

Faculty Senate

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Faculty Senate

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Promotion & Tenure Committee

Standing Rules

The Faculty Senate Promotion and Tenure Committee reviews University Promotion and Tenure Guidelines and observes and advises on matters pertaining to the promotion and tenure process. In promotion and tenure cases where there is a negative or split recommendation at either the unit or college level, the University Promotion and Tenure Committee invites the relevant unit supervisor and college dean for discussion. Representatives from the Faculty Senate Promotion and Tenure Committee will have access to the dossiers and participate in these discussions, although they are not voting members of the University Promotion and Tenure Committee. The Faculty Senate Promotion and Tenure Committee provides input on the promotion and tenure decision process through its annual report to the Faculty Senate Executive Committee and to the Provost's Office. The annual report also includes a summary of the previous year's promotion and tenure actions provided by the Office of the Provost.

The Faculty Senate Promotion and Tenure Committee shall consist of six Faculty who have been granted tenure at OSU and who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Faculty Senate Promotion and Tenure Committee provides leadership for campus-wide educational programs related to the promotion and tenure process and facilitates on-going dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, department heads/chairs, deans, and department and college committees.

(06/12; 05/10)

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Promotion & Tenure Committee

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- February 3 ~ 379 Weniger

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From: Warner, Rebecca

Sent: Tuesday, July 26, 2011 10:41 AM

To: Provost's Council; Chadwell, Faye; Inform-C02 (Academic/Research Heads/Chairs/Directors); Inform-C03 (Administrative Heads/Chairs/Directors)

Cc: Provost's Council Assistants; Cook, Kerrie; Haluzak, Sarah D; Nunnemaker, Vickie L; Higginbotham, Jack; Eklund, Sara; Spinrad, Rick

Subject: Revised P&T Guidelines

Revisions to the Promotion and Tenure Guidelines were approved by the Faculty Senate on April 14th, 2011 and approved by President Ray on July 6, 2011. Attached is a document which outlines these revisions. The Promotion and Tenure Guidelines are available at the following website: <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines>.

These revisions are effective for the 2011-2012 promotion and tenure cycle. Please make sure individuals within your unit are aware of these revisions as well.

If you have questions regarding these changes, please contact the Office of Academic Affairs.

Thank you,
Becky

Rebecca Warner
Senior Vice Provost for Academic Affairs
628 Kerr Administration
Oregon State University
541.737.0732 phone
541.737.3033 fax

The highlighted text indicates an addition; the strike-through text indicates a deletion.

***Approved Changes by Faculty Senate to
Existing Procedural Guidelines for Promotion and Tenure
April 14, 2011***

Approved by President Edward Ray on July 6, 2011

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled by the candidate with assistance from the supervisor to assure proper format and inclusion of all necessary information, as given in the Dossier Preparation Guidelines at (<http://oregonstate.edu/facultystaff/handbook/dosguide.html>).

Tenure Unit Review and Recommendation

The strike-through sentence is to be deleted since it appears in the above section, last sentence.

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. ~~Guidelines for dossier preparation and content are provided at <http://oregonstate.edu/facultystaff/handbook/dosguide.html>.~~ The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

~~The supervisor and unit committee should review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines. Dossiers that are incomplete or improperly formatted will be sent back to the candidate and unit supervisor.~~

The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty, ~~excluding the unit supervisor.~~ The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. ~~The Committee should also review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines.~~ Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation will include a fair and balanced summary of performance relative to tenure and/or promotion considerations and is expected to include a summary of all solicited evaluations -- confidential and non-confidential -- received as part of a promotion and tenure review. The supervisor may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and provide a fair and balanced summary of summarize all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit level reviews to add a written statement regarding these reviews, to be included in the dossier.

~~Also, as~~ As stated in the Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/persrec.html>), should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's dossier to verify that all statements therein have properly summarized external evaluations. This review is to be completed and forwarded to the College at least two weeks prior to the scheduled completion of the College level review. This review becomes a part of the dossier at that time. The request by the candidate for this review must be submitted to the Faculty Senate within one week after receiving all unit level reviews.

~~In addition, at~~ At any time during the review process the candidate may withdraw

his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

~~The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is intended to be an independent voice of evaluation that is elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college.~~

Replace above paragraph with:

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is to be elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

~~The college faculty committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college. The reviewers at the college level are to determine whether the departmental-level letters of evaluation fairly assess the merits of the candidate's performance as documented in the dossier. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.~~

Replace above paragraph with:

The college faculty committee review letter shall provide: (i) an independent evaluation of the merits of the candidate as presented in the dossier, (ii) an opinion as to whether the departmental-level letters of evaluation fairly and uniformly assess the merits of the candidate's performance as documented in the dossier, and (iii) an assessment of the consistency of standards applied to all candidates in the college. In addition, the committee should check that each dossier has been properly prepared.

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- [Faculty Forum on Position Descriptions](#) – January 23, 2002
- [Promotion and Tenure & Critical Issues Forum](#) – May 14, 2002
- [Faculty Forum on Validation and Documentation of Scholarship](#) – May 24, 2002
- [Faculty Forum - Reflections on Scholarship - Peer Evaluation of Teaching](#) – November 19, 2002
- [Faculty Forum on P&T \(Process, Position Descriptions, and Scholarship\)](#)
- [Promotion and Tenure Open Forum for Faculty](#) – April 21, 2011
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- [Notes on P&T Guidelines Change \(7/2/07\)](#)
- [P&T Responsibility Matrix \(7/2/07\)](#)
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Promotion and Tenure Committee

Membership – 2013-2014

Russ Karow, Co-Chair '15	Crop & Soil Science
Henri Jansen, Co-Chair '16	Physics
David Trejo '14	Civil and Construction Engineering
Nicole von Germeten '14	History
Gary Delander '15	Pharmacy
Leslie Burns '16	Design and Human Environment

Executive Committee Liaison – Bernadine Strik

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Promotion and Tenure Committee

Membership – 2012-2013

Henri Jansen (v. Zhao), Chair '13
Donna Champeau, '13
David Trejo '14
Nicole von Germeten '14
Gary Delander '15
Russ Karow '15

Physics
Social & Behavioral Health Science
Civil and Construction Engineering
History
Pharmacy
Crop & Soil Science

Executive Committee Liaison – Dan Edge

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Promotion and Tenure Committee

Membership -- 2011-2012

Michelle Kutzler, Chair '12	Animal Sciences
Jennifer Field '12	Environmental and Molecular Toxicology
Donna Champeau, '13	Women's Advancement and Gender Equity
Henri Jansen (v. Zhao) '13	Physics
David Trejo '14	Civil and Construction Engineering
Nicole von Germeten '14	History

Executive Committee Liaison - Kevin Gable

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Promotion and Tenure Committee

Membership -- 2010-2011

Jim Liburdy '11 (Chair)	Mechanical Engineering
Eric Hanson '11	Wood Science & Engineering
Jennifer Field '12	Environmental & Molecular Toxicology
Michelle Kutzler '12	Animal Sciences
Donna Champeau '13	Womens Advancement/Gender Equity
Yanyun Zhao '13	Food Science & Technology

Executive Committee Liaison - Kate Hunter-Zaworski

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Membership -- 2009-2010

Jim Liburdy '11, Chair	Mechanical Engineering
Ray Brooks '10	College of Business
Dwaine Plaza '10	Sociology
Eric Hansen '11	Wood Science & Engineering
Jennifer Field '12	Environmental & Molecular Toxicology
Michelle Kutzler '12	Veterinary Medicine

Executive Committee Liaison - Leslie Burns

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Membership -- 2008-2009

Jim Liburdy '11, Chair	Mechanical Engineering
Bill Braunworth '09	Agricultural Sciences
Maret Traber '09	Linus Pauling Institute
Dwayne Plaza '10	Sociology
Ray Brooks '10	College of Business
Eric Hansen '11	Wood Science & Engineering

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Promotion and Tenure Committee

Membership -- 2007-2008

Roger Nielsen '08, Chair	Geosciences
Paul Farber (v. Ibrahim) '08	History
Jim Liburdy '08	Agricultural Sciences
Bill Braunworth '09	Mechanical Engineering
Maret Traber '09	Linus Pauling Institute
Dwayne Plaza '10	Sociology

Executive Committee Liaison - Tony Wilcox

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Promotion and Tenure Committee

Membership -- 2006-2007

Roger Nielsen '08, Chair	Geosciences
Margaret Burnett '07	Computer Science
Erlinda Gonzales-Berry (v. Xing) '07	Ethnic Studies
Paul Farber (v. Ibrahim) '08	History
Jim Liburdy '08	Agricultural Sciences
Bill Braunworth '09	Mechanical Engineering
Maret Traber '09	Linus Pauling Institute

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Promotion & Tenure Committee

Membership -- 2005-2006

Barbara Edwards '06. Chair	Mathematics
Janet Lee '06 (v. Lundy)	Women Studies
Margaret Burnett '07	Electrical Engineering & Computer Science
Jun Xing '07	Ethnic Studies
Roger Nielsen '08	Geosciences
Farah Ibrahim '08	Education
Executive Committee Liaison - Bob Mason	

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Promotion & Tenure Committee

Membership -- 2004-2005

Loretta Rielly '05, Chair	Valley Library
Andrea Marks '05	Art
Barbara Edwards '06	Mathematics
Margaret Burnett '07	Electrical Engineering & Computer Science
Jun Xing '07	Ethnic Studies
TBA (v. Lundy) '06	

Executive Committee Liaison - Joan Gross

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Promotion & Tenure Committee

Membership -- 2003-2004

Dan Arp '04, Chair	Botany & Plant Pathology
Charles Langford '04	Sociology
Andrea Marks '05	Art
Loretta Rielly '05	Valley Library
Barbara Edwards '06	Mathematics
Jim Lundy '06	Civil, Construction & Environmental Engineering

Executive Committee Liaison - John Westall

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Promotion & Tenure Committee

Membership -- 2002-2003

Dan Arp '04, Chair	Botany & Plant Pathology
Fred Obermiller (v. Powelson) '03	Agricultural & Resource Economics
Jack Higginbotham '03	Nuclear Engineering/Research Office
Charles Langford '04	Sociology
Andrea Marks '05	Art
Loretta Rielly (v. Kesler) '05	Valley Library

Executive Committee Liaison – Angelo Gomez

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Promotion & Tenure Committee

Membership -- 2001-2002

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Shawna Grosskopf '02	Economics
Jack Higginbotham '03	Graduate School
Mary Powelson '03	Botany & Plant Pathology
Charles Langford '04	Sociology
TBA '04	

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Promotion & Tenure Committee

Membership -- 2000-2001

Norm Lederman '01, Chair	Science & Math Education
TBA (v. Mills Morrow) '01	
Shawna Grosskopf '02	Economics
Rakesh Gupta '02	Forest Products
Jack Higginbotham '03	Graduate School
Mary Powelson '03	Botany & Plant Pathology

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Membership -- 1999-2000

Tom Savage '00, Chair	Animal Sciences
Mike Mix '00	Zoology
Alice Mills Morrow '01	Extension Home Economics
Norm Lederman '01	Science & Math Education
Janet Lee '01	Women Studies
Shawna Grosskopf '02	Economics
Rakesh Gupta '02	Forest Products

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Promotion & Tenure Committee

2009-2010 Annual Report

Committee Members: Ray Brooks, Jennifer Field, Eric Hansen, Michelle Kutzler, Jim Liburdy (chair), Dwaine Plaza

The Faculty Senate Promotion and Tenure committee was given four specific charges

1. Review the unit level process for promotion and tenure and make proposed changes as deemed necessary and submit to the full senate for consideration.
2. Examine the Standing Rules of the FS P&T Committee and propose changes as needed to be consistent with its operations.
3. Examine the role of FS P&T representatives to the University level review process and propose changes to the Guidelines as needed.
4. Review the Guidelines for Position Description and propose changes as needed to better provide a clear understanding of faculty duties.

In addition, several other topics arose that were discussed:

1. A proper and effective definition of scholarship when applied to a relatively low FTE component of a faculty member's position description may be needed.
2. A clearer understanding may be needed of what is implied and expected of individuals going up for promotion and tenure prior to their final year of consideration.
3. Considerations and expectations of post-tenure promotion from associate to full professor is not well understood by many units and may require some more detailed documentation.

In the sections below the committee's actions are described. Additional information exists as part of other Faculty Senate meeting minutes, such as the actual documents proposed and the outcome of the Faculty Senate votes, and is not reproduced here.

1. Review the unit level process for promotion and tenure

The P&T Committee examined the existing unit level review guidelines and drafted several proposed changes. These were brought to the Executive Committee for review and comments. Several iterations occurred and a final draft was presented to the Faculty Senate. Again after several iterations a final proposal was presented and passed by the Faculty Senate in March. This was finally approved by President Ray and is anticipated to be part of the new Guidelines beginning with the 2010-11 academic year. See [Appendix 1](#)

The primary changes are (i) reorganization of the guidelines to identify specific responsibilities, (ii) rewording to assure that the committee fairly represents the diversity and breadth within the unit and that representation includes individuals with a similar area of expertise as the candidate in all areas of the position description and (iii) wording was added addressing peer evaluation such that all areas of the position description are evaluated with some means of peer input.

2. Examine the Standing Rules of the FS P&T Committee

The Standing Rules were reviewed and proposed to be modified to indicate that representatives to the University review process are involved in all deliberations of candidates where there is mixed recommendations. These changes were passed by the Faculty Senate in May. See [Appendix 2](#).

3. Examine the role of FS P&T representatives to the University level review

Changes to the guidelines were proposed under the University Review section to indicate that the

Faculty Senate P&T Committee representative shall participate in all deliberations concerning candidates who have mixed recommendations. This change was accepted. See [Appendix 3](#).

4. **Review the Guidelines for Position Description**

The Guidelines for Position Description were reviewed, particularly in light of clarity regarding scholarship. The only change that was recommended was that the sentence regarding the need to identify the portion of FTE that is assigned to scholarship be moved from the third to fifth paragraph which is the paragraph discussing scholarship. See [Appendix 4](#).

Other Business, Discussions and Recommendations

1. There is still concern that the understanding of scholarship for low scholarship FTE expectations given in the position description is poor. It might be best to include at the university level, and be reinforced at the college or unit level, some documentation of what is expected. This could include statements as to differences in expectations between high and low FTE situations such as leadership role expectations in publications, proposals or research collaborations.
2. There needs to be a university-wide understanding of what is meant by "going up early" for promotion and tenure. This should include a delineation of expectations as well as a discussion of possible ramifications.
3. There seems to be vast differences in the culture associated with promotion from associate to full professor across campus. Some units "expect" promotion to full to occur in a timely fashion if they are doing their job as described in the position description and others interpret the process to be one of "extraordinary accomplishment." This difference of views is detrimental to the overall well being of the faculty and a more uniform understanding and application should be applied.
4. There seems to be some confusion and/or ambiguity with the College Review guidelines that were passed last year. The intent of the proposed changes, as was presented at the FS meetings, was that each college committee provide an evaluation of the qualifications of the candidate as well as assure that the dossier is properly prepared. Wording may want to be added/changed in the current document to reflect this. This could be done by inserting "also" in the first sentence of the third paragraph after "should."
5. The tenure unit guidelines passed this year also posed some questions regarding the interpretation of peer evaluation review. The P&T committee may want to add some language to the guidelines to provide more details on how this can be interpreted.
6. In the University Review guidelines there is mention that the "dean and supervisor will be invited" by the provost for discussion if a case has mixed recommendations (end of third paragraph). This might want to be changed to "dean or supervisor or both."
7. The current level of documentation of all specific procedures used at the unit and college levels should be made available for ease of access by faculty. Although these may currently be available, it is recommended that the committee survey all units and determine the level of documentation that exists.
8. The P&T Committee met with Becky Warner and Sara Eklund on March 1, 2010 for discussion of the University level review and the role of the P&T Committee representative. The following items were discussed and or explained to the Committee (i) the University Committee does not vote on candidates but rather provides individual input directly to the Provost after their discussions, (ii) it was stated that it is not appropriate for FS P&T Committee representatives to have access to dossiers other than that of the candidate(s) being reviewed, (iii) it was agreed that the Committee representative could provide a written input to the Provost as to their opinion/concern regarding a specific case, (iv) the Committee representatives should be given a copy of all questions that are given to the dean and/or supervisor prior to the meeting, (v) it was agreed that the Provost's office will send to the FS P&T Committee a listing of all the issues raised by the University Committee to help in writing the final report by the FS P&T Committee.
9. After the Faculty Senate P&T Committee participation in the University review several observations were made. It should be recognized that the cases under review were only ones with a negative or mixed recommendation. The cases under review tended to have one or more of the following attributes:

- Unit level guidance to assist candidates in dossier preparation was lacking - although a University-wide means of "educating" unit heads/chairs is in place, it is not apparent that all heads/chairs are paying attention.
- Unit and college level expectations were not made clear to the candidate - guidelines at the unit/college level that address questions by faculty would be useful. Maybe a college-wide forum would be useful (similar to the ones conducted by Becky Warner). This would provide a more direct interaction between candidates and the first line of review.
- The interpretation of proper scholarship is problematic especially for fairly low FTE assignments. Candidates may feel they are doing what is required only to find out too late that more of "something else" was needed.
- Outside reviewers need to be more carefully selected to best provide input on scholarship of candidates. Attention needs to be paid to selection of outside reviewers who "live in a different environment" so that evaluations can be made based on the promotion and tenure expectations at OSU.

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Promotion & Tenure Committee

2008-2009 Annual Report

Committee Members: Jim Liburdy (chair), Bill Braunworth, Dwaine Plaza, Maret Traber, Ray Brooks, Eric Hansen

The Faculty Senate Promotion and Tenure committee was given three specific charges as of July 2008:

1. Finalize a proposal for the Student Evaluation Letter for the promotion and tenure dossier process and submit to the full senate for consideration;
2. Finalize a proposal for the Post-Tenure Review process and submit to the full senate for consideration; and
3. Review the college level process for promotion and tenure and make proposed changes as deemed necessary and submit to the full senate for consideration.

In addition, several other topics arose that were discussed:

1. Faculty Senate P&T Committee participation in University level P&T review;
2. Faculty representation on the University level P&T processes;
3. FTE definitions across the University with regard to the P&T evaluation; and
4. Evaluation of the unit level review process for P&T.

In the sections below, the committee's actions are described for each of the items. Additional information exists as part of other Faculty Senate meeting minutes, such as the actual documents proposed and the outcome of the Faculty Senate votes, and will not be reproduced here.

1. **Guidelines for the student evaluation letter for the promotion and tenure dossier**

Guidelines were originally developed in the previous year (see P&T Comm. Annual report 07-08). These were reviewed and slight wording changes were made and then sent forward to the Faculty Senate. They have been passed and are now part of the University P&T Guidelines.

2. **Post Tenure Review process for tenure-track faculty**

The Committee was charged with starting with the preliminary recommendations developed by the Post Tenure Review Ad Hoc Committee of 07-08 (Arp, Carson, Johnson, Jovanovic and Nielson), which were approved by the Faculty Senate, and develop a proposed set of Post Tenure Review Guidelines. As written, the primary goal of the post tenure review process is to provide supportive feedback and process to faculty who have been identified as underachieving. The outcome is a professional development plan unique to the faculty member developed by a faculty committee and unit head. The final document was presented to the Faculty Senate for consideration and was passed.

3. **College level process for promotion and tenure**

The review of the college level review process for P&T was undertaken based on recommendations made in last year's FS P&T Committee Annual Report. The goal of the review was to evaluate the degree of uniformity across the University but allowing each college flexibility in implementation, and to assure that the process was fair and there were independent and merit based reviews by the College Committee and the Dean. The proposed guidelines that were developed identify the process for forming and make-up of the college-wide committee. The dean is provided the opportunity to formulate a second committee to assist in the dean's evaluation. It should be noted that the development of the guidelines included several iterations between the P&T Committee and the Faculty Senate as a whole. The P&T Committee believes that to be successful the unit and college leadership need to provide

detailed and consistent expectations to all faculty, clearly identified in the annual review process.

