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Promotion and Tenure

Policy

Policies for promotion and tenure are outlined in OHSU SON Policy and Procedure 60-01.10, Faculty Appointment Promotion and Tenure, and Appendix A to those policies. The process of appointment, promotion, and tenure includes review by Appointment, Promotion, and Tenure (APT) Voting Faculty who make a recommendation to the Dean, who makes a recommendation to the Provost. Appointments, promotions, and tenure are final subsequent to approval by the Provost.

Definitions

Eligible Candidates:

Faculty at the rank of Instructor or higher seeking promotion and/or tenure within the following academic year are eligible for review providing time at current rank meets the 3-year requirement at full-time or full-time equivalence. (Note: When number of years in position or at rank is referenced, it means that number of years completed at the time the eligibility form is submitted and candidacy for promotion is declared.)

APT Voting Faculty

Faculty eligible for APT voting faculty status are those at or above the rank to which the candidate seeks promotion. For tenure decisions, faculty at or above the rank and with tenure are eligible to vote. As a precondition for voting on a candidate, the faculty member must have reviewed the candidate’s dossier and signed a confidentiality form.

Conflict of Interest

A faculty member should not participate in APT review of an individual when he or she has a conflict of interest. Such a conflict may exist when there is a familial, romantic, sexual, or other relationship with the candidate or a relationship such that the faculty member stands to gain or lose professionally or financially from the outcome of the review. Examples include when the faculty member is co-author on a significant portion of the candidate’s published work, a former advisee or advisor, or when the faculty member is dependent in some way on the candidate’s professional services as when the faculty member serves on a research grant with the candidate.

The candidate, the APT voting faculty member with the conflict, or any other member of the APT voting faculty, may identify the conflict of interest. These parties shall notify the APT committee chair in writing regarding the conflict.

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Support to the Committee Process
The appropriate Associate or Executive Dean appointed by the Dean to oversee faculty affairs (hereafter the Associate Dean) serves ex-officio and assists the Committee. A staff person supports the Appointment, Promotion, and Tenure Process (Support Staff).

Procedure
1. **Finalize and publish the timeline**
   Annually, during the first week of Winter Term, the APT committee, in conjunction with the Associate Dean, finalizes and publishes the timeline for the following academic year.

2. **Identification of Eligible Candidates**
   In April, the APT chair requests from SON Human Resources and notifies the Associate Dean of mandatory promotion, tenure, or multi-year contract renewal reviews in the following academic year.

3. **Notification of Candidates**
   The appropriate Associate Dean notifies all faculty of the dates for tenure and/or promotion review. Faculty with mandatory review are notified of the requirement.

   The candidate must notify the Associate Dean, in writing, of the intent to seek or not to seek promotion and/or tenure. At that time, a completed, signed Promotion and Tenure Application and Eligibility Form (Appendix A) and Declaration of Option to Access Review Materials (Appendix B) is submitted to the APT committee staff support person. The choice to waive access to internal and external review materials solicited as part of promotion and tenure process is the candidate’s. (See Appendix B) If you have questions about this waiver, please consult the Chair of the APT Committee.

   The Associate Dean informs the APT Committee Chair of the anticipated reviews.

   If a candidate on the tenure track who has reached 6 years on that track decides not to apply for tenure, a letter of resignation, request for transfer, or series change, effective no later than June 30 of the following year, should be given to the Dean.

4. **Dossier Preparation** (see General Dossier Instructions to Applicants and Appendices A - D)
a. Materials provided by Candidate
Candidates are responsible for preparing a dossier documenting their accomplishments relevant to the rank being sought. Candidates submit an electronic copy of the full dossier with accompanying evidence to the APT Committee. The candidate retains a personal copy of the dossier.

Significant additional information may be added electronically during the process (e.g., new funding) before the APT Committee completes its review; that material will be incorporated into the APT Committee review.

See Dossier section for specific items to be included in the dossier and for the process.

b. Materials provided by Human Resources
APT chair requests from Human Resources verification of track, missions, and date of faculty appointment.

c. External Evaluation of Scholarship (Required Only for Promotion to Associate or Full Professor or for Tenure)
Candidates are responsible for submitting names (and full contact information, including an email address) of 5 potential reviewers external to OHSU to the Associate Dean and to APT Support Staff. The APT committee selects materials and publications to be included in the materials for external reviewers. Qualified evaluators should be at or above the candidate’s desired rank/tenure.

