professors being considered for promotion to clinical/professional associate professor.

C. Area Committee

1. When clinical/professional faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded. After soliciting nominations from all heads of units employing clinical/professional faculty, the dean shall select two clinical/professional faculty at the rank of full professor to serve on the area committee for a three-year term. The two clinical/professional full professors will vote with the area committee on all clinical/professional faculty being considered for promotion.

VI. Promotion Procedures for Research Faculty

A. Research Faculty positions are intended to provide a career path that allows for independence, individual scientific growth, and the opportunity for promotion. They are envisioned to be equivalent to tenure-track faculty positions but without the responsibility of didactic teaching and without eligibility for tenure.

B. Primary Committee

1. The procedures for review of research faculty who are candidates for promotion shall be consistent with University policy. In particular, if a research assistant or associate professor is a candidate for promotion in a unit that has other research professors of higher rank, the other research professors will attend the portion of the primary committee meeting during which the research-faculty candidates are being considered and shall vote on those candidates.

C. Area Committee

1. When research faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded if the college has research faculty who are full professors. After soliciting nominations from all heads of units employing research faculty, the dean shall select one research faculty member at the rank of full professor to serve on the area committee for a three-year term. The research professor will
attend the portion of the committee meeting during which research-faculty candidates are being considered and shall vote on those candidates.

VII. Tenure Considerations

A. At some time after the University Promotion Committee meets to vote on promotions, the area committee shall meet to consider recommendations for tenure without promotion. In accordance with current practice, tenure without promotion requires an endorsement by both the primary and area committees, a recommendation by the dean, and approval by the provost. Nominations receiving a majority affirmative vote in the primary committee shall be forwarded to the area committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the head may elect to forward the case to the area committee unless the candidate requests in writing that the head not take such action. After the area committee meeting the dean will forward his or her recommendation and that of the area committee to the provost for a final decision, unless a candidate requests in writing that his or her nomination not be forwarded.

B. In cases involving tenure-track assistant professors in their penultimate year, the criteria for promotion to the rank of associate professor shall also serve as the criteria for obtaining tenure. Assistant professors who fail to be promoted to associate professor in their penultimate year are considered to have not met the criteria for obtaining tenure. In these cases, therefore, nominations for tenure without promotion will not be considered by primary committees or the area committee.

C. A candidate for a position as an associate or full professor may be appointed with immediate tenure. Before offering such an appointment, a unit head must provide the members of the primary committee with information about the candidate’s credentials. Then the primary committee must vote on offering immediate tenure. If a majority of the voting members vote affirmatively, the record of the vote, the information about the candidate’s credentials, and the head’s recommendation should be sent to the dean. After reviewing these documents, the dean may request the provost’s approval of an offer with immediate tenure. If the provost approves, such an offer can be made.

VIII. Confidentiality and Notice of Final Action

A. It is in the best interest of the University and the faculty that full and frank discussion occurs during the deliberations of promotion committees. The confidentiality of remarks made at such meetings should, therefore, be carefully preserved. Official notice will be sent to promoted faculty members after the president of the University and the Board of Trustees approve the promotions. Decisions against promotion and/or tenure, for candidates in their probationary period, should be confirmed by the unit head sending the candidate an official Notice of Nonrenewal (Form 19E).

IX. Conflict of Interest Policy for Promotion Committees
A. Any member of a primary committee or area committee whose present or past relationship with a candidate for promotion and/or tenure may be perceived to compromise that member’s ability to make an objective assessment of the candidate’s credentials shall identify the potential conflict of interest to the committee chair before the primary or area committee meeting and not participate in the discussion and voting involving that candidate. The following list, while not exhaustive, illustrates the types of relationships which constitute a conflict of interest:

- Marital, life partner, family, or dating/romantic/sexual relationships
- An advising relationship (e.g., the faculty member having served as the candidate’s Ph.D. or postdoctoral major advisor or equivalent)
- A direct financial interest and/or relationship
- Any other relationship that would prevent or have the appearance of preventing a sound, unbiased decision

B. Others, including a candidate, who perceive a conflict of interest between a primary or area committee member and that candidate shall disclose the concern to the committee chair, who will determine whether a conflict of interest exists.

C. Committee members who do not participate or vote on a candidate with whom they possess a conflict of interest will be expected to participate fully in the deliberations on all other candidates under consideration.