Other Business and Discussions

1. The degree to which the FS P&T Committee participates in the University review process was evaluated. New Guidelines for this participation were drafted and sent to the Provost and Vice-Provost for consideration. Wording changes were made to assure that the Faculty Senate P&T Committee representative "participates" in the deliberations of those candidates that have received "mixed recommendations at the unit or college level". This extends the faculty voice beyond observation of procedural evaluation. These changes were adopted beginning 2008-2009.
2. There was considerable discussion on the proper representation at the University review for P&T. This discussion was generated by a faculty member who had concerns of the current faculty representation. The P&T Committee deliberated possible changes to the representation by the members of the FS P&T Committee, such as the past Faculty Senate President and explicit inclusion of a faculty member of the Liberal Arts and Humanities, as was suggested by the faculty member. Both of these options were deemed not acceptable by the Faculty Senate P&T Committee, but rather favored maintaining the existing faculty representation through the Faculty Senate P&T Committee members. The former was thought to be restrictive in potential conflict of interest (candidates from the same college) and may require undue time constraints on the past FS President. The suggestion of a faculty member from a specific unit or college was deemed unacceptable in that it singles out a specific college or unit in favor of others and the degree to which the current system has representation across the University seems adequate.
3. Discussions took place on the acceptable means of defining FTE equivalence across the University. The level of effort in teaching, research and service and how it is defined in terms of FTE does depend on the history, culture, needs and goals of specific units. It is not obvious that there needs to be an effort to develop some uniform definition of FTE, but in the P&T evaluation and review process these differences need to be recognized. As a related issue, questions arose as to how institutes and centers provide adequate input in the University P&T deliberations. The goal of providing fair, knowledgeable and diverse opinions in the P&T process needs to be assured.
4. The Committee believes that there needs to be a review of the unit level P&T review process to assure consistency with the revised College level review. The goal is to provide proper representation to assure fair and knowledgeable evaluation at the unit level, and to assure that the faculty committee input is indeed independent of the unit head/chair. Guidelines for the unit level faculty committee should provide a diverse and adequately broad representation to assure a balanced review.
5. It was suggested last year that the Evaluation section of the P&T Guidelines be rewritten for clarity. This was not addressed in 2008-2009 due to the need to complete the rewriting of the various guidelines and proposals indicated above.
6. After the Faculty Senate P&T Committee participation in the University review several observations were made. The "problem" cases under review tended to have one or more of the following attributes:
 1. Unit level guidance to assist the candidate in dossier preparation was lacking – should there be a more University-wide means of "educating" unit heads/chairs on this important task?
 2. Unit and college level expectations were not made clear to the candidate – again can guidelines be made to assure proper position descriptions and annual evaluation feedback as two specific issues and concerns and how remedies can be achieved?
 3. The ability to properly and effectively define scholarship is problematic when the FTE for research/scholarship is below 25% - do we need more quantitative measures or some innovative way to define achievements at low FTE levels?
 4. Outside reviewers, in some cases, were poor choices (personal friends seemed to be selected and a lack of a broad-based evaluators occurred) – do stricter guidelines need to be put in place for the selection of outside reviewers?
 5. The evaluations are often difficult when considering faculty at the Cascades campus based on local needs and expectations – should these have a different evaluation criteria?

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Promotion & Tenure Committee

2007-2008 Annual Report

Roger Nielsen (chair), Bill Braunworth, Paul Farber, Jim Liburdy, Dwaine Plaza, Maret Traber
This was another active year for the Promotion and Tenure Committee, with a number of important charges handed to us as follow-up activities and charges at the beginning of the year. In addition, other discussions intersected our purview during the year and have been added under individual headings.

At the beginning of the year (July 2007), the Faculty Senate Promotion and Tenure committee was given three specific charges:

- Creation of a university wide mid-term review process for tenure-track faculty.
- Creation of a set of guidelines for the student evaluation letter for the promotion and tenure dossier.
- Review of the College level process for promotion and tenure.

In the sections below, I will discuss what the committee's actions were on each of the items. Additional information exists as part of other Faculty Senate meeting minutes and will not be reproduced here (I have tried to reference appropriate documents).

Original Charges

Creation of a university wide mid-term review process for tenure-track faculty

Our committee successfully developed a set of guidelines that has now been approved by the Faculty Senate and is being implemented across the university. The document (attached) will become part of a series of guidelines maintained by the Office of Academic Affairs to provide faculty the information they need to take charge of their own cases, and to help units stay on track with respect to the advice they are providing to their junior colleagues.

Creation of guidelines for the student evaluation letter for the promotion and tenure dossier

This second major charge was focused at improving the quality and consistency of the student input for promotion and tenure. Specifically, we targeted the need to obtain information on performance of faculty as advisors by facilitating the collection and use of letters from former students and advisees. In addition, the new guidelines were written within the framework of the need to clarify the boundaries of the waiver of access for student letters. This was accomplished in collaboration with the office of Legal Council and the FS Executive Committee.

The resultant document (attached) represents another administrative tool, which will be maintained by Academic Affairs.

Review of the College level process for promotion and tenure

The committee made a number of alterations in the unit level guidelines last year, as well as changes to the definitions of the specific assignments. This year, we were asked to examine the role of the college review process.

After some discussion in our committee, it became clear that the college level process has a less clear purpose than does the P&T process at the unit or University level. This may be viewed either as a lack of clarity, or as flexibility. Regardless, the response taken by various colleges at OSU raised the issue of the lack of a uniform process at the college level across the university. The two most important examples of this

are:

1. The degree of independence of the college committee and the dean. (e.g. does the college committee meet and deliberate separately prior to writing it's own independent letter?)
2. The extent of the faculty voice at the college level. Specifically, what is the membership of the college committee? Currently the range is from a faculty dominated committee to a committee essentially entirely composed of administrators.

These issues were raised with the Provost's Council. Specifically, we asked "what level of uniformity in process and standards is optimal from the perspective of the College administration?"

In response, we received some specific information, strong opinions and requests for our positions. Questions from the Provost's Council are in bold, followed by our position statement.

Should there be a merit review at the College level?

Merit review is implicit in P&T process at all levels. Process review is specifically mentioned in the section in the P&T guidelines on the college level process because of past problems with process at the unit level.

How should we specify the character of faculty representation at the College level?

College level P&T committees should have significant independent faculty representation. In this case, independent in the sense of being selected by a process independent of the Dean's office. The goal should be to select individuals who:

- are knowledgeable with respect to the process and the promotion benchmarks
- represent the faculty perspective as a whole (not the candidate)
- are viewed as independent from the dean and administration.

Individuals might be selected from among elected unit P&T committee chairs, former unit chairs, or from an established list of volunteers (as per Anne Gillies suggestion last year).

The committee did not feel that they wished to make specific recommendations with respect to the proportion of the faculty representation. The paramount issue is the independence of the voice. This interpretation is consistent with the current wording of the guidelines. In effect, we interpret the selection of the faculty voice on the college committee by the Dean as a conflict of interest – something that is spoken to in other sections of the guidelines. Therefore, no additional changes in the guidelines need to be made.

What remains to be determined is the process for selecting the faculty representative(s). That process should be left to the individual college based on their own culture and history.

Independence of College level committee and Dean's office evaluation

One outcome of the position outlined above is that the evaluation performed by the college level committee should be independent of that done by the Dean or their designees.

Use of unit's strategic goals as criteria for Promotion and Tenure

The committee felt that the pursuit of strategic goals by unit leadership is clearly important. However, individual goals must be made consistent with those strategic goals if unit and college leadership wish to fairly implement their visions. In particular, with respect to individual faculty, the influence of strategic goals is most effectively and fairly wielded at the time of a faculty member's hire. Strategic goals – if they are important to the leadership of the college – and will be used for P&T– should be a component of the individual's position description. There is ample opportunity to revisit those goals each year and during the mid-tenure review. In that way, all parties are aware of the strategic and personal expectations inherent in each individual position.

It is the committee's position that it is the leadership's role to clearly communicate the impact of collective expectations on each individual during the annual review and mid-term review processes. Individuals should not be held accountable for strategic criteria for which they are unaware. To do so is fundamentally unfair and incompatible with the basic premise of the tenure system.

Recommendations

Our conclusions were that the current promotion and tenure guidelines for the college level process are overly vague. The changes implicit in our positions outlined above may be made without a rewriting of the guidelines. Nevertheless, it is the committee's position that clarity would be best served by revision of that section of the guidelines by the Faculty Senate P&T committee next year, and we provide the input above as

a starting point. A specific charge from the Executive Committee including boundary conditions would be helpful.

Other issues

Post-tenure review

As per our recommendations last year, a separate task force was configured to examine the process of post tenure review. That task force had one representative from this committee, and completed its task in early June. Those recommendations will be provided to the Faculty Senate P&T committee for process development and implementation in 2008-9.

Flexible tenure guidelines for College of Pharmacy

Our committee was asked to provide feedback to the College of Pharmacy with respect to a proposal to create a modified P&T process for Pharmacy faculty, using a model based on that used at OHSU. In general, our committee is not opposed to flexibility in the tenure system. However, there are a couple of constraints/suggestions we would like to have considered.

- We have a significant concern about the possibility of proliferating different tenure systems at OSU given that we are working on consistent University-wide guidelines.
- COAS already has a modified system where faculty are not eligible for tenure until the Associate to Full Professor promotion. We suggest Pharmacy investigate that option first.
- The position description is the ideal mechanism for documenting the expectations that a unit has for its faculty and should be used to document unique requirements of the unit.

Selection of unit level promotion and tenure committees

As part of the overall discussion of the level of independence of faculty and administrative independence in the promotion and tenure process, our committee was asked about the selection process for unit promotion and tenure committees. Our committee's interpretation of the existing guidelines is that the selection of the unit level committees should be done in a way that is as independent of the unit leader (chair or head) as possible. The ultimate goal is to create a unit committee made up of individuals that are both informed and independent.

Observations from P&T cycle

Many of the observations made in this cycle by our committee members were consistent with the following – which is largely consistent from observations made last year:

Problem cases often combined mediocre performance in one or more areas of the candidate's position with one or more of the following:

1. poor preparation of the case by the unit
2. poor communication of goals/PD workload; more specifically, unclear expectations about obtaining funds (how much and what kind/source) that could be more clear in the PD.
3. administrative turnover – e.g. new chair
4. bad/late advice from a supervisor – example – repeated good reviews based on a mediocre record
5. Difficulty of demonstrating scholarship when FTE for research and scholarship is low (<25%)
6. Poor selection of outside reviewers

Most of these problems are traceable to management practices rather than to the guidelines. An exception relates to the position descriptions, where there were no existing guidelines on how to write them prior to last year. In addition, many units still have no specific benchmarks for promotion or tenure, and occasionally use benchmarks that appear internally inconsistent. Faculty have little idea, independent of what they are told during their annual review or by their unit colleagues, of what is required of them.

On a broader theme, we as a community should decide on what our goals are in the overall process. Are we attempting to get everyone promoted or to obtain the clearest picture of everyone's record so that we feel confident in making firm decisions on the marginal cases? Are we suggesting that too much effort is being dedicated to guidelines that are most applicable to marginal cases? Is that where we should be putting our attention? That decision has a great effect on the faculty expectations of the process, both from the perspective of the candidates, and of the faculty in the units who we rely on to help construct the dossiers and administer P&T.

If one refers back to last year's report, one will see that many of the issues are the same. The one additional issue may be related to the specifics of this year, or may be related to an increase in the range of duties individuals are responsible for (within assigned duties, scholarship and service). There are two important observations with respect to the position descriptions and implications for evaluation:

1. Based on our observations, it is unclear what the expectations should be for individuals with low FTE in a given assignment. For example, what level of productivity at 0.20 FTE scholarship and creative activity represents distinction? Is it 1/3 that of someone at 0.6? What does that mean? Some clarity would help us greatly in providing our colleagues adequate career advice.
2. It is clear that units still use very different methods and measures for describing workload and FTE. During the course of this year's cycle, our group had the opportunity to participate in discussions with many units whose methods varied greatly. Each unit has its own motivation for how it determines its distribution of effort. However, if we are to use such numbers (% FTE) as a benchmark for evaluation, there must be a higher level of consistency in how they are determined across the university.

Recommendations

Administrative training – The need for better communication between junior faculty and units keeps asserting itself in each year's cycle. Towards that end, we recommend that chairs, and unit P&T committee chairs be provided with better training. This means training with respect to the technical aspects of dossier preparation - but more importantly training in mentoring and management. This year's cycle demonstrated the importance of accurate PROF reviews, communication with more than just one's direct supervisor, and for faculty to know and understand the guidelines and benchmarks for their areas (e.g. not to rely entirely on their colleagues).

University-wide metrics – this is a repeat from last year - Academic Affairs should take leadership in setting basic, university-wide metrics for the duties as set in position descriptions. Specifically, some baseline for the distribution of work with respect to teaching should also be set. It is inherently unfair for some faculty to get 40% FTE credit for teaching two graduate courses in one unit and others to only get 50% FTE credit for teaching six large undergraduate courses in another.

We do not think that a solution to this would need to be formulaic. However, the inequities represented across our campus must be addressed. It has become clear that it has a detrimental impact on individual cases, and makes university-wide comparisons difficult.

Topics for discussion for next year

College Level Process – revisions to the P&T guidelines should be made along the lines developed by this year's committee.

Post-tenure review – this committee will need to develop a process based on the recommendations from the Post-tenure review task force.

Flexible timeline for tenure – also from last year – use of a longer timeline for disciplines where it is appropriate (already the case for COAS). Very preliminary discussion in some areas of Chem, Geo, Pharm.

Final note on accountability for service: When I met with the executive committee at the beginning of the year, we discussed methods by which we could make faculty more accountable for their service. At that time, I suggested that committee chairs report on the activity of each of their committee members. As one can readily see, our committee was incredibly active and productive this year. All of our members participated, but I wanted to give special note to Paul Farber as he retires for his service in all his many roles.

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Promotion & Tenure Committee

2006-2007 Annual Report

This was a particularly active year for the Promotion and Tenure Committee, with a number of important charges handed to us at the beginning of the year. In addition, other ongoing discussions intersected our purview (e.g. the review of P&T by AFAPC) during the year.

At the beginning of the year (July 2006), the Faculty Senate Promotion and Tenure Committee was given three specific charges:

1. Examine the guidelines in face of the creation of fixed-term extension faculty
2. Role and expectations for service in P&T
3. Review the post tenure review process

In addition, a number of proposed revisions to the guidelines developed by an ad hoc committee last year (chaired by Becky Johnson) were passed to us in August 2006. These revisions were designed to address a number of issues that had arisen over the previous several years with respect to the existing guidelines.

In the sections below, I will discuss what the committee's actions were on each of the items. Additional information exists as part of other Faculty Senate meeting minutes and will not be reproduced here (I have tried to reference appropriate documents).

Original Charges

Examine the guidelines in face of the creation of fixed-term extension faculty

This charge represented the major focus of our efforts this year. The extent of the resultant revisions had less to do with the specific issue (fixed-term extension faculty) than with the discovery that different units within the university were using very different methodologies for describing their positions. It was the judgment of our committee that that disparity in process put fixed-term faculty in a particularly vulnerable position, and needed to be addressed if we were to successfully complete our charge.

In effect, our P&T guidelines and merit evaluation are based on individual position descriptions. However, previous to this year there existed no internally consistent set of guidelines or definitions to help unit supervisors write them. The specific result of this divergence in methodology was that some units were using terms such as Research completely differently from others. Our first goal as a committee was therefore to develop a set of internally consistent definitions for the duties that make up faculty positions. This year we focused primarily on Research, Extension, Other Assignments and Service.

A separate document was written and presented to the faculty senate that describes the nature of the changes to the guidelines and the guidelines for position descriptions. Slightly updated versions of those documents are [attached](#) to this report.

Role of separate documents on position description guidelines

It is important to re-iterate here that one of our major accomplishments this year was the generation of the first several drafts of guidelines for what constitutes appropriate components of a position description, and who is responsible for its construction. We developed this document originally to be part of the guidelines - in collaboration with Academic Affairs and University Legal Counsel.

At the end of the process (early spring), Legal Counsel advised us that such information belonged outside of the guidelines. This decision began a series of conversations about who should take the leadership in providing a uniform method for writing position descriptions to the university community. Our committee's recommendation is that it should be Academic Affairs, with collaboration from the FS P&T committee and affirmation from FS executive committee. It represents a management (practice) issue rather than a guidelines issue.

Role and expectations for service in P&T

The committee made a number of alterations in the guidelines to emphasize the role of service, and accepted slightly altered changes from the ad hoc committee chaired by Becky Johnson last summer. The changes we proposed include:

- Definition of institutional (unit and university) and professional service
- Emphasis on accountability for faculty service duties and importance for all faculty to participate
- Definition of peer validated professional service as scholarship
- A recommendation was made for all faculty to have some unspecified % FTE for service in their position descriptions. That was further specified in the separate document on position description criteria.
- Clarification of what types of service can be considered for P&T. This section puts greater emphasis for community service outside the university that promotes the university mission.

Things we discussed but did not recommend:

We considered specific minimum % FTE for service – we felt that was too formulaic. Instead, we recommended that position descriptions be configured to represent time spent doing the specific task/duty. This remains somewhat controversial in some units, where a metric of “value” of the task or duty has been traditionally used. Our committee feels that the university community needs to use some basic, common metrics for speaking of our positions.

Post-tenure review

The original goal of post-tenure review was for all tenured faculty to be reviewed every 5 years by a peer committee from within the unit. To date, some departments have not done the review at all (since 2001). Our committee was asked “could the current process be fixed without causing an undue burden on the units?” In short, the answer is no.

Our first task, done by last year’s committee (2005-06) was to collect information on the current processes being used in a number of units. We discovered that many units did not do anything other than standard merit review, and used that as the post-tenure review. Others are conducting a full review that is similar to a P&T review. However, there are so few consequences, and the process is so labor intensive, few units will attempt to use it to address problem faculty.

It was the committee’s opinion that the current system cannot be fixed. In effect, great effort is being expended with no hard evidence that any of the original goals are being met. The committee recommendation is below.

Observations from P&T cycle

Many of the observations made in this cycle by our committee members were consistent with the following:

Problem cases often combined mediocre performance of the candidate with:

1. poor preparation of the case by the unit,
2. separation of the candidate from campus (off site) and poor communication of goals/PD workload,
3. complex position description, and
4. bad/late advice from a supervisor – example – repeated good reviews based on a mediocre record.

Most of these problems are traceable to management practices rather than to the guidelines. An exception relates to the position descriptions, where there were no existing guidelines on how to write them. In addition, many units have no specific benchmarks for promotion or tenure. Faculty have little idea, independent of what they are told during their annual review or by their unit colleagues, of what is required of them.

On a broader theme, we as a community should decide on what our goals are in the overall process. Are we attempting to get everyone promoted or to obtain the clearest picture of everyone’s record so that we feel confident in making firm decisions on the marginal cases. That decision has a great effect on the faculty expectations of the process, both from the perspective of the candidates, and of the faculty in the units who we rely on to help construct the dossiers and administer P&T.

Recommendations

Most of the issues below refer to proposed changes in practice – how we might better implement our guidelines to obtain more consistent outcomes for P&T – and to get what the faculty and university administration expect out of the process.

Service – see specific recommendations above – in addition, we recommend that service duties be documented in dossiers using outcome-based metrics. Specifically, candidates should discuss what they accomplished on each of the committees, etc., where they served. For candidates where service was an

important part of their record, specific effort should be made to document the outcome of their work – pro or con.

3rd year review – One of the most obvious outcomes from our observations was the significance of the mid-term review. Unfortunately, there are no current standards for that review, either with respect to the format of the information, nor to its timing. We recommend that be formalized to be similar to the P&T dossier, but without external letters (unless one such letter would provide helpful information for the review).

The timing of the review is critical. A review should take place at the end of the 3rd year, and need not happen during the normal P&T cycle. Therefore, it could begin after the 7th quarter of employment. Our observations (and our observations from other years) indicate a bad outcome can very often be traced to a delay in the review.

Quantitative review of P&T – One of the concerns that has arisen within the committee has been the number of individual, focused studies of P&T processes that have been conducted over the past couple of years. Many of these are being done within colleges, or by individual interest groups – with the best of interests. However, when an individual group conducts such a study, they have neither the resources nor the perspective necessary. The result can be a series of reports that are used to modify some of our critical processes – reports that are created with flawed data and interpreted without consideration for all of the variables that may be driving the system.

Promotion and tenure is one of the most important functions the university performs. It is worth our time, resources and a sustained effort to maintain an open database on what we are doing and how effective our process is (and how we would judge “effectiveness”). Towards that end, our committee recommends that the university undertake a quantitative study of the outcomes of promotion and tenure over the past several years. This study should not be specifically focused on any particular group, but should include the candidate's discipline, their department, their position (tenure track, senior research, FRA), their distribution of work (e.g. % teaching, service, research, ...), location (on campus, off campus), group (gender, etc), and what the decision was at each level.

University wide metrics – Academic Affairs should take leadership in setting basic, university wide metrics for the duties as set in position descriptions. Specifically, some baseline for the distribution of work with respect to teaching should also be set. It is inherently unfair for some faculty to get 40% FTE credit for teaching 2 graduate courses in one unit and others to only get 50% FTE credit for teaching 6 large undergraduate courses in another.

We do not think that a solution to this would need to formulaic. However, the inequities represented across our campus must be addressed.

This is in addition to the recommendation described above under “Role of separate documents on position description guidelines”.

Post-tenure review – Our committee recommends that a separate committee be set up to develop a new review system using a two negative PROF review trigger system. We had no specific recommendations as a group further than that the committee should evaluate a number of options. An effort should be made to support units who have been making an effort to develop post-tenure review processes, in spite of the flaws in the current system – perhaps by continuing to support their ongoing initiatives with specific faculty identified as needing help.

Topics for discussion for next year

Engagement and Outreach: what definitions do we use for these activities when writing position descriptions and where do they fall in the guidelines? What specifically do we mean by engagement at OSU – how broad is it within the system – does it include engineers who collaborate with industry?

Affirmative action and the fairness of P&T with respect to under-represented groups. This issue was raised by the AFAPC report, and by the discussion around the text proposed for the guidelines related to the composition of unit P&T committees. This is a case where the need is for a full, clear discussion of the specific issues, aided by good data on our current processes.

Library: Some of the issues are similar with respect to engagement and outreach above. However there are others of significance with regards to the nature of the metrics of scholarly authority.

Flexible timeline for tenure: use of a longer timeline for disciplines where it is appropriate (already the case for COAS). Very preliminary discussion in some areas of Chem, Geo, Pharm.

Other – Input to Distance Education Committee

Our committee was asked last year for input on the role of distance education courses on P&T. Our feedback is part of the minutes of their committee report. In short however, our group provided input late last year (AY2005-6) and early this year to the effect that faculty should be rewarded for teaching distance education courses in the same way they are rewarded for teaching face-to-face courses. That should be based on their level of effort and the learning outcomes.