Each outside evaluator is asked to indicate: name, title, rank, and institutional affiliation; and relationship, if any, to the candidate. Evaluators should not have a close personal or professional relationship to the candidate.

d. Selection of External Evaluators
The Associate Dean or Program Director reviews the recommendations of the candidate for external reviewers and generates a list of additional reviewers. The APT Committee reviews the list, refines it, and consults with the Dean for final selection of external reviewers. No more than one-half of the external reviewers should be from the candidate’s list.

e. Request for External Evaluation
The Associate Dean is responsible for obtaining agreement for a critical review of the candidate’s scholarly work from four qualified external
evaluators and from other units at OHSU in which the candidate has an appointment or a substantial professional involvement, whether compensated or not. Upon agreement, the Associate Dean provides each reviewer with the OHSU SON criteria for Promotion and Tenure, and copies of the candidate’s current curriculum vitae, dossier statement, and selected publications or other relevant materials. Written evaluations are due the second week of Winter Quarter.

f. Disposition of External Evaluations
All solicited letters must be forwarded to the Chair of the APT Committee and included in the candidate’s final dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above authorized persons are not included in the dossier.

5. APT Committee Review
The APT Committee verifies the accuracy of citations and other aspects of the candidate’s dossier. The APT committee is responsible for conducting a systematic review of the candidate dossier in light of the appropriate criteria and of the reviews provided by the external evaluators. For the APT Voting Faculty meeting, the APT Committee generates a summary of the candidate’s qualifications, strengths, and any areas of concern and includes a recommendation for action. Minority opinions are noted in the summary.

6. APT Voting Faculty Review
a. APT Voting Faculty Notification
APT Voting Faculty are notified at least 8 weeks in advance of the annual APT Voting meeting. The agenda is published in advance with the listing of candidates, the list of eligible APT faculty for each rank, and the invitation to identify conflicts of interest.

b. Dossier Review
The APT Committee and Support Staff prepare the materials for eligible faculty review, to include the candidate’s dossier, external reviewers’ letters, and the administrative recommendation letters.

Only faculty eligible to vote on a candidate may request the dossier for review. Faculty must sign a Confidentiality and Conflict of Interest (CCoI) form assuring confidentiality for the candidate and indicating that they have reviewed the dossier to establish eligibility to vote on the promotion and/or tenure of the candidate.

The APT Support Staff arranges for the availability and security of the dossiers for review by voting faculty. Electronic dossiers shall be
password protected.

7. APT Voting Meeting
All members of the APT Voting Faculty must accept personal responsibility for assuring that reviews are procedurally correct, fair, confidential, and free of bias for all candidates. Any procedural difficulties or other concerns about the review should be brought to the attention of the APT committee who review the concern and provide a response.

The APT Voting Meeting is conducted in Executive Session, beginning with review of candidates for the rank of assistant professor. At each subsequent rank, members below rank are excused from the meeting. Finally, non-tenured faculty are excused from tenure decisions. All deliberations and voting of the APT Voting Faculty are confidential.

The Chair of the APT Committee conducts the voting meeting. A member of the APT Committee leads the discussion of each candidate’s qualifications and achievements in the areas of teaching, scholarship, practice, and service in relation to the criteria.

Faculty unable to attend may submit written evaluations to the APT chairperson for presentation during the discussion. However, only members in attendance may vote.

At the conclusion of the presentation of each candidate, eligible APT Voting Faculty vote by secret written or electronic ballot on the recommendation for promotion and/or tenure.

For either a positive or negative recommendation, a majority vote of those present is required. In the event of a tie, the summary and vote count are forwarded to the Dean without recommendation. In the case where a faculty member is excluded because of conflict of interest or is unable to be present, the majority vote is based on the number of faculty members who are present. No absentee voting is permitted as the discussion at the meeting is considered an essential part of the consideration.

The APT Committee Chair or his/her designee prepares a report summarizing the strengths and weaknesses of the candidate, the results of the faculty vote (including number of eligible voters and complete vote count), and the recommendation made by the APT Voting Faculty. The APT Chair submits the candidate’s dossier and the report of the APT Voting Faculty to the Dean.