D. If the chair of a primary committee or the area committee has a conflict of interest with a candidate under consideration, the relevant committee will elect by majority vote a member of the committee to serve as chair for the consideration of any and all candidates for whom the chair has a conflict of interest. This individual will also perform all the functions of the committee chair as described earlier in this document.

E. If the dean has a conflict of interest with any candidate being considered, presentation of the candidate to the University Promotions Committee will be determined by the provost.

X. Changes in the West Lafayette Campus Promotion and Tenure Policy

A. The campus promotion policy changes from time to time. When any changes have the effect of nullifying, contradicting, or rendering inconsistent a provision of this document, the campus promotion policy shall prevail.

XI. Interpretation of this Document

A. Any question of interpretation regarding the promotion and tenure policies of the College of Health and Human Sciences shall be referred to the dean of the college for final determination.
Some Guidelines for HHS Promotion Documents

Executive Summary

Promotion documents should include a single-spaced Executive Summary, approximately one page long, which is placed immediately after the Form 36. The Executive Summary should provide the broad outlines of the case for promotion by describing the candidate’s most significant accomplishments in discovery, learning, and engagement. When the primary basis for the promotion is research, the summary should show the coherence of the candidate’s research program. It should also clarify how candidates’ records fit the missions of their academic units. In particular, the summary should show whether candidates met the goals set for them when they were recruited. Candidates should be encouraged to write the summary themselves, with advice and guidance from their faculty mentors and the unit head, but it should be written in the third person.

Section A: Learning

1. Candidates should use the table that follows these guidelines as a template for presenting the ratings of students’ evaluations of their teaching. Candidates have the option of reporting on only the two core items for evaluations of the course and of the instructor, or they may (as shown in the table) include other items as well.

2. Various types of teaching credentials besides student evaluations can be included in a promotion document. Some examples are teaching awards (including departmental awards), pedagogical articles and books whose impact can be documented, and evidence that candidates are working to improve their teaching by attending workshops, having peers evaluate their teaching, and so on.

Section B: Discovery

1. The Instructions say in Section B.1.d. that “It would be helpful to include where the publications [of a candidate] are ranked in one’s field (first tier, second tier, third tier).” In some fields, this kind of information is usually provided by listing the impact factor for the journal in which a publication appeared. When impact factors are listed, it is useful to include some comment in the document about what values of impact factors should be considered as high, medium, or low for a candidate’s field.

2. The Instructions for Section B.6. refer to “Research grants and awards received” and then add “(Please see template attached.)” The template at the end of this document should be used to present information about these grants. Some versions of this template indicate that entries should be underlined and awards should be separated by double lines, but that formatting is not necessary.

3. The grant/award template should only be used for grants received, not for grant applications that are pending or for applications that were submitted but not funded. Including some information about the latter types of grant applications may sometimes be useful, but that information should not be presented using the template and should not be
under the same heading as “Research grants and awards received.” Instead, pending and unfunded grant applications may be mentioned, if appropriate, in a narrative section under “Current research interests, including experimentation and other projects in process” (Section B.7.) or under “Other evidence of creative excellence” (Section B.3).

4. Promotion candidates may also have received grants or awards for their teaching or engagement. Those grants or awards should be listed in Section A or Section C, respectively, using the same template as for research grants.

Section C: Engagement

1. To the extent possible, reports of engagement activities should include documentation of their impact.
## Student Evaluations of Teaching Example

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</table>
Template for Grants/Awards Received

Basic Format

1. Agency/Title of Grant:
2. Duration of Funding (Dates):
3. Total amount of award:
4. Your role:
5. If Co-PI, for how much of the total funding are you directly responsible:

EXAMPLE 1

1. Agency/Title of Grant: National Science Foundation (NSF)/Widgets of the World
2. Duration of Funding: Three (3) years (07/01/93-06/30/96)
3. Total amount of award: $180,000
4. Your role: PI
5. If Co-PI, for how much of the total funding are you directly responsible: NA

EXAMPLE 2

1. Agency/Title of Grant: National Institute on Alcohol Abuse and Alcoholism (NIAAA)/Corn Alcohol for the Masses
2. Duration of Funding: Five (5) years (01/01/93-12/31/97)
3. Total amount of award: $5 million
4. Your role: Co-PI
5. If Co-PI, for how much of the total funding are you directly responsible: $1 million