Final note on accountability for service: When I met with the executive committee at the beginning of

the year, we discussed methods by which we could make faculty more accountable for their service. At that time, I suggested that committee chairs report on the activity of each of their committee members. I will be sending in a separate report to that effect, but hope that you can follow up with all committees to get equivalent information.

Submitted by Roger Nielsen, Chair

Promotion and Tenure Committee 2006-07 Membership

Roger Nielsen '08, Chair	Geosciences
Margaret Burnett '07	Computer Science
Erlinda Gonzales-Berry (v. Burnett) '07	Ethnic Studies
Paul Farber (v. Ibrahim) '08	History
Jim Liburdy '08	Agricultural Sciences
Bill Braunworth '09	Mechanical Engineering
Maret Traber '09	Linus Pauling Institute
Executive Committee Liaison - Tony Wilcox	

EXECUTIVE SUMMARY 2007 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 92 dossiers in March and concluded its final meeting on May 11, 2007.

Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Twenty-two individuals were promoted to Professor; 3 to Professor, Senior Research; 2 to Professor, Courtesy, 32 to Associate Professor, 2 to Associate Professor, Senior Research; 1 to Associate Professor, Courtesy and 20 to Senior Faculty Research Assistant. Forty-one individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- John Cassady, Vice President for Research
- Sally Francis, Dean, Graduate School
- Becky Johnson, Vice Provost for Academic Affairs & International Programs
- Sabah Randhawa, Provost and Executive Vice President
- Scott Reed, Vice Provost for University Outreach and Engagement, Director of OSU Extension Service

Faculty Observers to the 2006 - 2007 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Bill Braunworth, College of Agricultural Sciences
- Margaret Burnett, School of Electrical Engineering and Computer Science
- Paul Farber, Department of History
- Erlinda Gonzales-Berry, Department of Ethnic Studies
- Jim Lundy, School of Mechanical, Industrial, and Manufacturing Engineering
- Roger Nielsen, Department of Geosciences, CHAIR
- Maret Traber, Linus Pauling Institute

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	20	0	n/a	n/a
Associate Professor, Courtesy	1	0	n/a	n/a
Associate Professor, Senior Research	2	0	n/a	n/a
Associate Professor	32	3	30	3
Professor, Courtesy	2	0	n/a	n/a
Professor, Senior Research	3	0	n/a	n/a
Professor	22	0	5	0
No change in rank	n/a	n/a	6	1
Total	82	3	41	4

ANALYSIS FOR FEMALES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	11	0	n/a	n/a
Associate Professor, Courtesy	0	0	n/a	n/a
Associate Professor, Senior Research	1	0	n/a	n/a
Associate Professor	11	1	10	1
Professor, Courtesy	0	0	n/a	n/a
Professor, Senior Research	0	0	n/a	n/a
Professor	10	0	1	0
No change in rank	0	0	2	0
Total	33	1	13	1

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	0	0	n/a	n/a
Associate Professor, Courtesy	0	0	n/a	n/a
Associate Professor, Senior Research	0	0	n/a	n/a
Associate Professor	10	0	10	0
Professor, Courtesy	0	0	n/a	n/a
Professor, Senior Research	0	0	n/a	n/a
Professor	3	0	2	0
No change in rank	0	0	0	0
Total	13	0	12	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities

Agricultural Sciences	15	3	5
Education	3	1	1
Engineering	4	1	1
Forestry	2	0	0
Health and Human Sciences	3	3	0
Liberal Arts	4	2	1
Library	1	1	0
Oceanic & Atmospheric Sciences	5	1	2
Pharmacy	0	0	0
Research Office	0	0	0
Science	3	1	1
Veterinary Medicine	1	0	1
Total	41	13	12

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	5	0
Forestry	4	2	0
Oceanic & Atmospheric Sciences	4	2	0
Research Office	3	1	0
Science	1	1	0
Total	20	11	0

PROMOTION TO ASSOCIATE PROFESSOR, COURTESY

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Total	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Research Office	2	1	0
Total	2	1	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	11	3	5
Education	3	1	1
Engineering	4	1	1
Forestry	2	0	0
Health and Human Sciences	2	2	0
Liberal Arts	4	2	1

Library	1	1	0
Oceanic & Atmospheric Sciences	1	0	0
Pharmacy	1	1	0
Science	2	0	1
Veterinary Medicine	1	0	1
Total	32	11	10

PROMOTION TO PROFESSOR, COURTESY

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	0	0
Total	2	0	0

PROMOTION TO PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	0	0
Science	1	0	0
Total	3	0	0

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	4	2	1
Education	1	1	0
Forestry	2	0	0
Health and Human Sciences	2	1	0
Liberal Arts	4	2	0
Oceanic & Atmospheric Sciences	5	1	2
Science	2	1	0
Veterinary Medicine	2	2	0
Total	22	10	3

ANALYSIS BY RANK FOR PROMOTION (Faculty On Campus vs. Off Campus)

Request by rank	Promotion On Campus Yes	Promotion Off Campus Yes	Promotion On Campus No	Promotion Off Campus No
Senior Faculty Research Assistant	14	6	0	0
Associate Professor, Courtesy	1	0	0	0
Associate Professor, Senior Research	1	1	0	0
Associate Professor	24	8	2	1
Professor, Courtesy	2	0	0	0
Professor, Senior Research	3	0	0	0
Professor	20	2	0	0
Total	65	17	2	1

ANALYSIS BY RANK FOR TENURE (Faculty On Campus vs. Off Campus)

Request by rank	Tenure On Campus Granted	Tenure Off Campus Granted	Tenure On Campus Denied	Tenure Off Campus Denied
Associate Professor	22	8	2	1
Professor	5	0	0	0
No change in rank	6	0	1	0
Total	33	8	3	1

ANALYSIS BY COLLEGE FOR PROMOTION (Faculty On Campus vs. Off Campus)

Request by rank	Promotion On Campus Yes	Promotion Off Campus Yes	Promotion On Campus No	Promotion Off Campus No
Agricultural Sciences	18	10	1	1
Education	1	3	0	0
Engineering	4	0	1	0
Forestry	7	1	0	0
Health and Human Sciences	4	0	0	0
Liberal Arts	8	0	0	0
Library	1	0	0	0
Oceanic & Atmospheric Sciences	10	0	0	0
Pharmacy	1	0	0	0
Research Office	2	3	0	0
Science	6	0	0	0
Veterinary Medicine	3	0	0	0
Total	65	17	2	1

ANALYSIS BY COLLEGE FOR TENURE (Faculty On Campus vs. Off Campus)

Request by rank	Tenure On Campus Granted	Tenure Off Campus Granted	Tenure On Campus Denied	Tenure Off Campus Denied
Agricultural Sciences	10	5	1	1
Education	1	2	0	0
Engineering	4	0	1	0
Forestry	1	1	1	0
Health and Human Sciences	3	0	0	0
Liberal Arts	4	0	0	0
Library	1	0	0	0
Oceanic & Atmospheric Sciences	5	0	0	0
Pharmacy	0	0	0	0
Research Office	0	0	0	0
Science	3	0	0	0

Veterinary Medicine	1	0	0	0
Total	33	8	3	1

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Promotion & Tenure Committee

2005-2006 Annual Report

This was a particularly active year for the Promotion and Tenure Committee, with a number of important charges handed to us at the beginning of the year. In addition, other ongoing discussions intersected our purview (e.g. the review of P&T by AFAPC) during the year.

At the beginning of the year (July 2006), the Faculty Senate Promotion and Tenure Committee was given three specific charges:

- Examine the guidelines in face of the creation of fixed-term extension faculty
- Role and expectations for service in P&T
- Review the post tenure review process

In addition, a number of proposed revisions to the guidelines developed by an ad hoc committee last year (chaired by Becky Johnson) were passed to us in August 2006. These revisions were designed to address a number of issues that had arisen over the previous several years with respect to the existing guidelines.

In the sections below, I will discuss what the committee's actions were on each of the items. Additional information exists as part of other Faculty Senate meeting minutes and will not be reproduced here (I have tried to reference appropriate documents).

Original Charges

Examine the guidelines in face of the creation of fixed-term extension faculty

This charge represented the major focus of our efforts this year. The extent of the resultant revisions had less to do with the specific issue (fixed-term extension faculty) than with the discovery was that different units within the university were using very different methodologies for describing their positions. It was the judgment of our committee that that disparity in process put fixed-term faculty in a particularly vulnerable position, and needed to be addressed if we were to successfully complete our charge.

In effect, our P&T guidelines and merit evaluation are based on individual position descriptions. However, previous to this year there existed no internally consistent set of guidelines or definitions to help unit supervisors write them. The specific result of this divergence in methodology was that some units were using terms such as Research completely differently from others. Our first goal as a committee was therefore to develop a set of internally consistent definitions for the duties that make up faculty positions. This year we focused primarily on Research, Extension, Other Assignments and Service.

A separate document was written and presented to the faculty senate that describes the nature of the changes to the guidelines and the guidelines for position descriptions. Slightly updated versions of those documents are attached to this report.

Role of separate documents on position description guidelines

It is important to re-iterate here that one of our major accomplishments this year was the generation of the first several drafts of guidelines for what constitutes appropriate components of a position description, and who is responsible for its construction. We developed this document originally to be part of the guidelines - in collaboration with Academic Affairs and University Legal Counsel.

At the end of the process (early spring), Legal Counsel advised us that such information belonged outside of the guidelines. This decision began a series of conversations about who should take the leadership in providing a uniform method for writing position descriptions to the university community. Our committee's recommendation is that it should be Academic Affairs, with collaboration from the FS P&T committee and affirmation from FS executive committee. It represents a management (practice) issue rather than a guidelines issue.

Role and expectations for service in P&T

The committee made a number of alterations in the guidelines to emphasize the role of service, and accepted slightly altered changes from the ad hoc committee chaired by Becky Johnson last summer. The changes we proposed include:

- Definition of institutional (unit and university) and professional service
- Emphasis on accountability for faculty service duties and importance for all faculty to participate
- Definition of peer validated professional service as scholarship
- A recommendation was made for all faculty to have some unspecified % FTE for service in their position descriptions. That was further specified in the separate document on position description criteria.
- Clarification of what types of service can be considered for P&T. This section puts greater emphasis for community service outside the university that promotes the university mission.

Things we discussed but did not recommend:

We considered specific minimum % FTE for service – we felt that was too formulaic. Instead, we recommended that position descriptions be configured to represent time spent doing the specific task/duty. This remains somewhat controversial in some units, where a metric of “value” of the task or duty has been traditionally used. Our committee feels that the university community needs to use some basic, common metrics for speaking of our positions.

Post-tenure review

The original goal of post tenure review was for all tenured faculty to be reviewed every 5 years by a peer committee from within the unit. To date, some departments have not done the review at all (since 2001). Our committee was asked “could the current process be fixed without causing an undue burden on the units”? In short, the answer is no.

Our first task, done by last year’s committee (2005-06) was to collect information on the current processes being used in a number of units. We discovered that many units did not do anything other than standard merit review, and used that as the post tenure review. Others are conducting a full review that is similar to a P&T review. However, there are so few consequences, and the process is so labor intensive, few units will attempt to use it to address problem faculty.

It was the committee’s opinion that the current system cannot be fixed. In effect, great effort is being expended with no hard evidence that any of the original goals are being met. The committee recommendation is below.

Observations from P&T cycle

Many of the observations made in this cycle by our committee members were consistent with the following:

Problem cases often combined mediocre performance of the candidate with:

- poor preparation of the case by the unit,
- separation of the candidate from campus (off site) and poor communication of goals/PD workload,
- complex position description, and
- bad/late advice from a supervisor – example – repeated good reviews based on a mediocre record.

Most of these problems are traceable to management practices rather than to the guidelines. An exception relates to the position descriptions, where there were no existing guidelines on how to write them. In addition, many units have no specific benchmarks for promotion or tenure. Faculty have little idea, independent of what they are told during their annual review or by their unit colleagues, of what is required of them.

On a broader theme, we as a community should decide on what our goals are in the overall process. Are we attempting to get everyone promoted or to obtain the clearest picture of everyone’s record so that we feel confident in making firm decisions on the marginal cases. That decision has a great effect on the faculty expectations of the process, both from the perspective of the candidates, and of the faculty in the units who we rely on to help construct the dossiers and administer P&T.

Recommendations

Most of the issues below refer to proposed changes in practice – how we might better implement our guidelines to obtain more consistent outcomes for P&T – and to get what the faculty and university administration expect out of the process.

Service – see specific recommendations above – in addition, we recommend that service duties be documented in dossiers using outcome-based metrics. Specifically, candidates should discuss what they accomplished on each of the committees, etc., where they served. For candidates where service was an

important part of their record, specific effort should be made to document the outcome of their work – pro or con.

3rd year review – One of the most obvious outcomes from our observations was the significance of the mid-term review. Unfortunately, there are no current standards for that review, either with respect to the format of the information, nor to its timing. We recommend that be formalized to be similar to the P&T dossier, but without external letters (unless one such letter would provide helpful information for the review).

The timing of the review is critical. A review should take place at the end of the 3rd year, and need not happen during the normal P&T cycle. Therefore, it could begin after the 7th quarter of employment. Our observations (and our observations from other years) indicate a bad outcome can very often be traced to a delay in the review.

Quantitative review of P&T – One of the concerns that has arisen within the committee has been the number of individual, focused studies of P&T processes that have been conducted over the past couple of years. Many of these are being done within colleges, or by individual interest groups – with the best of interests. However, when an individual group conducts such a study, they have neither the resources nor the perspective necessary. The result can be a series of reports that are used to modify some of our critical processes – reports that are created with flawed data and interpreted without consideration for all of the variables that may be driving the system.

Promotion and tenure is one of the most important functions the university performs. It is worth our time, resources and a sustained effort to maintain an open database on what we are doing and how effective our process is (and how we would judge “effectiveness”). Towards that end, our committee recommends that the university undertake a quantitative study of the outcomes of promotion and tenure over the past several years. This study should not be specifically focused on any particular group, but should include the candidate's discipline, their department, their position (tenure track, senior research, FRA), their distribution of work (e.g. % teaching, service, research, ...), location (on campus, off campus), group (gender, etc), and what the decision was at each level.

University wide metrics – Academic Affairs should take leadership in setting basic, university wide metrics for the duties as set in position descriptions. Specifically, some baseline for the distribution of work with respect to teaching should also be set. It is inherently unfair for some faculty to get 40% FTE credit for teaching 2 graduate courses in one unit and others to only get 50% FTE credit for teaching 6 large undergraduate courses in another.

We do not think that a solution to this would need to formulaic. However, the inequities represented across our campus must be addressed.

This is in addition to the recommendation described above under “Role of separate documents on position description guidelines”.

Post-tenure review – Our committee recommends that a separate committee be set up to develop a new review system using a two negative PROF review trigger system. We had no specific recommendations as a group further than that the committee should evaluate a number of options. An effort should be made to support units who have been making an effort to develop post-tenure review processes, in spite of the flaws in the current system – perhaps by continuing to support their ongoing initiatives with specific faculty identified as needing help.

Topics for discussion for next year

Engagement and Outreach: what definitions do we use for these activities when writing position descriptions and where do they fall in the guidelines? What specifically do we mean by engagement at OSU – how broad is it within the system – does it include engineers who collaborate with industry?

Affirmative action and the fairness of P&T with respect to under-represented groups. This issue was raised by the AFAPC report, and by the discussion around the text proposed for the guidelines related to the composition of unit P&T committees. This is a case where the need is for a full, clear discussion of the specific issues, aided by good data on our current processes.

Library: Some of the issues are similar with respect to engagement and outreach above. However there are others of significance with regards to the nature of the metrics of scholarly authority.

Flexible timeline for tenure: use of a longer timeline for disciplines where it is appropriate (already the case for COAS). Very preliminary discussion in some areas of Chem, Geo, Pharm.

Other – Input to Distance Education Committee

Our committee was asked last year for input on the role of distance education courses on P&T. Our feedback is part of the minutes of their committee report. In short however, our group provided input late last year (AY2005-6) and early this year to the effect that faculty should be rewarded for teaching distance education courses in the same way they are rewarded for teaching face to face courses. That should be based on their level of effort and the learning outcomes.

Final note on accountability for service: When I met with the executive committee at the beginning of the year, we discussed methods by which we could make faculty more accountable for their service. At that

time, I suggested that committee chairs report on the activity of each of their committee members. I will be sending in a separate report to that effect, but hope that you can follow up with all committees to get equivalent information.

EXECUTIVE SUMMARY 2006 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 103 dossiers in March and concluded its final meeting on May 12, 2006. Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities. The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Twenty-two individuals were promoted to Professor; 3 to Professor, Senior Research; 2 to Professor, Courtesy, 32 to Associate Professor, 2 to Associate Professor, Senior Research; and 20 to Senior Faculty Research Assistant. Forty-one individuals were granted indefinite tenure. The University Promotion and Tenure Committee consisted of the following individuals:

- John Cassady, Vice President for Research
- Sally Francis, Dean, Graduate School
- Becky Johnson, Vice Provost for Academic Affairs & International Programs
- Sabah Randhawa, Provost and Executive Vice President
- Scott Reed, Vice Provost for University Outreach and Engagement, Director of OSU Extension Service

Faculty Observers to the 2005-2006 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Margaret Burnett, School of Electrical Engineering and Computer Science
- Barbara Edwards, Department of Mathematics, CHAIR
- Farah Ibrahim, College of Education
- Janet Lee, Department of Women's Studies
- Roger Nielsen, Department of Geosciences
- Jun Xing, Department of Ethnic Studies

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	8	0	n/a	n/a
Senior Instructor	7	1	0	0
Associate Professor, Clinical	1	0	n/a	n/a
Associate Professor, Courtesy	1	0	n/a	n/a
Associate Professor, Senior Research	1	0	n/a	n/a
Associate Professor	46	5	45	5
Professor	25	1	2	0
No change in rank	n/a	n/a	7	0
Total	89	7	54	5

ANALYSIS FOR FEMALES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied

Senior Faculty Research Assistant	4	0	n/a	n/a
Senior Instructor	3	0	0	0
Associate Professor, Clinical	0	0	n/a	n/a
Associate Professor, Courtesy	0	0	n/a	n/a
Associate Professor, Senior Research	1	0	n/a	n/a
Associate Professor	20	4	19	4
Professor	8	0	0	0
No change in rank	n/a	n/a	2	0
Associate Professor	36	4	21	4

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	1	0	n/a	n/a
Senior Instructor	0	0	0	0
Associate Professor, Clinical	0	0	n/a	n/a
Associate Professor, Courtesy	0	0	n/a	n/a
Associate Professor, Senior Research	0	0	n/a	n/a
Associate Professor	9	1	9	1
Professor	4	0	0	0
No change in rank	n/a	n/a	1	0
Total	14	1	10	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	19	6	2
Education	4	4	0
Engineering	6	0	4
Forestry	5	1	0
Health and Human Sciences	3	2	0
Liberal Arts	9	5	3
Library	0	0	0
Oceanic & Atmospheric Sciences	2	0	0
Pharmacy	0	0	0
Science	6	3	1
Total	54	21	10

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	1
Engineering	2	0	0

Forestry	1	0	0
Oceanic & Atmospheric Sciences	1	1	0
Science	1	1	0
Total	8	4	1

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Education	1	1	0
Engineering	1	0	0
Forestry	1	0	0
Health and Human Sciences	2	2	0
Science	1	0	0
Total	7	3	0

PROMOTION TO ASSOCIATE PROFESSOR, CLINICAL

	Total Males and Females	Total Females	Minorities
Pharmacy	1	0	0
Total	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR, COURTESY

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Total	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	1	0
Total	1	1	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	17	5	2
Education	4	4	0
Engineering	4	0	3
Forestry	4	1	0
Health and Human Sciences	3	2	0
Liberal Arts	10	6	3
Science	4	2	1

Total	46	20	9
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PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	5	1	1
Education	1	1	0
Engineering	2	0	1
Forestry	3	2	0
Health and Human Sciences	1	0	0
Liberal Arts	5	2	2
Library	1	1	0
Oceanic & Atmospheric Sciences	2	0	0
Science	5	1	0
Total	25	8	4

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Promotion & Tenure Committee

2004-2005 Annual Report

Members of the 2004-2005 Faculty Senate Promotion & Tenure Committee:

Loretta Rielly '05, Chair - Valley Library
 Andrea Marks '05 - Art
 Barbara Edwards '06 - Mathematics
 Margaret Burnett '07 - Electrical Engineering & Computer Science
 Jun Xing '07 - Ethnic Studies
 TBA (v. Lundy) '06
 Executive Committee Liaison - Joan Gross

The Faculty Senate (FS) Promotion and Tenure (P&T) Committee reviews University P&T Guidelines and advises on matters pertaining to the P&T process. The Committee reads the dossiers and observes the annual P&T process conducted by the University P&T Committee to ensure an equitable process for all faculty. When the University P&T Committee does not reach a consensus on the recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean (sometimes Unit Head or immediate Supervisor) meets with the University P&T Committee. In these instances, one member of the FS P&T Committee is present as an observer to represent the Faculty Senate. The observer notes adherence to the University P&T Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

The Committee provides input on the P&T decision process through its annual report to the FS Executive Committee (EC) and to the Provost's Office. The annual report also includes a summary of the current year's P&T actions provided by the Office of the Provost.