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The APT Committee Chair notifies each candidate of the recommendation of the faculty by the end of the next business day. The APT Chair notifies APT faculty who voted on each candidate of the outcome of the vote.

8. Opportunity for Candidate Response
The candidate may provide the APT Committee with written comments on the decision for inclusion in the dossier within 10 calendar days of notification of the completion of the faculty vote. Such comments are limited to clarifying the nature and significance of existing content included in the dossier submitted at the beginning of the process. The APT Committee may provide a written response to the candidate’s comments for inclusion in the dossier. Only one iteration of comments on the review is permitted. The APT Committee shall forward the dossier, along with all evaluations and reports, to the Dean.

9. Dean’s review
The Dean reviews each dossier, external evaluator reports, the APT Committee summary, and the report of the APT Voting Faculty. The Dean prepares a separate written assessment of the candidate and makes a recommendation to the Provost for inclusion in the dossier. The Dean reports back to the APT Committee with his/her recommendation, and in the case of a different recommendation, provides a written rationale for such decision. The Dean notifies the candidate of the recommendation of Dean to the Provost.

10. Final Notification of Candidate
The Dean notifies each candidate in writing of the Provost’s final decision. Human Resources notifies appropriate campus offices of final promotion and tenure decisions

11. Final Notification of Faculty
At the first meeting of the Faculty Council following final APT decisions by the Dean and the Provost, the Dean announces all promotions and/or tenure decisions.
Faculty Appointment Policy and Procedure for Initial Appointments, Promotion from Instructor to Assistant Professor upon earning a doctorate, and Multi-year Contracts for Associate and Above

Note: When number of years in position or at rank is referenced, it means that number of years completed at the time the eligibility form is submitted and candidacy for promotion is declared.

General Dossier Instructions to Applicants

Dossier Overview:
Faculty requesting review for promotion or tenure must submit a dossier that reflects their accomplishments at the desired rank. Reviewers evaluate the quality and quantity of the candidate’s scholarship as reflected in the dossier. The committee may request supplemental information from a candidate; however, data from sources outside the dossier, (e.g., personal knowledge of a candidate by a committee member) are not included in the review process. There is a hierarchy of strength in evidence, with peer-reviewed documents (e.g., first-authored data-based, peer-reviewed publications, approved grant proposals and funded grants) strongest and required at the higher ranks in all missions.

Materials must be divided into sections by mission and clearly delineated by the criteria for the appropriate mission and rank.

1. Dossiers will only be accepted in Adobe PDF format as a single file, using appropriate bookmarking to divide the file into sections that match the table of contents for easy reference.
2. Dossiers are not accepted in the Adobe portfolio format.

General guidelines for the dossier:
1. Focus on accomplishments since hire or last promotion.
2. Write only to the criteria in Appendix A that you are addressing. Be specific and give only the pertinent details; clearly link evidence to the criteria.
3. Quality is better than quantity.
4. Seek mentorship before you submit your dossier.
5. Seek technical assistant from APT Support Staff.
6. The file must be sequentially paginated. APT Support Staff assist with this process. The pagination of the final, completed electronic dossier is done rev. 2014.10.01
by the APT Support Staff at the time of submission, and no changes to the final dossier are possible after that process is complete.

7. Page limits - The letter from the applicant, summary statement and evidence table together should not exceed 15 pages. Submitted evidence is not counted in the 15 page limit. Total number of pages, including the evidence and letters of support, should not exceed 100 pages for applicants at the Assistant Professor rank and 200 pages for applicants at the Associate or Full Professor ranks or for tenure.

8. Dossiers that exceed the allowed number of pages are not considered.

9. Identify evidence by section and/or numbering system.

Content:
1. Letter from the applicant will identify the primary (and secondary where appropriate) mission(s), current rank and desired rank or tenure, and a list of persons from whom letters of review were requested.

2. Summary Statements
   A. The candidate should include a brief rationale for the mission or missions, and a summary statement introducing each mission. This document, written by the candidate, should summarize his or her scholarship in the primary (and secondary, if appropriate) mission and orienting the reviewer to the evidence included.
   B. Summarize scholarship in the primary (and secondary, if appropriate) mission to orient the reviewers to the types of evidence included and why that particular piece of evidence is relevant.
   C. Limit the summary statement to no more than 2 pages for each mission.