The Committee consists of six faculty members who have been granted tenure at OSU and who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Committee also provides leadership for campus-wide educational programs related to the P&T process and facilitates ongoing dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, unit heads/chairs, deans, and department and college committees.

Promotion & Tenure Brown Bags

Two promotion and tenure brown bags were included in the Academic Affairs Faculty Orientation Series. The first was held on September 23, the week before classes began, and was presented by Loretta Rielly, Committee Chair, and Becky Johnson, Interim Vice Provost for Academic Affairs and International Programs. Attendance was sparse (4 people, including one member of the Faculty Senate Promotion and Tenure Committee and a representative from Human Resources), probably a result of conflicts with other college and department orientations. The April 7 brown bag was more successful: 20-25 faculty attended. Presenters included Loretta Rielly and two members of the University's Promotion and Tenure Committee: Sally Francis, Dean of the Graduate School, and Rich Holdren, Vice Provost for Research. A streaming video of this and previous brown bags is available on the Faculty Senate [Promotion and Tenure Committee web page](#). A flow chart documenting the process is posted on the [academic affairs webpage](#).

Recommendation: The promotion and tenure brown bags sponsored by Academic Affairs are important opportunities for faculty to ask questions of the university promotion and tenure committee members and

should be scheduled during the academic year, ideally in fall and spring terms.

Promotion & Tenure Study

The Faculty Senate Promotion and Tenure Committee is collaborating on a study of faculty experiences with OSU's promotion and tenure with the Office of Affirmative Action and Equal Opportunity, the President's Commission on the Status of Women, and the Association of Faculty for the Advancement of People of Color. The study will consist of individual interviews, focus groups, and is expected to be concluded by Fall 2005.

Faculty Senate President Jeffrey Hale asked the Promotion and Tenure Committee to consider ways to address the issue of faculty service in tenure and promotion decisions, especially in light of university initiatives that rely on faculty participation. The Committee recommends that this be addressed in conjunction with the promotion and tenure study since it is a theme that has emerged in the study's planning.

Post-Tenure Review

The Faculty Senate Executive Committee forwarded a charge from Becky Johnson, Interim Vice Provost for Academic Affairs and International Programs, to assess the effectiveness of the Post-Tenure Review process. Issues presented by the Provost and Johnson include:

1. Despite the requirement that all tenured faculty be reviewed by a peer committee at intervals no longer than five years, there are still units that have not done any post-tenure reviews and others that have done them sporadically. Are there some suggestions for ensuring compliance without putting undue administrative burdens on departments?
2. For faculty whose performance is less than satisfactory, a professional development plan must be established. The plan should specify the resources to be made available to accomplish the goals. What is the responsibility of the Department, College, and University, respectively, to provide those resources?
3. PTR requires a review by a faculty member's peers. In the case of a less than satisfactory result, the faculty member and those peers must work together in the future. How can we implement the PTR process in a way that preserves positive working relationships and has the least negative impact on a faculty member's morale?
4. Are the guidelines clear enough on what "less than satisfactory" means, or should this be left up to units? In particular, will less than satisfactory performance in any of the three areas (teaching, research, or service) trigger a development plan?
5. What consequences should result if the faculty member fails to achieve all of the goals identified in his/her development plan? Are those consequences clear enough in the guidelines?

Since the charge was received in May, the assessment will be conducted by the 2005/2006 P&T Committee.

Observation of University P&T Committee

Each member of the FS P&T committee observed one or more tenure and promotion cases being considered by the University P&T Committee. In general, members of this committee felt the process was thorough and the university committee members were well-prepared, consistent, and asked appropriate, and necessary, questions of the deans and department chairs. Following these observations, the FS P&T Committee met to share general observations.

Communication

The thread that connects the issues identified below is communication. How are expectations communicated to faculty? What processes are in place to assure that faculty receive mentoring, assistance, and advice? Is this consistent throughout the departments and colleges? Consistent and ongoing communication with faculty about expectations, standards, and processes is critical. Mixed messages, or misunderstood messages from department chairs, and/or deans create unnecessary hurdles for candidates.

Procedures

Questions about procedural matters were raised this year, including the impact of signing waivers, stopping-the-clock, agreements regarding prior service, and early tenure. Guidelines for these appear inconsistent and may not be clearly communicated. It's important that faculty understand their options and that these are consistently communicated. Some of these are covered in the P&T Commonly Asked Questions, others are not. Updating these and assuring that they are communicated throughout the campus should be a priority.

Service

What kinds of service are expected of faculty? Do some kinds of service hold more value than others? The importance of service varies from college to college and it's critical that the candidate understand what's expected of her/him and that this information is included in position descriptions.

Scholarship

Expectations as to quantity and quality of scholarship vary between colleges and, at times, within a college. How are these expectations communicated? How are standards articulated? Types of scholarship vary as well, and a number of the cases requiring clarification were joint or extension appointments. The broad definition of scholarship at OSU enriches our campus, and the university committee should be commended for ensuring that various types of scholarship are rewarded. Still, the burden is on the departments and colleges to reflect this through their position descriptions and for communicating this to their faculty committees to assure that each candidate is assessed on the expectations for her/his position within the university.

Outside evaluations

The relationship between outside evaluator and candidate was cause for some concern in some cases, blurring the line between evaluation and advocacy.

6/30/2005

**EXECUTIVE SUMMARY
2005 PROMOTION AND TENURE REVIEW
OREGON STATE UNIVERSITY**

The University Promotion and Tenure Committee began its review of 95 dossiers in March and concluded its final meeting on June 14, 2005.

Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Twenty-nine individuals were promoted to Professor; 1 to Professor, Senior Research; 28 to Associate Professor, 3 to Associate Professor, Senior Research; 8 to Senior Instructor; and 8 to Senior Faculty Research Assistant. Forty-one individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Sally Francis, Dean, Graduate School
- Rich Holdren, Senior Associate Vice President for Research
- Becky Johnson, Vice Provost for Academic Affairs & International Programs
- Kelvin Koong, Interim Dean and Director of OSU Extension Service
- Sabah Randhawa, Provost and Executive Vice President

Faculty Observers to the 2005 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Margaret Burnett, School of Electrical Engineering and Computer Science
- Barbara Edwards, Department of Mathematics
- Jun Xing, Department of Ethnic Studies
- Andrea Marks, Department of Art
- Loretta Rielly, OSU Libraries, CHAIR

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	8	0	0	0
Senior Instructor	8	0	1	0

Associate Professor, Senior Research	3	1	0	0
Associate Professor	28	7	31	3
Professor, Senior Research	1	0	0	0
Professor	29	3	4	0
No change in rank	0	0	5	2
Total	77	11	41	5

ANALYSIS FOR FEMALES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	2	0	0	0
Senior Instructor	5	0	0	0
Associate Professor, Senior Research	1	1	0	0
Associate Professor	16	2	17	0
Professor, Senior Research	0	0	0	0
Professor	9	1	2	0
No change in rank	--	--	2	2
Total	33	4	21	2

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	0	0	0	0
Senior Instructor	1	0	0	0
Associate Professor, Senior Research	1	0	0	0
Associate Professor	6	2	8	0
Professor, Senior Research	0	0	0	0
Professor	3	1	0	0
No change in rank	--	--	1	0
Total	11	3	9	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	11	7	4
Business	2	0	0
Education	3	3	1
Engineering	3	0	0
Forestry	2	0	1
Health and Human Sciences	3	2	1
Liberal Arts	9	4	2
Library	2	2	0
Oceanic & Atmospheric Sciences	3	1	0

Pharmacy	1	1	0
Science	2	1	0
Total	41	21	9

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	4	1	0
Forestry	2	0	0
Oceanic & Atmospheric Sciences	1	1	0
Science	1	0	0
Total	8	2	0

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Education	1	1	0
Engineering	1	0	0
Forestry	1	1	0
Pharmacy	1	1	0
Science	4	2	1
Total	8	5	1

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	1
Oceanic & Atmospheric Sciences	1	0	0
Total	3	1	1

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	7	5	3
Business	1	0	0
Education	2	2	0
Engineering	2	0	0
Forestry	1	0	1
Health and Human Sciences	3	2	1
Liberal Arts	8	4	1
Library	2	2	0
Science	2	1	0
Total	28	16	6

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	0
Business	1	0	0
Education	2	2	0
Engineering	4	1	1
Forestry	4	0	0
Health and Human Sciences	1	1	0
Liberal Arts	4	1	0
Oceanic & Atmospheric Sciences	3	1	0
Pharmacy	1	0	0
Science	6	1	2
Total	29	9	3

PROMOTION TO PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Oceanic & Atmospheric Sciences	1	0	0
Total	1	0	0

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Promotion & Tenure Committee

2003-2004 Annual Report

Members of the 2003-2004 Faculty Senate Promotion and Tenure Committee were:

Dan Arp, Chair, Botany and Plant Pathology	College of Ag. Sciences (2004)
Andrea Marks, Art	College of Liberal Arts (2005)
Barbara Edwards, Mathematics	College of Science (2007)
James Lundy, CCE Engineering	College of Engineering (2007)
Charles Langford, Sociology	College of Liberal Arts (2004)
Loretta Rielly, Library	Library (2004)
Fred Obermiller, AREC	College of Ag. Sciences (ad hoc)

The Faculty Senate (FS) Promotion and Tenure (P&T) Committee reviews University P&T Guidelines and advises on matters pertaining to the P&T process. The Committee reads the dossiers and observes the annual P&T process conducted by the University P&T Committee to ensure an equitable process for all faculty. When the University P&T Committee does not reach a consensus on the recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean (sometimes Unit Head or immediate Supervisor) meets with the University P&T Committee. In these instances, one member of the FS P&T Committee is present as an observer to represent the Faculty Senate. The observer notes adherence to the University P&T Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

The Committee provides input on the P&T decision process through its annual report to the FS Executive Committee (EC) and to the Provost's Office. The annual report also includes a summary of the current year's P&T actions provided by the Office of the Provost.

The Committee consists of six faculty members who have been granted tenure at OSU, who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Committee also provides leadership for campus-wide educational programs related to the P&T process and facilitates ongoing dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, unit heads/chairs, deans, and department and college committees.

I. Response to a charge from the Faculty Senate President

In the Fall Quarter, we received the following charge from Bruce Sorte, Faculty Senate President: 1) Evaluate the effectiveness of tenure at OSU over the past 20 years and how it compares with similar land-grant universities across the U.S. Provide an assessment of how the budget reduction process may impact indefinite tenure at OSU.

2) Consider the usefulness of the "Institutional Procedures and Criteria for Unit or Program Reduction or Elimination" with and without the changes which have been recommended by the Faculty Senate Executive Committee as a means whereby faculty can participate in the decision-making process for programmatic adjustments. Suggest additional changes as needed.

Our report in response to this charge is appended to this document.

II. Observation of University P&T committee

Each member of the FS P&T committee sat in on the discussion of from two to seven cases. In general, the committee felt that the process that we observed worked well. We were impressed with the depth of the review. The members of the University committee were well prepared and had clearly taken the

time to carefully review the dossiers. The Deans and Unit Heads/Chairs responding to questions from the committee were given adequate time to respond to questions and to clarify reasons behind a recommendation.

At the completion of the meetings with the University P&T, the FS P&T came together to discuss our observations. We did not discuss specific cases, rather, we looked for overarching themes or trends in the kinds of issues that arose.

Scholarship. One of the most vexing challenges continues to be determining what constitutes sufficient scholarship to warrant promotion. Both quality and quantity are issues, as are differences in standards across disciplines, and even within a unit or discipline. The problem is most serious when deans and unit chairs/heads appear to have different standards (or expectations) for scholarship or service.

Position Descriptions. The University P&T committee is committed to basing evaluations on the position description. We agree with this overall approach, but recognize that it raises some concerns. For example, a 40% teaching load in one unit can consist of 2 courses, while the same 40% effort can consist of 5 courses in another unit. Another concern is how the percentages then get played out in the evaluation. If teaching or outreach is the primary activity, how much scholarship is needed when it constitutes 10% of the position description, rather than 60% for a lighter teaching load? Should the position description be allowed to change prior to evaluation? How close to evaluation? Should evaluation be based on a composite of the position descriptions since last evaluation, or only the most recent position description?

"Collegiality" and "Generosity." Collegiality is expected of professors, but this trait is difficult to evaluate. Generosity is considered a valuable trait in a colleague (generous with time in helping colleagues, serving the University, etc.), but also one that can take away from time devoted to scholarship. How does one balance these desired traits-collegiality and generosity-with the need to be self-centered and devote time and energy to scholarship?

Teaching. Teaching is considered seriously by the University P&T committee, as it should be. Evaluation, however, does seem susceptible to some errors based on common indicators. For example, Student Evaluation of Teaching scores are given considerable weight. However, low scores can indicate an instructor who doesn't care, or who cares but is ineffective or poorly organized. But low scores can also indicate that a professor challenges the students beyond their comfort level. Solicitations of letters from past students can have very low response rates, such that one disgruntled student can have a disproportionate impact. We consider peer evaluations one of the strongest indicators of teaching effectiveness, but one which is not used evenly across units and for which, again, standards are not available.

Report on outcomes of Promotion and Tenure, 2004

Report on the Status of Tenure at OSU

January 22, 2004

Prepared by Promotion and Tenure Committee of the Faculty Senate

Dan Arp (Chair), Loretta Rielly, James Lundy, Charles Langford, Fred Obermiller, Barbara Edwards

On October 1, 2003, Bruce Sorte, President of the Faculty Senate, gave the following charge to the Faculty Senate Promotion & Tenure Committee:

1. Evaluate the effectiveness of tenure at OSU over the past 20 years and how it compares with similar land-grant universities across the U.S. Provide an assessment of how the budget reduction process may impact indefinite tenure at OSU.
2. Consider the usefulness of the "Institutional Procedures and Criteria for Unit or Program Reduction or Elimination" with and without the changes which have been recommended by the Faculty Senate Executive Committee as a means whereby faculty can participate in the decision-making process for programmatic adjustments. Suggest additional changes as needed.

To address point #1 of the charge, the Committee started with the idea to gather information from three sources: 1) other universities, 2) the published literature, and 3) Oregon State University. For other universities, we started with the web sites of six of our comparator institutions. We looked for news releases, committee reports, university policies and procedures relating to promotion and tenure. While we were able to uncover some interesting information, we found it difficult to compare the information from institution to institution. Different titles for similar categories of faculty, different ways of reporting, etc., led us to the "apples vs. oranges" dilemma. The published literature on tenure is overwhelming and not necessarily relevant to OSU circumstances. Within OSU, we considered several vehicles for gathering information on faculty attitudes towards tenure, including a survey of faculty. However, given the tight time line and limited resources, we took a convenience sample of the faculty, which tried to include a great variety of disciplines and academic ranks. As might be expected, the anecdotes covered the spectrum from severe concerns about the challenge to tenure created by the way in which Extension handled its budget shortfall, to a lack of knowledge about Extension and, therefore, no basis to conclude that anything about tenure had changed in the last year.

Given the difficulty in taking a "data informed" approach, we migrated towards the idea that each member of the committee brings their own beliefs, experiences, and opinions to the table and that these, collectively, offer a representative view of the status of tenure at OSU. And, collectively, we are of the opinion that the handling of the Extension reductions did constitute a challenge to tenure at OSU. If tenure held primacy over other concerns, then one would have expected that tenured professors would have the greatest employment security, followed by non-tenured and then fixed-term faculty when the Extension resources were found to be insufficient to cover the current FTE. That was not the case, as some fixed-term faculty found themselves "most qualified" for certain job descriptions that remained after Extension went through their FTE reduction process, while some tenured faculty found themselves with no remaining job description that matched their qualifications. We recognize that the challenges facing Extension were immense, but if Extension can make program reductions that do not place tenure as the primary criterion for retention of faculty, then we wonder about the security of tenure in other colleges in the face of similar or even less severe budget constraints.

In expressing our concerns about the challenge to tenure, we recognize that we have the luxury (and the responsibility) to focus our attention only on the question of the primacy of tenure in the face of program reductions. Protecting tenure against all other concerns may not always be in the best interests of OSU. But allowing tenure to be weakened at OSU is certainly not in the best long-term interests of OSU.

In our research and discussions, we were reminded of another threat to tenure. There is a trend across institutions of higher education in the US to place an increased proportion of the teaching effort on part-time and full-time non-tenure track faculty (see appended document). Clearly, directing resources to fixed-term instructors results in fewer appointments into tenure track positions.

To address point #2 of our charge, we read and discussed the "Institutional Procedures and Criteria for Unit or Program Reduction or Elimination" with the changes proposed by the Executive Committee and compared this to the current document. The document used currently has been found procedurally wanting in some of the recent reductions that have taken place. In other cases, it seems to have worked well. We appreciate the efforts of those involved in drafting the revisions of the document. However, we raise the following concerns:

- The document has become too detailed. There seems to be an attempt to find the words to deal with any foreseeable situation. However, each situation will be unique and will require some interpretation of the document, regardless of the level of detail in the document.
- The role of the FCG as distinct from that of the Administration is not always clear. It would be useful to reorganize the document to indicate the responsibility of the FCG as well as that of the administration, and to delineate the generally agreed-upon principles used by all. For example, shared governance would seem to be the most important principle upon which to base the document.
- In some reductions, the input from the faculty has seemingly come too late in the process to have a meaningful impact. It's not clear that the revised document will fix this concern.

In our discussions, we wondered if the processes used in state governance might not provide a model for how to proceed. A legislative statute provides a mandate to a state agency, but it is then up to the agency to implement the mandate. The agency must defend its implementation plan, and ultimately the implementation itself, to the legislature. In the case of program reductions or eliminations, we might imagine something similar to the statute—a succinct document that indicates who has responsibility for reductions and eliminations and the principles that are used to make the reductions. It is then up to the administrator responsible for the reductions or eliminations to devise an implementation plan and to defend the reasons for the reductions or eliminations, the criteria used in making the decision, etc. The administrator would need to defend the plan to the faculty, most likely via the FCG. Much of the information currently included in the

reduction/elimination document could be placed as appendices-as useful guidelines for selection of criteria, values, etc. Admittedly, this idea is rough, but we wanted to share it with the Executive Committee to see if it resonates.

Appendix: Published information about Tenure.

This information was collected by Loretta Rielly, Library Services and member of the Promotion and Tenure Committee.

Since most of the publications that address tenure are from the AAUP, there's a great deal of redundancy and understandable defensiveness. The concerns are:

- Financial expediency rather than financial exigency is driving personnel decisions, with an increase in the number of part-time, non-tenure track positions and a decrease in full-time positions.
- Business models and attention to external customers detracts from the educational and research missions.
- Academic freedom provides protection for voicing ... and
- Shared governance and faculty oversight of the academic mission of the university.

The June 2001 report of the NEA Higher Education Research Center Update finds that "increasing use of part-time faculty members, most of whom are not tenured, is undercutting the tenure system. The evidence for an increasing number of non-tenured full-time faculty members is more equivocal."

AAUP website: <http://www.aaup.org/>

Useful excerpts:

OSU Promotion and Tenure Guidelines: Criteria for Granting Indefinite Tenure
Tenure ensures the academic freedom that is essential to an atmosphere conducive to the free search for truth and the attainment of excellence in the University. But in addition, tenure also reflects and recognizes a candidate's potential long-term value to the institution, as evidenced by professional performance and growth. Tenure sets universities apart from other institutions. Faculty are not merely employed by the University but are the educational and research programs of the University; tenured faculty are the community of educators who create institutional stability and an ongoing commitment to excellence. Tenure, therefore, will be granted to faculty members whose character, achievements in serving the University's missions, and potential for effective long-term performance warrant the institution's reciprocal long-term commitment. The granting of tenure is more significant than promotion in academic rank.

Mary Burgan, "A Profession in Difficult Times," **Liberal Education**. Fall 1999.
[Tenure and governance] are the practical instruments for the achievement of truth, of freedom, of professional autonomy, and of community.

ISU AAUP, "White Paper #1--Tenure." No date.
Data compiled by AAUP: the proportion of full-time professors working on contracts rose from 19 percent in 1975 to 28 percent in 1995, while the proportion of those on the tenure track fell from 29 percent to 20 percent. Part-timers now make up an estimated 42 percent of instructors in U.S. colleges and universities.

James F. Slevin, "Preserving Critical Faculties," Liberal Education, Summer 2000.
Educators have to be both aware of and free of a concern with their students' pre-existing needs and their institution's goals, in order to make any difference to either. Educators also have to be free of the needs defined by those outside the academy, whose demands and pressures all too easily reduce the significant

consequences of education into outcomes designed to meet narrowly-defined corporate needs, thereby diminishing the possibilities of genuine learning and the intellectual life. Not simply sustaining but encouraging this freedom is why tenure matters. (p. 3-4 on print out)

The protection of academic freedom--indeed, the active and positive encouragement of dissent--is the heart of the college and university, though unwelcome at the diploma market. Efforts at change that lead to the elimination of this protection (like the hiring practices just described, often rationalized as better serving the mission of the institution by giving it "flexibility") are destructive and need to be actively fought. (p 5)

Tenure, we might argue, supports first and foremost the values making possible the intellectual work of those it protects. Any changes we propose are intended to strengthen the support for the values underlying that work, even as these changes take into account a wider range of places where the work happens and needs protecting.