3. Forms
   A. Promotion and Tenure Application and Eligibility Form (see Appendix A of this manual).
   B. Declaration of Option to Access Evaluation Materials (see Appendix B of this manual).
      Note: Appendices A and B from this manual should be sent to the APT committee Staff Support person at the same time. Information about whether or not you have waived access to these letters will be included in requests to external reviewers. The candidate should notify those from whom they solicit letters whether or not they have waived access.

4. Teaching Activity, Graduate Student Involvement, and Citizenship Summary (see Appendix C of this manual).

5. Include copies of Appendices A, B and C from this manual in the final dossier.

6. Current CV using the OHSU template.

7. Evidence table

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A. Construct the evidence table to reflect the specific mission(s) and rank requested, using Appendix A from Policy/Procedure 60-01.10.

B. The table should include:
   1) Mission-Teaching, Practice, or Research as appropriate;
   2) Rank being sought-
      a) Clinical Assistant, Associate or Professor if single mission;
      b) Assistant, Associate, Professor in the academic series, multiple missions;
      c) Research Assistant, Associate, Professor in the research series.
   3) Elements
      a) Scholarship
      b) Effectiveness
      c) Service

C. Criterion - specify the criterion for the rank requested (use Appendix A, Policy/Procedure 60-01.10).

D. Rationale – describe for the reviewer how the evidence demonstrates the criterion.

E. Location of evidence - use a numbering or identification system that allows reviewers to easily find and match to the criterion. Please consult with APT Support Staff about how to do this well.

8. Evidence documents (refer to Appendix A, Policy/Procedure 60-01.10 for examples of evidence to meet the required criteria)

A. Select publications carefully as evidence that relates directly to the criteria.

B. Syllabi - if a course is taught more than once, only include the most recent one. If there is something special, describe it in the narrative.

C. Faculty who work in teams must delineate what part of the product was hers/his and should not imply that accomplishments of the committee or teaching team were her/his own work.

D. Do not include entire Sakai discussion section postings; one example is enough if you use as evidence.

E. No PowerPoint presentations are permitted. List the presentations in the CV and describe them in summary, if significant.

F. Abstract or face sheet for grants only, not the entire grant. Indicate if the grant was reviewed, scored and/or funded, and provide the critique (for NIH grants, provide resume and summary).

9. Letters of evaluation (candidate to provide to Support Staff a list of persons from whom letters were requested). These are not the same as external reviewers.

A. Letters should be sought from individuals familiar with the applicant’s work.
B. One (1) letter must come from the applicant’s direct supervisor or appropriate Associate Dean.
C. Additional letters from individuals who are knowledgeable about the applicant’s work are also required. (See Appendices E and F of this manual regarding guidelines for specific ranks.)
D. Highly desirable letters of support in this category would show evidence for any or all of the following:
   1. Inter-professional education
   2. Team science
   3. Team innovation
E. The letters of support should provide:
   1. How the writer knows the applicant’s work.
   2. A statement by the writer stating that there is no personal or professional conflict of interest in providing a letter of support.
   3. Specific information relative to the mission, criteria and elements proposed by the applicant and how the applicant meets the criteria.
F. Applicants should avoid soliciting letters of evaluation from faculty of lower rank or from students, unless those faculty or students are specifically providing evidence of elements, such as mentorship by the applicant.
Appendix A: Promotion and Tenure Application and Eligibility Form

Applicant: ________________________________

Initial OHSU SON Faculty Appointment Date: ________________

Current Rank: ________________ Date of Last APT Review: __________________

Series:
☐ Clinical
☐ Research
☐ Academic

Tenure Track? ☐ Yes / ☐ No

I am requesting application for (applicant to check one):
☐ Tenure only
☐ Tenure and Promotion to Rank of __________
☐ Promotion only to Rank of __________

Missions (check all that apply):

☐ Teaching ☐ Research ☐ Practice

Please list your FTE below only if your OHSU Faculty FTE has been less than 1.0 during any of the last three years.