In fact, I would go one step further and argue that expanding the domains where tenure-earning intellectual work can be done (to include, in serious ways, teaching and service) is crucial to **preserving** the underlying values of knowledge creation, exchange, and questioning. These values are increasingly endangered because, for example, as non-tenure-line **faculty** assume the duties of teaching, the vigor of their questioning and the courage of their dissent can be suppressed--and so their integrity compromised. In short, we need to expand the domains of tenure-earning **faculty** work in order to stay the erosion of the central values of academic life. (p 6)

Cites data from 1998 AFT report:

-- While the total number of full-time **faculty** grew marginally and slowly--49 percent between 1970 and 1995 (2 percent per year)--the number of part-time **faculty** has increased dramatically, 266 percent (10.6 percent per year) over the same period. At this rate, part-time **faculty** will outnumber full-time by the academic year 2001.

-- At least 43 percent of American **faculty** are now part-time, up from 38 percent in 1987. Only 57 percent of **faculty** are full-time. In the community colleges, only about 37 percent of **faculty** are full-time.

-- In 1995, 51 percent of the new full-time **faculty** appointed did not receive a tenure-eligible position, meaning they became short-term, year-to-year instructors. Newly appointed full-time **faculty** in 1995 totaled 3,772 fewer than in 1993, an 11 percent decrease. In comparison with 1989, the decline in new hires is even sharper: 10,372 fewer new appointments were made in 1996--a 25 percent difference.

-- The proportion of full-time **faculty** on term contracts grew from 19 percent in 1975 to 28 percent in 1995. During this time, the number of full-time instructors on the tenure track decreased by 12 percent.

SOURCE: "The Vanishing Professor" (American Federation of Teachers, Washington, D.C. 1998)

Ernest Benjamin, "Some Implications of Tenure for the Profession and Society," AAUP Professional integrity includes not only ideological autonomy but the right to exercise academic judgment. It is the latter which those who seek to manage faculty would constrain. Consider the following: "Changes in how the faculty regard themselves and their institutions lie at the heart of the restructuring process. What faculty are being asked to do is return--in effect, to give back--a portion of their independence and ability to define their own tasks and performance standards. [Policy Perspectives, Pew Higher Education Research Program, February 1993, Vol. 4, No.4; p. 9A.] (p. 5 on printout)

Higher education without tenure would in time become a system of training schools whose instructors were neither educators nor scholars. For the notion that one can improve the university by destroying tenure ultimately presupposes that one can maintain the university without attracting or sustaining the teacher-scholar. On the contrary, tenure alone enables faculty to preserve their professional integrity and the creative conflict essential to the advancement of learning amid the intensifying institutional constraints of contemporary higher education. (p. 6)

James T. Richardson, "Tenure in the New Millenium," National Forum. Winter 1999.
America needs to attract its best minds to the academic profession, something that will continue to happen only if such individuals think they can have productive, secure careers. Academia without academic freedom will not seem attractive to those whom our society needs to contribute to its future knowledge base and maintain our system of higher education. The hour is late for rethinking what we are collectively doing and allowing to happen to higher education in the United States. I hope it is not too late to change course and

move again toward the protection of academic freedom as a hallowed value, with all the good things that flow from such a decision for our democratic society. (p. 5 on printout)

EXECUTIVE SUMMARY 2004 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 64 dossiers in March and concluded its final meeting on April 28, 2004. Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities. The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. 15 individuals were promoted to Professor; 26 to Associate Professor, 1 to Associate Professor (Courtesy), 2 Associate Professor, Senior Research; 1 to Senior Instructor; and 11 to Senior Faculty Research Assistant. 23 individuals were granted indefinite tenure. The University Promotion and Tenure Committee consisted of the following individuals:

- Sally Francis, Dean, Graduate School
- Rich Holdren, Vice Provost for Research
- Lyla Houglum, Dean of Extension
- Sabah Randhawa, Vice Provost for Academic Affairs & International Programs
- Timothy White, Provost and Executive Vice President, CHAIR

Faculty Observers to the 2004 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Dan Arp, Department of Botany and Plant Pathology, CHAIR
- Barbara Edwards, Department of Mathematics
- Charles Langford, Department of Sociology
- Jim Lundy, Department of Civil, Construction and Environmental Engineering
- Andrea Marks, Department of Art
- Loretta Rielly, OSU Libraries

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	11	0	0	0
Senior Instructor	1	0	0	0
Associate Professor, Senior Research	2	0	0	0
Associate Professor	26	5	22	5
Associate Professor (Courtesy)	1	0	0	0
Professor	15	3	1	1
No change in rank	0	0	0	1
Total	56	8	23	7

ANALYSIS FOR FEMALES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	4	0	0	0
Senior Instructor	1	0	0	0

Associate Professor, Senior Research	1	0	0	0
Associate Professor	13	1	11	1
Associate Professor (Courtesy)	1	0	0	0
Professor	8	1	0	0
No change in rank	0	0	0	0
Total	28	2	11	1

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	0	0	0	0
Senior Instructor	1	0	0	0
Associate Professor, Senior Research	0	0	0	0
Associate Professor	4	0	4	0
Professor (Courtesy)	0	0	0	0
Professor	2	0	1	0
No change in rank	0	0	0	0
Total	7	0	5	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	5	1
Business	2	0	0
Education	2	1	0
Engineering	2	1	0
Liberal Arts	3	3	1
Science	4	1	2
Veterinary Medicine	2	0	1
Total	23	11	5

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	4	2	0
Forestry	3	0	0
Oceanic & Atmospheric Sciences	1	0	0
Research Office	3	2	0
Total	11	4	0

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
International Programs	1	1	1
Total	1	1	1

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Oceanic & Atmospheric Sciences	1	1	0
Science	1	0	0
Total	2	1	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	5	1
Business	1	0	0
Oceanic & Atmospheric Sciences	2	0	0
Education	2	1	0
Engineering	2	1	0
Health and Human Sciences	1	1	0
Liberal Arts	4	4	1
Science	5	1	2
Veterinary Medicine	1	0	0
Total	26	13	4

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	0	0
Engineering	3	1	0
Forestry	2	1	0
Health and Human Sciences	2	2	0
Liberal Arts	2	2	0
Science	3	2	1
Veterinary Medicine	1	0	1
Total	15	8	2

PROMOTION TO ASSOCIATE PROFESSOR (COURTESY)

	Total Males and Females	Total Females	Minorities
Science	1	1	0

Total	1	1	0
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Promotion & Tenure Committee

2002-2003 Annual Report

Members of the 2002-2003 Faculty Senate Promotion and Tenure Committee were:

- | | |
|---|--|
| 1. Dan Arp, Chair, Botany and Plant Pathology | College of Ag. Sciences (2005) |
| 2. Andrea Marks, Art | College of Liberal Arts (2005) |
| 3. Mary Powelson, Botany and Plant Pathology | College of Ag. Sci. (2003, ret. 12/02) |
| 4. Jack Higginbotham, Nuclear Engineering | College of Engineering (2003) |
| 5. Charles Langford, Sociology | College of Liberal Arts (2004) |
| 6. Loretta Rielly, Library | Library (2004) |

The Faculty Senate (FS) Promotion and Tenure (P&T) Committee reviews University P&T Guidelines and advises on matters pertaining to the P&T process. The Committee reads the dossiers and observes the annual P&T process conducted by the University P&T Committee to ensure an equitable process for all faculty. When the University P&T Committee does not reach a consensus on the recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean (sometimes Unit Head or immediate Supervisor) meets with the University P&T Committee. In these instances, one member of the FS P&T Committee is present as an observer to represent the Faculty Senate. The observer notes adherence to the University P&T Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

The Committee provides input on the P&T decision process through its annual report to the FS Executive Committee (EC) and to the Provost's office. The annual report also includes a summary of the current year's P&T actions provided by the Office of the Provost.

The Committee consists of six faculty members who have been granted tenure at OSU and who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Committee also provides leadership for campus-wide educational programs related to the P&T process and facilitates ongoing dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, unit heads/chairs, deans, and department and college committees.

I. Recommendation Regarding Post-Tenure Review

Responding to a concern brought to our attention by Doug Derryberry, President of the American Association of University Professors, we considered the current categories used to rank professors in the Post-Tenure Review process. The current categories are "Extraordinary" Performance, "Strong and Positive" Performance, and "Unsatisfactory" Performance. President Derryberry noted that the scale is unbalanced because it lacks a neutral point that reflects "competent, conscientious" performance. The FS P&T committee agreed with this concern and recommends that an additional category be added for "Satisfactory" Performance. We propose the following addition to the Guidelines for Post-Tenure Review:

"Satisfactory" Performance: the department and/or college will consider the post-tenure review outcome in awarding fully satisfactory performance raises at the next available opportunity.

II. Response to a concern brought to us by the Faculty Status Committee

The Faculty Status Committee raised an issue regarding the rules for voting eligibility on matters of promotion and tenure within a particular unit. The committee felt that it was within the purview of the units to develop their own rules for voting eligibility, providing those rules were agreed upon and understood by

the members of the unit and were consistent with University guidelines.

III. Observation of University Promotion & Tenure Committee

Each member of the FS P&T Committee sat in on the discussion of from two to seven cases. In general, the committee felt that the process that we observed worked well. We were impressed with the depth of the review. The members of the University committee were well prepared and had clearly taken the time to carefully review the dossiers. The Deans responding to questions from the committee were given adequate time to respond to questions and to clarify reasons behind a decision.

At the completion of the meetings with the University P&T, the FS P&T came together to discuss our observations. We did not discuss specific cases, rather, we looked for overarching themes or trends in the kinds of issues that arose. Most of the cases dealt with questions of scholarship and considerations of both the quality and quantity of scholarship.

- **Quality of Scholarship.** It is apparent that there continue to be difficulties in defining or measuring the quality of scholarship. Different disciplines have different norms for what constitutes a measure of quality. For example, publications from and presentations at meetings hold more importance for some disciplines than for others. Journal qualities also vary, and determining the rank or impact of a journal often required additional input.

The implementation of the "broader definition of scholarship" adopted by the University several years ago also continues to bring challenges.

- **Quantity of Scholarship.** In several cases, the quantity of scholarship was at issue. This concern was especially noted in cases where the Position Description included many duties in addition to scholarship, such as heavy teaching assignments, administrative roles, program direction, serving as a liaison, etc.
- **Mentoring.** In some cases, there was a question of whether or not the candidate had received appropriate or useful mentoring from unit P&T committees and unit heads. A related concern was whether or not the candidate had received a consistent message.
- **Recommendations.** The FS P&T committee did not formulate specific recommendations to address the issues that were raised. With regard to quality of scholarship, it is apparent that units and colleges need to be vigilant in addressing the basis for their determinations regarding quality of scholarship. Quantity of scholarship should be linked to the Position Description, but candidates should receive clear and consistent messages from the time of hiring to the time of dossier consideration. The message should be as specific as possible, including examples of what constitutes acceptable scholarship for the particular unit.

EXECUTIVE SUMMARY 2002-03 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 74 dossiers in March and concluded its final meeting on May 6, 2003.

Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. 25 individuals were promoted to Professor; 2 to Professor (Courtesy), 23 to Associate Professor; 5 to Associate Professor, Senior Research; 4 to Senior Instructor; and 6 to Senior Faculty Research Assistant. 30 individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Leslie Burns, Interim Vice Provost for Academic Affairs
- Sally Francis, Dean, Graduate School
- Rich Holdren, Vice Provost for Research
- Lyla Houglum, Dean of Extension
- Sabah Randhawa, Interim Provost and Executive Vice President, CHAIR

Faculty Observers to the 2003 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Dan Arp, Department of Botany and Plant Pathology, CHAIR
- Jack Higginbotham, Department of Nuclear Engineering/ Research Office
- Charles Langford, Department of Sociology
- Andrea Marks, Department of Art
- Fred Obermiller, Department of Agricultural and Resource Economics
- Loretta Rielly, OSU Libraries

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	6	0	0	0
Senior Instructor	4	0	0	0
Associate Professor, Senior Research	5	0	0	0
Associate Professor	23	7	28	1
Professor (Courtesy)	2	0	0	0
Professor	25	1	1	0
No change in rank			1	0
Total	65	8	30	1

ANALYSIS FOR FEMALES

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	3	0	0	0
Senior Instructor	1	0	0	0
Associate Professor, Senior Research	2	0	0	0
Associate Professor	8	2	9	0
Professor (Courtesy)	0	0	0	0
Professor	10	0	1	0
No change in rank			0	0
Total	24	2	10	0

ANALYSIS FOR MINORITIES

Request by rank	Promotion Yes	No	Tenure Granted	Denied
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Senior Faculty Research Assistant	0	0	0	0
Senior Instructor	0	0	0	0
Associate Professor, Senior Research	2	0	0	0
Associate Professor	5	3	7	0
Professor (Courtesy)	0	0	0	0
Professor	1	0	0	0
No change in rank			0	0
Total	8	3	7	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	5	0	0
Business	1	0	1
Education	4	2	1
Engineering	3	0	2
Forestry	1	0	0
Health and Human Sciences	2	1	0
Information Services	1	1	0
Liberal Arts	8	3	3
Science	2	1	0
Veterinary Medicine	3	2	0
Total	30	10	7

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Engineering	1	0	0
Research Office	2	2	0
Science	1	0	0
Total	6	3	0

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	0	0
Education	1	1	0
Science	1	0	0
Total	4	1	0

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	1	1
Business	2	1	1
Forestry	1	0	0
Research Office	1	0	0
Total	5	2	2

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	0	0
Business	1	0	1
Education	3	2	1
Engineering	3	0	2
Forestry	1	0	0
Health and Human Sciences	2	1	0
Information Services	1	1	0
Liberal Arts	5	1	1
Science	2	1	0
Veterinary Medicine	3	2	0
Total	23	8	5

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	10	3	0
Business	2	0	0
Engineering	2	1	1
Forestry	3	1	0
Liberal Arts	3	3	0
Science	5	2	0
Total	25	10	1

PROMOTION TO PROFESSOR (COURTESY)

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Science	1	0	0
Total	2	0	0

Faculty Senate

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Promotion & Tenure Committee

Annual Report 2001-2002

Members of the 2001-2002 Faculty Senate Promotion and Tenure Committee were:

- | | |
|---|--------------------------------|
| 1. Rakesh Gupta, Chair Wood Science and Engineering | College of Forestry (2002) |
| 2. Shawna Grosskopf, Economics | College of Science (2002) |
| 3. Mary Powelson, Botany and Plant Pathology | College of Agriculture (2003) |
| 4. Jack Higginbotham, Nuclear Engineering | College of Engineering (2003) |
| 5. Charles Langford, Sociology | College of Liberal Arts (2004) |
| 6. Vacant (2004) | |

The Faculty Senate (FS) Promotion and Tenure (P&T) Committee reviews University P&T Guidelines and advises on matters pertaining to the P&T process. The Committee reads the dossiers and observes the annual P&T process conducted by the University P&T Committee to ensure an equitable process for all faculty. When the University P&T Committee does not reach a consensus on the recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean (sometimes Unit Head or immediate Supervisor) meets with the University P&T Committee. In these instances, one member of the FS P&T Committee is present as an observer to represent the Faculty Senate. The observer notes adherence to the University P&T Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

The Committee provides input on the P&T decision process through its annual report to the FS Executive Committee (EC) and to the Provost's office. The annual report also includes a summary of the current year's P&T actions provided by the Office of the Provost.

The Committee consists of six faculty members who have been granted tenure at OSU, who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Committee also provides leadership for campus-wide educational programs related to the P&T process and facilitates ongoing dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, unit heads/chairs, deans, and department and college committees.

1. **Review of the University Promotion and Tenure Guidelines**

The following items (based on 2000-2001 Annual Report of the FS P&T Committee) were given to the Committee by the Faculty Senate President to be reviewed and discussed by the Committee, and provide recommendations:

1. Standing Rules

Charge - Review standing rules and propose changes if necessary

Response - The Committee revised the standing rule to make its language more consistent across various P&T related documents, and with the actual work of the Committee. The old and the revised standing rules are given in Appendix A.

2. Position Description

Charge - Revise text regarding 'Position Descriptions' found in the 'Dossier Preparation Guidelines'

Response - The 'Position Description' section of the 'Dossier Preparation Guidelines' was revised to reflect the recommendations of the previous year's committee. The main recommendation was to include multiple dated Position Descriptions (one signed and dated for each year or signed and dated each year on the same one) on the departmental/unit letter head indicating changes or no changes in assigned duties. The old and revised position description sections are given in Appendix B.

Based on our discussions and a forum (see section III.3), there are still some unanswered questions about position description: (i) who initiates it? (ii) who has the final authority to approve/enforce it? (iii) is it confidential?

3. Distinction

Charge - Attempt needs to be made to arrive at an operational definition for 'Distinction' for individuals seeking promotion to full professor.

Response - The Committee believes that there are different ways in which the distinction can be achieved in various disciplines. Therefore, it was not possible to arrive at one common definition of distinction which will work for all faculty members in all units at OSU. The Committee believes that it should be left up to the individual faculty member to demonstrate that s/he has achieved distinction in assigned duties as outlined in his/her position description. We recommend (see Appendix C) revising the 'Criteria for Promotion to Professor' section of 'Promotion and Tenure Guideline' document to reflect it more explicitly.

The Committee also believes that the distinction should not be based on: (a) ability to raise money and (b) quantity of work.

4. Early Tenure

Charge - (a) Explicit policy needed regarding individuals seeking early tenure - unclear whether such individuals will be evaluated against higher standards or the same standards as those pursuing tenure after six years; discuss with committee and Sabah Randhawa, and (b) Explicit policy needed that defines what 'going up early' means in relation to time in rank as Associate Professor before consideration for promotion to full professor; discuss with committee and Sabah Randhawa.

Response - The Committee met with Sabah Randhawa to discuss both issues and a policy regarding 'early tenure' was drafted. Our goal was to allow faculty members to seek 'early tenure' but still restrict the number of times a faculty member can apply for early tenure. A proposed draft of the policy is shown in Appendix D.

At a meeting called by the Provost (see Section IV), the Provost pointed out that in the past few years there were too many cases of early tenure and he is looking into ways of reducing it. He also suggested a possible solution that candidates can come up early for tenure, but they are out if unsuccessful! The Committee briefly discussed this issue (because it was brought up too late in the year) and felt that 'one strike and you are out' policy is too harsh. Instead the Committee is suggesting a twofold approach:

1. A candidate cannot initiate early tenure unless invited to do so by the department/unit head/chair (also shown in Appendix D), and
2. revised language in the University P&T Guidelines. The Guidelines state 'Tenure is granted for achievement, not for years in rank,' in the second paragraph of section titled 'Criteria for Granting Indefinite Tenure'. Although it is true that tenure is granted for achievement and not years in rank, the phrase 'not years in rank' may be giving an impression that candidates can apply for early tenure and possibly as many times as possible before six years. The Committee is recommending to delete this phrase and revise it as follows:

'Tenure is granted for achievement. Under normal circumstances.....' The committee believes that by making these two changes the early tenure cases may be reduced but still allow exceptional cases to go through, and will help in attracting outstanding and promising young faculty.

5. University P&T Process

Charge - Discuss whether a FS P&T Committee member should be involved in the selection of which dossiers are going to be given further review. Regardless of involvement, P&T Committee should be informed of the process being used to determine selection.

Response - The Committee voted against getting involved in selection of dossiers which are going to be given further review because the Committee observes the review of these dossiers while they are being discussed by the University P&T Committee to ensure an equitable process for all faculty and adherence to the University P&T Guidelines.

The Committee received the University P&T Committee's process of reviewing dossiers in early March from Sabah Randhawa (shown in Appendix E). According to this document (and clarification from Sabah Randhawa), the University P&T Committee doesn't discuss the case if it was 'negative' at unit/department and college levels and the University P&T Committee agrees with their decision. For such cases, in the past (including current year), the FS P&T Committee never got to review the dossiers and was never a part of any discussion. As a matter of fact, these are probably the most important cases which should be observed by the Committee for adherence to University P&T Guidelines. It is recommended that, in future, the Committee is invited to review all such dossiers and should be a part of the discussion where such cases are discussed.

6. Balance between Teaching and Scholarship across Colleges

Charge - Is more consistency needed across colleges regarding the balance between teaching and scholarship, and how would this be monitored?

No Discussion

7. External Reviewers

Charge - (i) Since some departments/units pay external reviewers for dossier evaluation and some don't, a University policy must be developed regarding how reference letters are obtained. (Nancy Rosenberger will check with Sabah Randhawa whether the University will handle this issue.); (ii) Since it's unclear how letters are chosen for inclusion in the dossier, an explicit policy is needed so the candidate's dossier is constructed in the fairest manner possible. Committee will discuss and possibly make recommendation that no more than eight letters may be solicited; letters must be chosen from the eight solicited or more solicited when those are not received.

Response - The Committee discussed the issue of external letters of evaluation at length. As far as issue of payment to external reviewers is concerned, we checked with Sara Eklund and Gigi Bruce and they told us that they are not aware of any unit on campus who pays for the external letters of evaluation. Should we pay for external letters of evaluation? The Committee did not discuss this issue but it was brought up at the Provost's Council meeting (Chair was invited to attend while Sabah Randhawa was presenting 'lessons learnt from this year's P&T process' to the Council). But, because of the current budget crunch, the question was raised - who will pay for this? - unit, college, university? There was no further discussion on this topic.

The Committee addressed the following issues which have been raised at various FS and University P&T Committee meetings: (i) letters are not very helpful because frequently they are letters of advocacy and not evaluation, (ii) difficult to get the required number of letters, (iii) how many letters should be from the list submitted by the candidate, (iv) how many from the unit head or departmental committee's list, (v) how to choose where to get letters, (vi) which letters to include, etc.