<table>
<thead>
<tr>
<th>Year</th>
<th>FTE</th>
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<tbody>
<tr>
<td>1.</td>
<td>________________________________</td>
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<tr>
<td>2.</td>
<td>________________________________</td>
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<tr>
<td>3.</td>
<td>________________________________</td>
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<tr>
<td>4.</td>
<td>________________________________</td>
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<tr>
<td>5.</td>
<td>________________________________</td>
</tr>
<tr>
<td>6.</td>
<td>________________________________</td>
</tr>
</tbody>
</table>

ELIGIBILITY: (Information above, including mission and tracks, to be certified by Campus Associate Dean or Program Director for both tenure and promotion applicants.)

The above faculty meets the eligibility criteria for application to the desired rank in the appropriate track at the time this form is completed. Based on my recent evaluation of this candidate, this is an appropriate time to seek promotion and/or tenure.

Signature: _____________________________ Date _____________________

Appropriate Associate Dean

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Appendix B: Declaration of Option to Access Evaluation Materials

Oregon Revised Statute 353.260 provides that a faculty member shall have full access to his or her personnel file or records kept by the University. That law further provides that the university when evaluating employed faculty members shall not solicit or accept letters, documents, or other materials, given orally or in written form, from individuals or groups who wish their identity kept anonymous or the information they provide kept confidential.

All faculty members, therefore, have a right to view any reviewer’s evaluations submitted in connection with the faculty member’s proposed promotion and tenure. Some faculty prefer to waive the right to review evaluation materials requested from on-campus and off-campus reviewers. You may execute the waiver below, if you choose to do so. However, it is not required, and all faculty are entitled to and will receive full and fair evaluation of dossier materials submitted in support of promotion and tenure, including evaluations, whether submitted confidentially or not.

PLEASE COMPLETE ONE OPTION BELOW:

Option A: Waive Access to Submitted Evaluation Materials from Reviewers

I hereby waive, in advance, my legal right of access to see the evaluation materials requested from and submitted by reviewers both from within the University and external to it in conjunction with my _________ (fill in current year) dossier prepared in support of promotion and/or tenure. I make this waiver with full knowledge of my legal rights under Oregon law as outlined above. This form may be submitted to proposed reviewers.

______________________________________ __________________
Name            Date

Option B: Retain Access to Submitted Evaluation Materials from Reviewers

I hereby reserve, in advance, my legal right of access to see the evaluation materials requested from and submitted by reviewers both from within the University and external to it in conjunction with my _________ (fill in current year) dossier prepared in support of promotion and/or tenure. I retain this right with full knowledge of my legal rights under Oregon law as outlined above. This form may be submitted to proposed reviewers.

_____________________________________  __________________
Name        Date

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**Appendix C: Teaching Activity, Graduate Student Involvement, and Citizenship Summary**

**TEACHING ACTIVITY TABLE**

<table>
<thead>
<tr>
<th>Quarter /Year</th>
<th>Course Number &amp; Credit Hours</th>
<th>Course Title</th>
<th>Course Enrollment</th>
<th>% of Course Taught</th>
<th>Explanation if &lt; 100%</th>
<th>Formal Evaluation (where appropriate)</th>
</tr>
</thead>
<tbody>
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<td>Students</td>
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</table>

**GRADUATE STUDENT INVOLVEMENT TABLE (if applicable)**

<table>
<thead>
<tr>
<th>Names of students</th>
<th>Your role (e.g., advisor, chair dissertation or CIP)</th>
<th>Years worked with students</th>
<th>Indicate if student completed degree</th>
<th>Indicate student’s institution if not OHSU</th>
</tr>
</thead>
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**CITIZENSHIP**

Summarize your citizenship activities to school, university and profession by committee, role and timeframe.

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**Appendix D: Format for Evidence Table**

(Reference Appendix A of Policy/Procedure 60-01.10 for rank-appropriate criteria, examples of evidence)

<table>
<thead>
<tr>
<th>Mission/Rank</th>
<th>Element</th>
<th>Criterion (appropriate to the rank you are seeking)</th>
<th>Rationale</th>
<th>Selected Evidence/location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scholarship</td>
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</tr>
<tr>
<td>Effectiveness</td>
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<td></td>
</tr>
<tr>
<td>Service</td>
<td></td>
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</table>