After a lengthy discussion, a new policy on 'External Letters of Evaluation' was drafted and it is included in Appendix F. We are recommending that 'a relevant portion of the University P&T Guidelines' be sent with solicitation letter and putting more emphasis on 'evaluation'. We are also

recommending that letters be sought from 'peer institutions' in order for them to evaluate the candidate fairly. The Committee believes that instead of requiring a minimum and maximum number of letters, which is sometimes difficult to achieve, as long as at least 50% of the letters are requested from a list provided by the candidate any number of letters would be okay. This is reflected in the proposed policy. We feel that this will take care of all the issues listed above.

8. Release of Results

Charge - Address the issue of the Provost not releasing results for an entire college until all decisions are made

Response - The Committee briefly discussed this issue and suggests that all the results (university wide) be released at the same time.

9. Post-Tenure Review

Charge - Continue review of post-tenure review guidelines across campus and report results to the FS EC

Response - The Committee did not review the post-tenure guidelines because the Office of the Vice-Provost for Academic Affairs was in the process of finalizing the guidelines. The chair of the Committee was invited to attend one meeting where the guidelines were discussed. The guidelines were finalized by the vice-provost, Sabah Randhawa, and implemented in November 2001. The final guidelines are given in Appendix G.

The Committee raised an issue about item 3 of the process. The item three states that 'A unit review committee of faculty peers, appointed by the unit/departments head/chair, will review the dossier.' The Committee made the recommendation that the unit/departments review committee of faculty peers be 'elected' by the faculty peers and not 'appointed' by the unit head in order to keep the process 'open and democratic'. The Committee's recommendation was not accepted.

10. Tenure of Instructors

Charge - Address the following issues: For promotion from instructor to senior instructor; is scholarship, teaching or both required?

Response - The Committee did not discuss these issues because there was a task force on 'Tenure/Hiring Practices for Instructors' which discussed these issues. The task force was chaired by Roy Arnold; other members were Nancy Rosenberger, Angelo Gomez, Mary Powelson, Mike Oriard, and Kevin Ahern. The issue is twofold: (1) Instructors' job descriptions typically have no scholarship component. So we run into problems when a request is made to tenure Senior Instructors because their job descriptions have no scholarship component and scholarship is required for promotion. (2) A major change in job description, as for example, from untenured to tenured, requires that we follow Affirmative Action (AA) hiring practices and, at the very minimum, units obtain waiver of search from AA. This is typically not followed when Senior Instructors are tenured.

The recommendations of the task force are given in Appendix H but they have not been finalized yet. (The recommendations have been shared with the deans and with the FS EC. The deans as well as the EC agree with these except bullet #3 which pertains to tenure; both the EC and the deans disagree with this recommendation. The recommendation is not consistent with the current P&T guidelines.)

2. Observations based on University P&T Committee deliberations

In 2001-2002, consensus was achieved by the University P&T Committee for all cases except twenty-five (25) dossiers. The FS P&T Committee reviewed these dossiers. The University P&T Committee discussed these dossiers with respective deans and a member of the FS P&T Committee was present at all meetings. The Committee submits the following remarks and recommendations, based on our reading of the discussed dossiers and observations during the University P&T Committee meetings:

- The Committee believes that the P&T process (especially at the unit and college level) should be 'open (transparent) and democratic'. P&T Committees at the various levels should be elected and not selected to keep the process 'open and democratic'. However, the Committee also realized that units should have the freedom to choose how they want to conduct the process and how they want to choose various committees. But no matter how the committees are chosen and no matter what the process is, the P&T process at the unit level should be in writing, shared with the candidate at the time of hiring and filed with the provost's office/FS office in order for all the involved parties to be aware of the process.
- Colleges have different ways of evaluating P&T dossiers. Some have college wide P&T committees consisting of faculty members from various units within the college. Some colleges have committees consisting of various deans and/or unit heads. The committee believes that each college should have a college wide P&T Committee composed of peers (faculty members) from the various units (independent of deans) of the college in order to have an independent assessment of the dossiers beyond the unit to assure consistency across units in a college. However, the Committee again realizes that colleges should have freedom to choose how they want to conduct the process. Regardless of what the process is, the P&T process at the college level should be in writing, shared with the candidate at the time of hiring and filed with the provost's office/FS office in order for all the involved parties to be aware of the process.
- It is recommended that Tenure Time line should be established for each candidate at the time of hire, possibly centrally at the provost's office and the candidate is requested (possibly by the provost or unit head?) to submit his/her dossier in order to ensure candidate applies for tenure when s/he is due. In the current year, one candidate applied for promotion and tenure in the seventh year because the date of hire was entered incorrectly. Creating a tenure time line for each candidate and requesting them to apply for promotion and tenure when they are due may avoid such problems in the future.
- Promotion and Tenure should be based on quality scholarship, quality teaching and quality service. Candidates should not be denied tenure and/or promotion only because they have not added to the department's fame. Likewise, a person should not be denied promotion or tenure because they have not raised sufficient money when the three main aspects of their performance (scholarship, teaching and service) represent quality results. The ability to raise money or to increase department's fame is not the same as creating or teaching knowledge. Thus, fund-raising and effective publicity should not be used as an index for either quality research or instruction.
- The P&T dossiers currently show what candidates have done over 5-6 years but do not show progress or mentoring received over the years. During our observation of the P&T cases, we came across a case where no annual review was done for the candidate over 5-6 years. This candidate never got any feedback regarding progress toward P&T. This created split voting for P&T based on what the candidate was doing and what the candidate should have done. The Committee recommends that the annual reviews, which are conducted at the unit level every year, be a part of the P&T dossiers in order for everyone to be aware of the progress the candidate is making and the kind of mentoring the candidate is receiving. In order to keep the size of the dossiers manageable, it is recommended that one page summary of annual review should be included with the P&T dossier.
- The meaning of 'Distinction' continues to be a problem for candidates seeking promotion to full professor. Even though the Committee made recommendations (see I.3 above and Appendix C) it will continue to be a 'sticky' point in the evaluation of dossiers considered for the promotion to full professor. It is even a bigger problem for extension and library dossiers. Also it is not clear from the current guidelines if the candidates have to achieve distinction in all three areas.

The committee believes that awarding of large grants/contracts was often tied to 'distinction'. This should not be, because there are various fields where 'distinction' can be achieved without acquiring large grants/contract.

- Extension and Library dossiers continue to be 'problematic' in terms of how to evaluate scholarship. It seems that there is a need to come up with a way to define and evaluate scholarship for extension and library faculty members. It is also possible to look into devising a separate P&T process for the extension and library faculty members where scholarship is defined and evaluated differently.

- External letters of evaluation are a important part of the dossiers. Therefore, it should be identified how they were chosen/selected because they are more often letters of advocacy. Evaluations from these letters should be based on universalistic and not particularistic criteria.
- Position Descriptions have improved over the years but still don't provide clear expectations. Scholarship expectations should be consistent with OSU's P&T guidelines. How teaching and service will be evaluated should be clear to the candidate at the time of hiring.
- The current University P&T Guidelines have been in effect since 1995. The Committee recommends that its effectiveness be assessed. The review should include: (i) a summary of P&T cases for the last 7 years, (ii) number of cases that came up early (by year, i.e., 1 year early, 2 years early, etc.) and their success rate, (iii) review of extension and library cases, (iv) number of dossiers forwarded each year to the university P&T committee and how many resulted in appeal/grievances and did appeal/grievances decrease over time?, (v) review of women/minority cases. Since it is going to be a major task to review the effectiveness of the current P&T guidelines, it is recommended that a university level task force be appointed by the Provost. The task force should include one or two members of the original task force, one member from the FS P&T Committee, one member from the University P&T Committee and faculty members from across university.
- Even though we believe that the P&T process, in general, is fair and just for all faculty members, we need to make sure that there are no biases toward women and faculty of color. In particular, decision makers should be aware of the different working styles of men and women and the added service component (committees, guest speaking, etc.) put on minorities.
- The Committee should continue to sponsor campus-wide brown bag lunches, especially for the new faculty members, unit heads and deans, that focus on all aspects of the P&T process at OSU. In an effort to provide an overview of the P&T process at OSU the Committee developed a flowchart (Appendix J) which was distributed at the brown bag lunches. The flowchart should be updated and revised annually and distributed to the faculty members at the brown bag lunches and other P&T related seminars.
- The Committee recommends that the P&T FAQ should be annually updated using the annual reports of the FS P&T Committee.
- Each year, the FS P&T Committee's membership should be updated on the university web page.
- The University P&T Committee discussed all cases openly and fairly by adhering to the University P&T Guidelines. Our Committee believes that the University P&T Committee tried to collect all evidence and tried to make an informed decision on each case. As a matter of fact, the University P&T Committee leaned in the direction of giving all candidates every benefit of doubt in their decisions. The University P&T Committee was fair in their deliberations while also trying to maintain quality at OSU.

3. **Campus-wide educational programs**

The Committee and/or Chair were involved in the following educational programs:

- September 21, 2001 - 'Overview of Promotion and Tenure Process at OSU' by Rakesh Gupta and Sabah Randhwa; New Faculty Orientation, LsSells Stewart Center.
- October 16, 2001 - Brown Bag Lunch, Rakesh Gupta and Sabah Randhawa, MU (attendance 35+).
- January 23, 2002 - 'Faculty Position Descriptions' by Rakesh Gupta; Forums on Faculty Rewards and Evaluation - Faculty Position Descriptions.
- May 14, 2001 - Brown Bag Lunch, Rakesh Gupta and Sabah Randhawa, MU (attendance 30+). In conjunction with 'Critical Issues Project' - Definition and Assessment of Scholarship.

4. **Other Committee Activities**

The Committee was invited to attend an one-time meeting (June 3, 2002) called by the Provost to

discuss observations about the P&T process at OSU and highlight problem areas. The meeting was also attended by the FS EC, OSU-2007 committee on teaching/advising, Sabah Randhawa, and Vickie Nunnemaker. Various issues were surfaced by those who attended the meeting. Vickie took detailed notes and has summarized the discussion. It is included in Appendix I. The FS P&T Committee did not have time to discuss all these items and recommends that these items be discussed in future years.

5. Tasks for next year

In addition to the items listed in sections I, II and IV above, the Committee should also address the following issues raised by the OSU-2007 satellite team that is looking into "How well do current OSU policies and procedures (especially promotion and tenure guidelines) serve the teaching/advising mission of the university?" (Note that Question 1 focuses on guidelines AS WRITTEN and that Question 2 focuses on guidelines AS INTERPRETED). Specifically,

1. Do you think that OSU's current P&T guidelines at OSU give the flexibility needed to promote and tenure faculty members who are good teachers and advisors?
2. Do you think that OSU's current P&T guidelines are interpreted and applied in ways that promote good teaching and advising at OSU?
3. Can you suggest new policies and procedures that might FOSTER good teaching and advising at OSU? (One way that's been discussed is to hire, support, and reward faculty whose primarily interests and skills are in teaching and advising)

6. Summary of 2001-2002 P&T actions

A summary of the disposition of all these cases was prepared by Sabah Randhawa, vice-provost of academic affairs, and is given in Appendix K.

Appendix A - Standing Rules

OLD

Faculty Senate at Oregon State University Promotion and Tenure Committee

Standing Rules

The Promotion and Tenure Committee studies statements of policy and advises on matters pertaining to the promotion and tenure process. The Committee observes the annual promotion and tenure process in the Executive Office and reads the dossiers and provides input on the promotion and tenure decision process through its recommendations to the Faculty Senate Executive Committee and to the Provost's Office. The Committee shall file an annual report with the Faculty Senate that includes a summary of the previous year's promotion and tenure actions. The Committee shall consist of six faculty who have been granted tenure at OSU, whose appointments are primarily in teaching, research and extended education who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the committee during the year in which the review is scheduled.

The Promotion and Tenure Committee provides leadership for campus-wide educational programs related to the promotion and tenure process and facilitates on-going dialogue about these matters. Members of the committee are available to respond to procedural and interpretative questions from faculty, department heads, deans, and department and college committees.

(6/99)

REVISED

Faculty Senate Promotion and Tenure Committee

Oregon State University

Standing Rules

The Faculty Senate Promotion and Tenure Committee reviews University Promotion and Tenure Guidelines and advises on matters pertaining to the promotion and tenure process. The Committee reads the dossiers and observes the annual promotion and tenure process conducted by the University Promotion and Tenure Committee . The Committee provides input on the promotion and tenure decision process through its annual report to the Faculty Senate Executive Committee and to the Provost's office. The annual report also includes a summary of the current year's promotion and tenure actions provided by the Office of the Provost. The Committee shall consist of six faculty members who have been granted tenure at OSU, who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the committee during the year in which the review is scheduled. The Committee provides leadership for campus-wide educational programs related to the promotion and tenure process and facilitates on-going dialogue about these matters. Members of the Committee are available to respond to procedural and interpretative questions from faculty, unit heads/chairs, deans, and department and college committees.

(6/2002)

Appendix B - Position Description

OLD

Position Description

A copy of the candidate's current position description must be included. If significant shifts in assignment have occurred, earlier position descriptions should be included. With significant assignment changes, include a table that summarizes FTE distribution among primary activities over time. Within each position description, identify expectations and the approximate percentage of responsibility associated with these three areas: teaching, advising, and other assigned duties; scholarship and creative activity; and service.

REVISED

Position Description as Recommended by the FS P&T Committee

A copy of the faculty member's annual position description for each year must be included. The description should be typed on official letterhead and be signed by the faculty member and appropriate supervisor at the time of hiring and annually thereafter. Consequently, the dossier will include multiple dated position descriptions, regardless of whether significant changes in responsibilities have occurred. Each position description must identify expectations and the approximate percentage of responsibility associated with the following three areas: teaching, advising, and other assigned duties; scholarship and creative activity; and service.

(6/2002)

Appendix C - Distinction

OLD

Criteria for Promotion to Professor

Promotion to the rank of Professor is based upon evidence of the candidate's:

- distinction in teaching, advising, or other assigned duties, as evident in continuing development and sustained effectiveness in these areas;

distinction in scholarship, as evident in the candidate's wide recognition and significant contributions to the field or profession;

- exemplary institutional, public, and/or professional service.

REVISED

Criteria for Promotion to Professor

Promotion to the rank of Professor is based upon the following evidence of the candidate's:

- distinction in teaching, advising, or other assigned duties, as evident in continuing development and sustained effectiveness in these areas;
- distinction in scholarship, as evident in the candidate's wide recognition and significant contributions to the field or profession;
- exemplary institutional, public, and/or professional service.

The candidate (or unit head) seeking promotion must provide evidence of having met the above criteria.

(6/2002)

Appendix D - Early Tenure

EARLY TENURE

What is 'seeking early tenure'?

Faculty member seeking tenure before five years of service in rank as full-time, tenure track faculty at Oregon State University.

Can an individual apply for early tenure?

Faculty member can apply for early tenure if (a) there is a formal written agreement for early consideration of tenure when hired, and/or (b) the criteria for granting indefinite tenure as outlined in the University Promotion and Tenure Guidelines have been met.

Evaluated against higher standards or the same standards as those pursuing tenure in their sixth year of service?

Faculty member going up early for tenure would be evaluated against the same standards of documented excellence as those pursuing tenure in the sixth year of service in rank.

How many times can one apply for early tenure?

A faculty member can not initiate early tenure process unless invited by the unit Head (in cooperation with the Dean).

EARLY PROMOTION (For all ranks)

The committee felt that there shouldn't be any time limit for promotion because as long as the faculty member is able to meet and demonstrate the criteria for promotion, s/he should be allowed to seek promotion anytime.

(6/2002)

Appendix E - University Promotion and Tenure Committee's Process of Reviewing Dossiers

University- Level P&T Evaluation Process - by Sabah Randhawa

1. Completed dossiers are turned into the office of Vice Provost of Academic Affairs (VPAA) by March 1, 2002 (for 2001-2 evaluations).
2. Sara Eklund, Executive Assistant to the VPAA, reviews all dossiers for:
 - Completeness
 - Adherence to P&T Guidelines
 - Duplication of Information (for faculty with appointments in multiple colleges)
 - Sara creates a database of the candidates to be evaluated
3. Sabah Randhawa, VPAA, reviews dossiers for:
 - Adherence to P&T Guidelines, particularly with respect to internal and external evaluations
 - Overall assessment of all cases to identify dossier with negative recommendations or with split recommendations
 - Detailed assessments and evaluations of all cases for promotion of FRA's to SFRA's
4. After consultation with the University P&T Committee, VPAA assigns, for each dossier, a primary evaluation and a secondary evaluator. Assignments are typically made by college, recognizing potential conflict of interest of committee members and an effort is made to balance workload of committee members.
5. A one to one and a half day is set aside for the University P&T Committee to meet and discuss all dossiers. Special focus is on dossiers with negative or split recommendations, and on ensuring consistency of evaluation within colleges and across colleges (recognizing differences in mission and goals of colleges and their impact on P&T requirements). Typically, dossiers with split recommendations or those with which the committee has concerns on questions (particularly dossier with negative recommendations) are set aside for further discussions with the college deans. Other administrators may be invited, if appropriate. Representatives from the Faculty Senate P&T Committee are invited to deliberation's involving this subset of dossiers. The University P&T Committee meets around the third week of April.
6. Individual sessions are set up between April 25 and May 10 involving the University P&T Committee, college deans and other administrators (if appropriate) and representatives from the faculty Senate P&T Committee. The Faculty Senate P&T Committee is provided an opportunity to review these cases in question prior to these meetings. Differences of perspectives, in the dossier and University P&T Committee concerns and questions are discussed at these sessions.
7. The University P&T Committee forwards its recommendations to the Provost after the meetings are completed. The Provost makes his decisions and forwards these to the College deans by May 15th.

Appendix F - External Letters of Evaluation

OLD (as given in the Promotion and Tenure Dossiers Guidelines 2000-2001)

External Letters of Evaluation

Solicited Letters of Evaluation from Outside Leaders in the Field (5 minimum, 8 maximum) Letters should generally be from leaders in the candidate's field, chosen for their ability to evaluate the candidate's scholarly

work. Only in rare cases should letters be solicited from co-authors, co-principal investigators, former professors, or former students. Letters should generally be from tenured professors or individuals of equivalent stature outside of academe who are widely recognized in the field.

As described in Promotion and Tenure Guidelines (July, 1995), the candidate may submit a list of individuals meeting these criteria and, from this list, at least three will be selected by the department chair or head (or chair of the unit's Promotion and Tenure Committee). The other reviewers are to be selected by the chair, head, dean, or faculty committee according to practices determined within the unit. All letters must be requested by the department chair, head, dean, or the unit's promotion and tenure committee chair, not the candidate.

A representative form letter is attached, but any reasonable variation is acceptable. Include a copy of the actual letter used. Each reviewer should be sent a copy of the candidate's position description, personal statement, and current vita. Copies of publications are not usually sent to reviewers, but may be sent at the discretion of the individual soliciting the letter. Provide a log of contacts with the reviewers, including letters and telephone calls. Letters from external reviewers should be available prior to initiating the review of the dossier.

REVISED

External Letters of Evaluation

External letters of evaluation should be solicited from experts in the candidate's field, chosen for their ability to evaluate the candidate's scholarly work. Only in rare cases should letters be solicited from co-authors, co-principal investigators, former professors, or former students. Letters should be from tenured professors at peer institutions or individuals of equivalent stature outside of academe who are widely recognized in the field. The candidate must submit a list of individuals meeting these criteria. At least 50% of the external letters of evaluation must be solicited from this list (the remaining letters from unit chair, unit P&T committee, or dean's list). The unit chair/head, dean, or the unit's promotion and tenure committee chair, not the candidate, must request all letters. Both lists of names along with all the letters received must be included in the faculty member's dossier. A copy of the solicitation letter used must be included. Each evaluator should be sent a copy of the candidate's position description, personal statement, current vita, and the relevant portions of the University Promotion and Tenure Guidelines. Copies of publications may be sent at the discretion of the individual soliciting the letter or at the request of the evaluators. A log of all contacts with the evaluators must be provided. Letters from external evaluators should be available prior to initiating the review of the dossier.

(06/2002)

Appendix G - Post-Tenure Review

Post-Tenure Review Implementation Guidelines

The University established a post-tenure review system to "*recognize and foster excellence, to help good faculty become better, and to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed on the awarding of tenure.*" The process is intended to provide effective evaluation, useful feedback, appropriate intervention and timely assistance to ensure that every faculty member establishes and maintains an acceptable record of professional development and accomplishment during the various phases of his or her career.

The post-tenure review is normally a unit-level process that occurs every five years for each tenured faculty member. However, in the case of tenured associate professors, a college-level interim review or a formal evaluation for promotion may be substituted for the normal post-tenure review if conducted within the five-year span. The department or unit head, or the faculty member may also request a peer committee post-tenure evaluation at any time if it is considered to be beneficial to the professional development of the faculty member.

Process

The review will consist of the following steps:

1. The unit head is responsible for developing and maintaining a multi-year plan for post-tenure review to maximize effective use of faculty and staff resources. The unit head will discuss the post-tenure review process with each eligible faculty member during the winter or spring of the academic year prior to a planned review.
2. The faculty member will prepare a dossier in accordance with the OSU Promotion and Tenure Guidelines, with the exception that outside review letters will not be required, and will not ordinarily be requested. If a faculty member or unit head requests outside review, up to five reviewers will be selected, following the process used in promotion and tenure procedures.
3. A unit review committee of faculty peers, appointed by the unit head, will review the dossier. The peer committee also may include faculty outside the unit; this option might be especially appropriate for faculty whose work has a significant interdisciplinary component that involves other OSU units. The peer committee's evaluation will be provided to the faculty member, who may attach comments, explanations or rebuttal, prior to being forwarded to the unit head.
4. The unit head, after reviewing the dossier and peer committee's evaluation and recommendation, will prepare a written evaluation of the faculty member's performance in each of the assigned areas of responsibility, as well as an overall performance rating. The overall performance will be expressed as *Extraordinary Performance*, *Strong and Positive Performance*, or *Unsatisfactory Performance*.
5. The final dossier and evaluations will be kept in the faculty member's personnel file, and a copy will be submitted to the Dean.

Outcomes

An overall performance rating for the five-year review period will be determined using the following three levels: Extraordinary Performance, Strong and Positive Performance, or Unsatisfactory Performance. It is expected that only five-year performance records that stand out from the rank group and which are conspicuously marked by distinction will be considered "Extraordinary." This rating would require high levels of sustained performance per faculty member's position description. Similarly, faculty performance that shows a sustained record of deficient performance per faculty member's job description will be considered "Unsatisfactory."

"Extraordinary" Performance: The department and/or college will publicly acknowledge faculty whose performance is deemed Extraordinary and will consider the post-tenure review outcome in awarding merit raises at the next available opportunity for such raises. In addition, faculty receiving a rating of Extraordinary will receive a one-time monetary supplement of \$3,000.

"Strong and Positive" Performance: The department and/or college will consider the post-tenure review outcome in awarding merit and fully satisfactory performance raises at the next available opportunity.

"Unsatisfactory" Performance: Should the peer committee and the unit head agree that the results of a five-year review indicate that a faculty member's record is unsatisfactory, the unit head in consultation with the peer committee and the faculty member under review, will draft a professional development plan. This plan will include definite steps to be taken to remedy the specific deficiencies and to provide realistic support for accomplishing the goals of the development plan. The plan shall be approved by the responsible dean(s). A timetable of no longer than three years will be provided to accomplish the goals of the plan, with annual monitoring by the unit head and peer review committee to measure progress.

Discipline or dismissal for cause, are not part of the post-tenure review. The consequences of continued unsatisfactory performance are outlined in *The Faculty Handbook*. The unit head and the dean bear the responsibility for documenting a case of continued unsatisfactory performance and/or failure to achieve the goals of the development plan resulting from a post-tenure review.

Appendix H - Tenure for Instructors

Recommendations of Issue Group on Tenure Policies for Senior Instructors

Charge:

Review OSU's current policies and to recommend changes in policy that would bring greater clarity and consistency to tenure decisions being made regarding Senior Instructors

Recommendations:

- Tenure for senior instructor will only be considered for those positions originally defined as tenure-track, with an expectation that the position had been filled through a national search
- Creation of tenure-track instructor positions require both college and university level approval
- Position descriptions for tenure-track instructors should include an expectation of professional development and service appropriate to the rank; scholarship may be included within professional development, but is not required for instructor positions

"For instructors [initially hired] with tenure-track appointments, the tenure decision is based primarily on the candidate's performance of assigned duties. Evidence of professional growth appropriate to the position will also be required, possibly but not necessarily including scholarship in the field, in addition to a record of service appropriate to the rank."

- Instructors currently in fixed-term positions can be considered for tenure only if the position was redefined as tenure-track, with similar expectations for a search; assuming that an open national search had been conducted to fill the position initially, a request for waiver of search could be considered (waiver of search is not explicitly mentioned in the proposed policy changes because that option is covered elsewhere in OSU policies and is always a possible option)
- Recognizing that instructors and senior instructors at OSU cover a wide range of specific roles and responsibilities, including but not limited to the instructional program, the word "instructional" has been changed to "academic" in several places
- Promotion to the rank of senior instructor is independent of consideration of tenure; fixed-term instructors may be promoted to senior instructor without indefinite tenure
- Consideration for either promotion or tenure should occur through existing university promotion and tenure processes, with added language to clarify the expectations for professorial rank faculty and instructors/senior instructors

15 May 2002

Appendix I - Notes from meeting with Provost

Promotion & Tenure Discussion June 3, 2002

Present: Paul Doescher, Angelo Gomez, Shawna Grosskopf, Rakesh Gupta, Jack Higginbotham, Lyla Houglum, Ed Jensen, Gordon Matzke, Janet Nishihara, Mary Powelson, Sabah Randhawa, Nancy Rosenberger, and Tim White

White began by indicating that he felt the system was pretty close to right, but needs to be closer. Four areas need to be reviewed:

1. The position description and the way a job is constructed and the way the job is actually performed sometimes contradict each other. Does the position allow an individual to be successful? Difficult to be distinguished in all areas when if a particular portion of the job amounts to only 10-15%.
2. Ways in which evidence is compiled and disclosed relevant to the criteria. Extension and Library faculty have particular problems in the areas of scholarship, percent of effort and the way the impact of scholarship is described. Gupta noted that the PD's need improvement and that the P&T Committee is making a recommendation related to this in their annual report.
3. Early cases - what is the definition? Should a person in the assistant rank be continually allowed to put their dossier forth until the six years are up? Should the process be changed so that a person can come

up early for tenure, but they are out if unsuccessful? Continues to be confusion between scholarship section of the PD and a vitae. Does it represent scholarship or research? Need to distinguish between the two in the percent section of the PD.

4. How is the effectiveness of the P&T Guidelines measured? Randhawa noted that the new guidelines have been in operation for 6-8 years and that perhaps it is time to evaluate the effectiveness of the guidelines.

Other items

What do we need to do to make it better? a) There needs to be better general communication between the faculty and leadership during dossier preparation, and b) Bring Post-Tenure Review in the process. It was noted that the annual review, and the Promotion and Tenure and Post-Tenure Review processes need to be tied together.

Gupta noted there are still faculty who do not know the difference between the University and Faculty Senate Promotion and Tenure Committees - or that there are two separate groups. His goal, as chair, has been to convey the differences in Charges and purpose. It seems that many faculty don't know what happens at the university level. Gupta felt that the current guidelines are comprehensive and inclusive.

Houglum noted that, although the OSU Guidelines continue to be used as a model across the nation, she feels that they should be evaluated. The PD's have improved, but vary from unit to unit - they are better if they are specific to a person rather than for a department. The guidelines state that scholarship does not equal research, although it can lead to research.

Houglum questioned the usefulness of external reviews. External reviews are sometimes more about advocacy than evaluation. Since guidelines at other universities may be different, it may be helpful to communicate with reviewers to let them know what is needed.

Houglum thought it may help to work with departments and college units to help them learn to evaluate dossiers and then work with colleagues.

In marginal cases, what do the annual and mid-course reviews say? OSU has no guidelines for mid-course reviews. Gupta suggested a standard format for annual reviews. Annual reviews are not required in the dossier and should be in the guidelines. Jensen also advocated for standardizing reviews so that the same areas are addressed.

Houglum felt that tenure for the institution is an ongoing issue for the University P&T Committee. Matzke wants tenure for Courtesy faculty addressed. He also noted that some faculty are at a disadvantage if they have a poor mentor.

Gomez questioned whether the current P&T process is serving modern day realities. Do present realities require more flexibility in the number of years they are allowed to be successful? He felt there should be more flexibility in the process.

Gupta also felt that evaluations are gender based and faculty are evaluated against different criteria depending on gender. Gomez questioned whether the P&T process is part of the problem of women and faculty of color advancing below the national level.

Gupta noted that all departments have a different P&T process, as do colleges. He did not suggest standardizing the process, but suggested that each units policies be in writing.

Gomez brought up two additional areas of concern: 1) How individual vs. team-taught scholarly activities are evaluated and 2) How teaching and service are evaluated.

Doescher noted that objectivity of interpretation at unit and college levels vary among different units. There are also instances when personality issues may interfere. Doescher and Powelson recommended a peer committee at the college level - should they be required?

Jensen questioned how someone can be distinguished in areas that account for only 10-15% of their effort. Needs to be a balance between the weight given to teaching, research and service.

Randhawa noted four areas to be reviewed: 1) assessing effectiveness, 2) communication, 3) process issues, and 4) scholarship/job description alignment. Randhawa suggesting forming separate committees to look at these issues. Early cases applies to both junior faculty and experienced faculty coming in from other institutions. White noted the following reasons for going up early: 1) prior teaching at another institution, 2) the faculty member was given a promissory note (i.e., if they finish their Ph.D. and go up, and 3) large egos.

Gupta read a recommended definition from the P&T Committee of those eligible to go up early: Faculty members seeking tenure before five years of service in rank as a full-time tenure track faculty at OSU.

Should a faculty member be allowed to apply for tenure? The recommendation from the P&T Committee is: Faculty members can apply for early tenure if: a) there is a formal agreement for early consideration of tenure when hired and/or b) criteria for granting indefinite tenure - if criteria in guidelines is met (*Rakesh - I don't think I got this right.*)

White suggested that the agreement be with the President or Provost and not a chair. White also suggested that, if a candidate goes up early and is not successful, they enter their terminal year, i.e., the don't get another chance.

Matze questioned whether time should be one of the standards? White noted that it is difficult to attain quality in an early case, i.e., experience gained in working with graduate students. Grosskopf suggested that if an individual insists on early tenure and is not successful, it would be up and out. Matzke suggested defining early tenure as being eligible in year four or five, but not in year one, two or three. Gupta suggested specifying the number of years required at a prior institution combined with the number of years required at OSU to be eligible for early tenure. Can we say that an individual can't initiate early tenure without departmental approval?

Higginbotham noted that a faculty member can pull their dossier at any point up to the point where the Provost makes a decision for tenure. He felt that the option of granting early tenure allows OSU to lure stars away from other institutions; if you don't allow early tenure, it makes stars leave.

Rosenberger assigned the issue of early tenure to the Faculty Senate Promotion and Tenure Committee to discuss.

Jensen questioned if it was possible to create a standard for each of the P&T areas. White responded that it is too variable among units; it comes down to judgement. Houghlum noted it was valuable to talk at the departmental level regarding expectations of scholarship.

Jensen expressed the opinion that it doesn't seem right if a faculty member is supported by the college, but it gets disapproved by the University. He felt that OSU has guidelines, but also needs criteria.

Rosenberger asked the Faculty Senate Promotion and Tenure Committee to talk about the process and requested that their recommendations come to the EC and then to Randhawa.

Appendix J - Overview of P&T Process at OSU: Flowchart

EXECUTIVE SUMMARY 2002 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 67 dossiers in March and concluded its final meeting on July 31, 2002.

Within this report are tables that summarize requests received and the action taken. The information

presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. 19 individuals were promoted to Professor; 15 to Associate Professor; 4 to Associate Professor, Senior Research; 4 to Senior Instructor; and 11 to Senior Faculty Research Assistant. 18 individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Sally Francis, Interim Dean, Graduate School
- Rich Holdren, Vice Provost for Research
- Lyla Houglum, Dean of Extended Education
- Sabah Randhawa, Vice Provost for Academic Affairs
- Tim White, Provost and Executive Vice President, CHAIR

Faculty Observers to the 2002 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Shawna Grosskopf, Department of Economics
- Rakesh Gupta, Department of Forest Products, CHAIR
- Jack Higginbotham, Department of Nuclear Engineering/ Research Office
- Charles Langford, Department of Sociology
- Mary Powelson, Department of Botany and Plant Pathology

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	11	0	0	0
Senior Instructor	4	0	1	1
Associate Professor, Senior Research	4	0	0	0
Associate Professor	15	7	15	6
Professor	19	6	1	0
No change in rank			1	0
TOTAL	53	13	18	7

ANALYSIS FOR WOMEN

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	6	0	0	0
Senior Instructor	3	0	1	1
Associate Professor, Senior Research	1	0	0	0
Associate Professor	10	1	9	1
Professor	7	0	1	0
No change in rank			1	0
TOTAL	26	1	12	2

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	0	1	0	0
Senior Instructor	1	0	0	0
Associate Professor, Senior Research	1	1	1	1

Associate Professor	1	0	0	0
Professor	1	0	1	0
TOTAL	4	2	2	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Engineering	1	1	0
Health & Human Perf	1	1	0
Home Economics & Ed	2	2	0
Information Services	2	1	0
Liberal Arts	4	2	1
Pharmacy	1	1	1
Science	4	2	0
Veterinary Medicine	1	1	0
TOTAL	18	12	2

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	0
Forestry	2	1	1
Home Economics & Ed	1	1	0
Oceanic & Atmospheric Sci	2	1	0
Research	1	1	0
Science	2	1	0
Total	11	7	1

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Home Economics and Education	1	1	0
Liberal Arts	1	1	1
Science	1	1	0
Total	4	3	1

PROMOTION TO RESEARCH ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Forestry	2	1	1
Oceanic and Atmospheric Sciences	1	0	0
Science	1	0	0
Total	4	1	1

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Engineering 1	1	0	
Health and Human Performance	1	1	0
Home Economics and Education	1	1	0
Information Services	1	1	0
Liberal Arts	3	1	0
Pharmacy	1	1	1
Science	4	2	0
Veterinary Medicine	1	1	0
Total	15	10	1

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	6	0	0
Forestry	1	0	0
Health and Human Performance	1	0	0
Home Economics and Education	4	4	0
Liberal Arts	3	1	0
Pharmacy	1	0	0
Science	2	2	0
Veterinary Medicine	1	0	0
Total	19	8	0

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Promotion & Tenure Committee

EXECUTIVE SUMMARY 2001 PROMOTION AND TENURE REVIEW OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 78 dossiers in February and concluded its final meeting on May 14, 2001.

Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. 26 individuals were promoted to Professor; 26 to Associate Professor; 1 to Research Associate Professor; 4 to Senior Instructor; and 12 to Senior Faculty Research Assistant. 33 individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Sally Francis, Interim Dean, Graduate School
- Sabah Randhawa, Vice Provost for Academic Affairs
- Wilson "Toby" Hayes, Vice Provost for Research
- Lyla Houglum, Dean of Extended Education
- Tim White, Provost and Executive Vice President, CHAIR

Faculty Observers to the 2001 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Shawna Grosskopf, Department of Economics
- Rakesh Gupta, Department of Forest Products
- Mary Powelson, Department of Botany and Plant Pathology
- Jack Higginbotham, Department of Nuclear Engineering/ Research Office
- Norm Lederman, Department of Science and Mathematics Education, CHAIR

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	12	0	0	0
Senior Instructor	4	1	2	0
Research Associate Professor	1	0	0	0
Associate Professor	26	5	26	4

Professor	26	2	4	0
No change in rank			1	0
Total	69	8	33	4

ANALYSIS FOR WOMEN

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	5	0	0	0
Senior Instructor	3	1	2	0
Associate Professor	8	1	8	1
Professor	6	1	0	0
No change in rank			1	0
Total	22	3	11	1

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Instructor	1	0	0	0
Associate Professor	6	1	6	1
Total	7	1	6	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	3	2
Business	1	0	1
Engineering	2	0	0
Health and Human Performance	1	0	0
Home Economics & Education	2	2	1
Liberal Arts	7	3	2
Oceanic and Atmospheric Science	4	0	0
Pharmacy	1	0	0
Science	6	2	1
Veterinary Medicine	1	1	0
Total	33	11	7

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities

Agricultural Sciences	3	1	0
Forestry	4	0	0
Hatfield Marine Science Center	1	1	0
Oceanic and Atmospheric Science	2	1	0
Science	1	1	0
Veterinary Medicine	1	1	0
Total	12	5	0

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	1	0
Health and Human Performance	2	1	0
Liberal Arts	1	1	1
Total	4	3	1

PROMOTION TO RESEARCH ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Science	1	0	0
Total	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	7	2	2
Business	1	0	1
Engineering	3	0	1
Health and Human Performance	1	0	0
Home Economics and Education	2	2	1
Liberal Arts	6	2	1
Pharmacy	1	0	0
Science	4	1	1
Veterinary Medicine	1	1	0
Total	26	8	7

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	9	0	0
Forestry	2	0	0
Health and Human Performance	1	1	0

Information Services	1	1	0
Liberal Arts	6	3	0
Oceanic and Atmospheric Science	4	0	0
Science	2	0	0
Veterinary Medicine	1	0	0
Total	26	5	0

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Promotion & Tenure Committee

Annual Report 1999-00

Final Report To The Faculty Senate Of The 1999 - 00 Promotion And Tenure Committee

Membership of the 1999 - 2000 Faculty Senate Promotion and Tenure Committee:

Shawna Grosskopf '02	Economics
Rakesh Gupta '02	Forest Products
Norm Lederman '01	Science & Math Education
Janet Lee '01	Women Studies
Mike Mix '00	Zoology
Alice Mills Morrow '01	Extension Family and Community Development
Tom Savage '00, Chair	Animal Sciences

Executive Committee Liaison - William Lunch

The Faculty Senate Promotion and Tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the annual promotion and tenure review process, Committee members reviewed all dossiers under consideration and observed deliberations /discussions of the University Administrative Promotion and Tenure Committee, to ensure an equitable process for all faculty. The Administrative Promotion and Tenure Committee included the Provost, the Vice Provost for Research and International Programs, the Associate Provost for Academic Affairs, the Interim Dean of the Graduate School, and the Dean and Director of the Extension Service.

When the University Administrative Promotion and Tenure Committee does not have agreement in their review process or when circumstances warrant discussion of a particular case, the candidate's Dean and Department Head or Supervisor meet separately with the committee. A member of the Faculty Senate Promotion and Tenure committee representing the Faculty Senate is present and observes adherence to the Promotion and Tenure Guidelines, the decision - making process, but does not evaluate the merits of the particular case.

Based upon our reviewing of the dossiers, observations during the University Promotion and Tenure process, and activities during the past year, the following remarks and recommendations are submitted.

- The University's Administrative Promotion and Tenure Committee exhibited a consistently high standard for all faculty reviews and an equitable deliberation process was afforded all candidates.
- Our committee was concerned with the **absence of detail** in some of the Position Descriptions (PD) encountered during the review process and complications that result from inexact PDs. The quality of the PD contained in the P&T dossier submitted for the review process is critical. Position Descriptions should be unique and comprehensive for each candidate **not generic**. The PD must be descriptive of all areas of faculty responsibility (Teaching, Advising, and Other Assignments; Scholarship and Creative Activity, Service, etc.). The percentage of time allocated to each assigned area of responsibility must also be noted. If the candidate's responsibilities change with time in the position, such changes and when they occurred need to be duly noted in the PD. It is incumbent upon the college administrators, the candidate's supervisor, and the candidate to insure that an accurate PD is presented in the dossier.
- The Faculty Senate Promotion & Tenure Committee in cooperation with the Associate Provost for Academic Affairs sponsored campus-wide 'brown bag' lunch time orientation programs (1 per term)

during the 1999-2000 year. These informal seminars focused on the development of candidate position descriptions, candidate statements, understanding the definition and documentation of scholarship, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, and other areas relevant to dossier preparation and candidate review. It is recommended that these informational seminars be continued and that all new faculty be encouraged to attend early in their careers. Departmental heads /chairs and or representatives of departmental P&T committees would also benefit by attending.

- The members of the Faculty Senate P&T Committee have assisted departmental representatives in understanding the P&T Guidelines and provided constructive suggestions pertaining to dossier preparations and submissions.

Members of the Faculty Senate P&T Committee also met with prospective new faculty (having prior university experience) to discuss specific P&T process questions, etc. Both of these activities should be continued and communicated to interested persons through the Faculty Senate Office.

- Promotion and Tenure Guidelines state, "tenure is granted for achievement, not for years in rank, and under normal circumstances faculty will be considered for tenure in their sixth year of service in professorial rank." For faculty members that have been hired with prior university service and that service is to be credited towards OSU years of service, it is strongly recommended that "Prior Service Agreements" be in writing and a copy of such document included as an addendum in the candidate's P&T dossier.

EXECUTIVE SUMMARY

2000 PROMOTION AND TENURE REVIEW The University Promotion and Tenure Committee began its review of 64 dossiers in February and concluded its final meeting on June 14, 2000.

Within this report are tables that summarize requests reviewed and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college. Including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. 18 individuals were promoted to Professor; 27 to Associate Professor; 4 to Associate Professor Senior Research; 1 to Senior Instructor; and 4 to Senior Faculty Research Assistant. 34 individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

Sally Francis, Interim Dean	Graduate School
Andy Hashimoto, Vice Provost	Academic Affairs
Wilson "Toby" Hayes, Vice Provost	Research
Lyla Houglum, Dean	Extended Education
Tim White, Provost	Executive Vice President, Chair

Faculty Observers to the 2000 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

Shawna Grosskopf	Department of Economics
Rakesh Gupta,	Department of Forest Products
Norm Lederman	Department of Science and Mathematics Education
Janet Lee	Department of Women Studies
Alice Mills Morrow	Department of Extension Home Economics
Mike Mix	Department of Zoology
Tom Savage	Department of Animal Sciences, Chair

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion	Tenure
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	Yes	No	Granted	Denied
Senior Faculty Research Assistant	4	1	0	0
Senior Instructor	1	0	1	0
Associate Professor, Senior Research	4	0	0	0
Associate Professor	27	2	26	0
Professor, courtesy	2	0	0	0
Professor	16	2	1	0
No change in rank			6	0
TOTAL	54	5	34	0

ANALYSIS FOR WOMEN

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	1	0	0	0
Associate Professor, Senior Research	1	0	0	0
Associate Professor	15	1	15	1
Professor, courtesy	1	0	0	0
Professor	4	0	0	0
No change in rank			1	0
TOTAL	22	1	16	1

ANALYSIS FOR MINORITIES

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Associate Professor, Senior Research	2	0	0	0
Associate Professor	3	2	3	2
No change in rank			1	0
TOTAL	5	2	4	2

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Engineering	1	1	0
Health & Human Perf	1	1	0
Home Economics & Ed	2	2	0
Information Services	2	1	0
Liberal Arts	4	2	1
Pharmacy	1	1	1
Science	4	2	0
Veterinary Medicine	1	1	0
TOTAL	18	12	2

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	0

Forestry	2	1	1
Home Economics & Ed	1	1	0
Oceanic & Atmospheric Sci	2	1	0
Research	1	1	0
Science	2	1	0
Total	11	7	1

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Science	1	0	0
Total	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR - SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Oceanic & Atmospheric Sci	3	1	2
Total	4	1	2

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	7	3	0
Business	1	0	0
Engineering	3	2	0
Forestry	6	2	0
Health & Human Perf	1	1	0
Liberal Arts	5	3	2
Science	1	1	0
Information Services	3	3	1
Total	27	15	3

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	3	0
Engineering	2	0	0
Forestry	2	1	0
Liberal Arts	2	0	0
Oceanic & Atmospheric Sci	1	0	0
Science	3	1	0
Total	18	5	0

EXECUTIVE SUMMARY

1999 PROMOTION AND TENURE REVIEW

The University Promotion and Tenure Committee began its review of 78 dossiers in February and concluded its final meeting on June 9, 1999.

Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III summary analyses are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Nineteen (19) individuals were promoted to Professor; 4 to Professor (courtesy); 24 to Associate Professor; 1 to Associate Professor (courtesy); 4 to Associate Professor–Senior Research; 1 to Senior Instructor; and 15 to Senior Faculty Research Assistant. Twenty-nine (29) individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Roy Arnold, Provost and Executive Vice President
- Andy Hashimoto, Associate Provost for Academic Affairs
- Wilson “Toby” Hayes, Vice Provost for Research
- Lyla Houglum, Dean of Extended Education
- Tom Maresh, Dean of the Graduate School

Faculty Observers to the 1999 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included:

- John Farrell, Department of Economics
- Duane Johnson, Department of 4-H Youth Development Education
- Norm Lederman, Department of Science and Mathematics Education
- Janet Lee, Department of Women Studies
- Alice Mills Morrow, Department of Extension Home Economics
- Michael Mix, Department of Biology
- Tom Savage, Department of Animal Sciences

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	YES	NO	YES	NO
Senior Faculty Research Assistant	15	0	0	0
Senior Instructor	1	0	1	0
Associate Professor – Senior Research	4	0	0	0
Associate Professor (courtesy)	1	0	0	0
Associate Professor	24	3	25	1
Professor (courtesy)	4	0	0	0
Professor	19	4	1	0
No Change in Rank			2	1
TOTAL	69	7	29	2

SUMMARY OBSERVATIONS:

15	faculty were promoted to the rank of Senior Faculty Research Assistant
1	faculty were promoted to Senior Instructor, 1 with indefinite tenure
0	faculty were promoted to the rank of Assistant Professor
4	faculty were promoted to the rank of Associate Professor – Senior Research; 0 with indefinite tenure
1	faculty were promoted to the rank of Associate Professor (courtesy); 0 with indefinite tenure
24	faculty were promoted to the rank of Associate Professor; 25 with indefinite tenure
4	faculty were promoted to the rank of Professor (courtesy); 0 with indefinite tenure
19	faculty were promoted to the rank of Professor; 1 with indefinite tenure
29	faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

REQUEST BY RANK	PROMOTION		TENURE	
	YES	NO	YES	NO
Senior Faculty Research Assistant	4	0	0	0
Associate Professor – Senior Research	2	0	0	0
Associate Professor	14	3	15	1
Professor	3	1	0	0
No Change in Rank			0	1
TOTAL	23	4	15	2

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	YES	NO	YES	NO

Associate Professor – Senior Research	1	0	0	0
Associate Professor	4	0	4	0
Professor (courtesy)	2	0	0	0
Professor	1	0	0	0
No Change in Rank			0	0
TOTAL	8	0	4	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	2	0
Business	1	0	0
Engineering	6	2	0
Forestry	1	0	0
Home Economics & Education	4	3	0
Liberal Arts	9	6	1
Oceanic & Atmospheric Sciences	1	0	0
Science	5	2	3
TOTALS	29	15	4

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	8	1	0
Forestry	4	2	0
Oceanic & Atmospheric Sciences	3	1	0
TOTALS	15	4	0

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Science	1	0	0
TOTALS	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR – SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
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Agricultural Sciences	1	1	0
Forestry	2	1	0
Oceanic & Atmospheric Sciences	1	0	1
TOTALS	4	2	1

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	2	0
Business	1	0	0
Engineering	2	1	0
Forestry	1	0	0
Home Economics & Education	4	3	0
Liberal Arts	8	6	1
Science	6	2	3
TOTALS	24	14	4

PROMOTION TO ASSOCIATE PROFESSOR (courtesy)

	Total Males and Females	Total Females	Minorities
Forestry	1	0	0
TOTALS	1	0	0

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	7	1	1
Engineering	1	0	0
Home Economics & Education	1	1	0
Liberal Arts	4	0	0
Oceanic & Atmospheric Sciences	1	0	0
Science	5	1	0
TOTALS	19	3	1

PROMOTION TO PROFESSOR (courtesy)

	Total Males and Females	Total Females	Minorities
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Agricultural Sciences	1	0	0
Forestry	3	0	2
TOTALS	4	0	2

Faculty Senate

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Promotion & Tenure Committee

Final Report To The Faculty Senate Of The 1997 - 98 Promotion And Tenure Committee

Members of the 1997 - 98 Faculty Senate Promotion and Tenure Committee were:

John Farrell	Department of Economics
Joe Hendricks	University Honors College
Duane P. Johnson	4 - H Youth Development Education, Chair
Michael Mix	Department of Biology
Tom Savage	Department of Animal Science
Sandra Woods	Department of Civil Engineering

The Faculty Senate Promotion and Tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the annual promotion and tenure review process, Committee members have access to all dossiers under consideration and observe deliberations/discussions of the University Administrative Promotion and Tenure Committee, to ensure an equitable process for all faculty. The Administrative Promotion and Tenure Committee includes the Provost, the Vice Provost for Research and International Programs, the Dean of the Graduate School, the Associate Provost for Academic Affairs, and the Dean and Director of the Extension Service.

When the University Administrative Promotion and Tenure Committee does not reach consensus on their recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean and Department Head or Supervisor meets with the committee. In these instances, one member of the Faculty Senate Promotion and Tenure is present as an observer at the meeting to represent the Faculty Senate. This observer notes adherence to the Promotion and Tenure Guidelines and the nature of the decision - making process, but does not evaluate the merits of the particular case.

In 1997-98, Sixty dossiers were forwarded to the University Administrative Promotion and Tenure Committee. A summary of the disposition of those 60 cases was prepared by Andrew Hashimoto, Associate Provost for Academic Affairs, and is appended to this report.

The Committee submits the following remarks and recommendations, based on our reading of the dossiers and observations during the University Promotion and Tenure process.

1. The Faculty Senate Promotion & Tenure Committee should continue to sponsor campus - wide workshops, that focus on the development of Candidate Position Descriptions, Candidate Statements, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, documentation of scholarship, and other areas relevant to dossier preparation and candidate review.
2. We reiterate the importance of a candidate's Position Description as an important document used as the basis for evaluation. Position Descriptions are unique for each position and must be reviewed and updated for all faculty and must address all areas of faculty responsibility (Teaching, Advising, and Other Assignments; Scholarship and Creative Activity; Service). Each of these areas also need to reflect the percentage of time to be allocated to each.
3. As indicated in the Promotion and Tenure Guidelines, "scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated." Other definitions of scholarship should not be used as a basis in the evaluation of candidates' scholarly work. If there are unique expectations regarding Scholarship they should be articulated in the candidates

Position Description.

4. According to the Promotion and Tenure Guidelines, "tenure is granted for achievement, not for years in rank, but under normal circumstances faculty will be considered for tenure in their sixth year of service in professorial rank." Therefore, we reiterate our concern about the relative success rates of "early" promotion/tenure proposals (those submitted before the "normal" six year period has elapsed) and again suggest that the Office of the Associate Provost for Academic Affairs develop a system to track and evaluate early proposals.
5. We support a policy of returning the incomplete dossiers back to the department unit by college units prior to review at the university level. We also suggest this be done for colleges by University Administration if needed.
6. We continue to have concern over early submission (before sixth year on annual tenure tract) of the dossiers of faculty without a "Prior Service Agreement". These faculty members, in most situations, have not had appropriate time to demonstrate their excellence or distinction in teaching, advising, scholarship and service while at Oregon State University. This puts them at disadvantage in the evaluation process and significantly increases the potential for deferral or denial of promotion and/or tenure at the time they are considered.
7. In the area of scholarship & external funding standards for split appointments we made the following observation. While most position descriptions noted careful division of responsibilities, it is not clear that different scholarship requirements were expected for a faculty member with a .2 FTE devoted to research as opposed to a .6 FTE. It appears that many times external reviewers, deans and department heads did not seem to take this into account systematically. This seems to be an open question that might merit further consideration.
8. The committee continues to be highly supportive of the roles and responsibilities of the Faculty Senate Promotion and Tenure Committee in adherence to the Promotion and Tenure Guidelines. We believe the University Administrative Promotion and Tenure Committee continues to maintain consistently high standards for faculty review.
9. The committee observed fair treatment of faculty with Extended Education responsibilities. At the same time the committee is concerned over what appears to be the lack of total adoption of the University P&T guideline procedures in some colleges. The Provost and Associate Provost have agreed to follow up with Deans on this observation.

Faculty Senate P&T Committee Review of P&T Guideline Implementation

Three cycles are now complete using the revised Promotion & Tenure Guidelines. The Faculty Senate P&T Committee met to assess how well the P&T Guidelines are working in practice and what steps should be taken to address problems that have occurred in implementation. The overall consensus of the committee supported the following observations. The first year of implementation went well and the second and third years continued to improve. However, continued improvement is still needed in development of Position Descriptions, Candidate Statements, quality of External Review letters, Peer Review of Teaching, and evaluation of Advising. We also want to emphasize the importance of requiring excellence and distinction in scholarship for all faculty regardless of role.

Position Descriptions:

Funding source does not dictate the breakout of three areas in position description. All faculty have responsibility in each area (Teaching, Advising, or other Assignments), (Scholarship), and (Service). A faculty member who is on 100% Research funding will do teaching to peers or in some situations will teach classes at graduate or under graduate level. A faculty member with 100% Teaching Assignment still needs to have creative work & scholarship that emerges from teaching. All faculty have expectations of service to department, college, university and/or profession.

Position Descriptions need to be specific enough that they describe the expectations in each of the

three categories yet allow flexibility for the faculty member to be creative and perform their responsibilities. Position Descriptions are unique to each faculty member. The committee feels in some colleges the position descriptions still appear to be the "Cookie Cutter" approach. We emphasize the need for departments and colleges to annually review the position description and adjust them to reflect the changing role of the faculty member and department.

Candidate Statement

There has been significant improvement during the past three years. However, the following need additional attention in the future.

- Candidate statements need to be limited to three pages.
- Candidates must give significant evidence of impact and documentation of the scholarship. In team situations an individual's contribution to the scholarship needs to be clear. With the adoption of acceptability of new forms of scholarship it is very important for the candidate to help committees understand how to evaluate the form of scholarship. The candidates statement is where the candidate has the opportunity to demonstrate their case for promotion or tenure. This needs to be clearly articulated. In to many cases this is not well done.

Peer Evaluation of Teaching

This is the area that probably needs the greatest attention in the future. Our observations and recommendations include the following:

- If there is not a college or department process for regular peer evaluation of teaching for all faculty there should be one for faculty being considered for promotion and/or tenure.
- Peer evaluation of teaching should be over time (not just the year the faculty is being considered). We recommend that this be at least over three years and at least once each year.
- Peer evaluation of teaching should be done by senior tenured faculty.

Advising

Evaluation of advising responsibility is an area that would benefit from additional attention. Advising is an important function for the success of both under graduate and graduate students. It should be recognized, respected and sensitivity to faculty who have this function should be evident. Faculty with advising should have evidence of the following:

- The faculty members role in advising
- Evidence of the process and indicators of the quality of advising
- Evidence of the outcomes of excellence or distinction in advising.

Outside Reviewers

Outside reviewers must have a demonstrated expertise in the discipline and must be of equal or greater rank for which the faculty member is being considered. It is important that they not be co-authors, former graduate students, or close personal friends. The outside reviewer needs to be asked to evaluate the individuals scholarship for consideration of promotion ♦ not make a judgment of promotion or not.

Mentoring and Department and College Committees Updating

The Committee observed that the quality of the dossiers and the ability of faculty to meet the rigorous evaluation for tenure and promotion was greatly improved through the utilization of faculty mentors who are

assigned to new faculty upon hire and for tenured faculty when they are beginning the preparation for consideration of promotion. We encourage all departments and colleges consider this approach to insure success of faculty and increase excellence and distinction among faculty.

We believe that all Department and College P&T Committees need to consider asking the Faculty Senate P&T Committee members to assist in updating and understanding of the P&T Guidelines and expectations.

Campus-wide Orientation & Training

The Faculty Senate Promotion & Tenure Committee sponsored six campus-wide workshops in the 1997-98 year. These focused on the development of Candidate Position Descriptions, Candidate Statements, Understanding the Definition and documentation of Scholarship, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, and other areas relevant to dossier preparation and candidate review. Five workshops will be held during 1998-99.

Department & College Faculty and Committee Training and/or Orientation.

The P&T committee in cooperation with the Provost's office conducted three department or college training and orientation programs during 1997-98. Additional workshops for departments are scheduled in 1998-99.

Post Tenure Review and Assessment of Teaching

The Faculty Senate P&T Committee was actively involved in the process of evaluating and facilitating feed back to the specific committees who are providing leadership for recommendations on Post Tenure Evaluation and Assessment of Teaching.

Executive Summary 1998 Promotion and Tenure Review

The University Promotion and Tenure Committee began its review of 60 dossiers in February and concluded its final meeting on June 9, 1998.

Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III summary analyses are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Twenty (20) individuals were promoted to Professor; 27 to Associate Professor; and 6 to Senior Faculty Assistant. Twenty-one (21) individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

Roy Arnold, Provost and Executive Vice President
Andy Hashimoto, Associate Provost for Academic Affairs
Wilson, "Toby" Hayes, Vice Provost for Research
Lyla Hougum, Dean of Extended Education
Tom Maresh, Dean of the Graduate School
Dick Scanlan, Dean of Research

Faculty Observers to the 1998 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included:

John Farrell, Department of Economics
Joe Hendricks, University Honors College
Duane Johnson, Department of 4-H Youth Development Education
Michael Mix, Department of Biology

Sandra Woods, Department of Civil Engineering
Tom Savage, Department of Animal Science

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	6	0	0	0
Associate Professor	27	3	19	2
Professor	20	2	0	0
No change in rank			2	0
TOTAL	53	5	21	1

SUMMARY OBSERVATIONS:

6 faculty were promoted to the rank of Senior Faculty Research Assistant
0 faculty were promoted to Senior Instructor, 0 with indefinite tenure
0 faculty were promoted to the rank of Assistant Professor
27 faculty were promoted to the rank of Associate Professor; 19 with indefinite tenure
20 faculty were promoted to the rank of Professor; 0 with indefinite tenure
21 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	3	0	0	0
Associate Professor	8	1	9	0
Professor	2	0	0	0
No change in rank			0	0
TOTAL	13	1	9	0

ANALYSIS FOR MINORITIES

Request by rank	Promotion		Tenure	
	Yes	No	Granted	Denied
Senior Faculty Research Assistant	0	0	0	0
Associate Professor	3	0	2	0
Professor	1	0	0	0
No change in rank			0	0
TOTAL	4	0	2	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	0
Business	1	0	1
Engineering	2	0	0
Forestry	1	1	0
Health & Human Perf	1	0	0
Home Economics & Ed	2	1	0
Information Services	1	0	0
Liberal Arts	7	4	1
Pharmacy	1	0	0
Science	2	1	0

TOTAL	21	9	2
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PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Forestry	3	2	0
Oceanic & Atmospheric Sci	1	0	0
Total	6	3	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	4	2	0
Business	1	0	1
Engineering	4	0	1
Forestry	3	1	0
Health & Human Perf	1	0	0
Home Economics & Ed	2	1	0
Information Services	1	0	0
Liberal Arts	6	3	1
Oceanic & Atmospheric Sci	2	0	0
Pharmacy	1	0	0
Science	2	1	0
Total	27	8	3

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	9	0	0
Engineering	1	0	0
Forestry	2	0	0
Health & Human Perf	1	1	0
Home Economics & Ed	1	1	0
Oceanic & Atmospheric Sci	1	0	0
Science	5	1	1
Total	20	3	1

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Promotion & Tenure Committee

Annual Report 1996-1997

Members of the 1996-1997 Faculty Senate Promotion and Tenure Committee were:

Alan Acock	Human Development and Family Sciences
Bess Beatty	History
Joe Hendricks	University Honors College
Duane P. Johnson	4-H Youth Development
Michael Mix	Biology
Sandra Woods	Civil Engineering

The Faculty Senate Promotion and Tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the annual promotion and tenure review process, Committee members have access to all dossiers under consideration and observe deliberations/discussions of the University Administrative Promotion and Tenure Committee, to ensure an equitable process for all faculty. The Administrative Promotion and Tenure Committee includes the Provost, the Vice Provost for Research and International Programs, the Dean of the Graduate School, the Associate Provost for Academic Affairs, and the Dean for Extended Education.

When the University Administrative Promotion and Tenure Committee does not reach consensus on their recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean and Department Head or Supervisor meets with the committee. In these instances, one member of the Faculty Senate Promotion and Tenure is present as an observer at the meeting to represent the Faculty Senate. This observer notes adherence to the Promotion and Tenure Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

In 1996-87, 79 dossiers were forwarded to the University Administrative Promotion and Tenure Committee. A summary of the dispositions of those 79 cases was prepared by Andrew Hashimoto, Associate Provost for Academic Affairs, and is appended to this report.

The Committee submits the following remarks and recommendations, based on our reading of the dossiers and observations during the University Promotion and Tenure process.

1. The Faculty Senate Promotion & Tenure Committee should continue to sponsor campus-wide workshops, that focus on the development of Candidate Position Descriptions, Candidate Statements, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, documentation of scholarship, and other areas relevant to dossier preparation and candidate review.
2. We reiterate the importance of a candidate's Position Description as an important document used as the basis for evaluation. Position Descriptions are unique for each position and must be reviewed and updated for all faculty and must address all areas of faculty responsibility (Teaching, Advising, and Other Assignments; Scholarship and Creative Activity; Service).
3. As indicated in the Promotion and Tenure Guidelines, "scholarship and creative activity are understood to be intellectual work whose significance is validated by peers which is communicated." Other definitions of scholarship should not be used as a basis in the evaluation of candidates' scholarly work. If there are unique expectations regarding Scholarship they should be articulated in the Position Description.

4. According to the Promotion and Tenure Guidelines, "tenure is granted for achievement, not for years in rank, but under normal circumstances faculty will be considered for tenure in their sixth year of service in professorial rank." Therefore, we reiterate our concern about the relative success rates of "early" promotion/tenure proposals (those submitted before the "normal" six year period has elapsed) and again suggest that the Office of the Associate Provost for Academic Affairs develop a system to track and evaluate early proposals.
5. We support a policy of sending incomplete dossiers back to the department unit by college units prior to review at the university level.
6. The committee continues to be highly supportive of the roles and responsibilities of the Faculty Senate Promotion and Tenure Committee in adherence to the Promotion and Tenure Guidelines. We believe that the University Administrative Promotion and Tenure Committee continues to maintain consistently high standards for faculty review.
7. The committee observed fair treatment of faculty with Extended Education responsibilities. At the same time the committee is concerned over what appears to be the lack of total adoption of the new guidelines in some colleges. The Provost and Associate Provost have agreed to follow up with Deans on this observation.

Executive Committee Review of P&T Guideline Implementation

Two cycles are now complete using the revised Promotion & Tenure Guidelines. The Faculty Senate Executive Committee met with Provost Arnold, Associate Provost Hashimoto and Promotion & Tenure Committee Chair Johnson to assess how well the P&T Guidelines are working in practice and what steps should be taken to address problems that have occurred in implementation. The overall consensus of the meeting supported the Committee's observations. The first year of implementation went well and the second year continued to improve. However, continued improvement is still needed in development of Position Descriptions, Candidate Statements, quality of External Review letters, and Peer Review of Teaching.

Campus-wide Orientation & Training

The Faculty Senate Promotion & Tenure Committee sponsored two campus-wide workshops, that focused on the development of Candidate Position Descriptions, Candidate Statements, Understanding the Definition and documentation of Scholarship, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, and other areas relevant to dossier preparation and candidate review. Three of four additional workshops will be held during fall and winter quarters.

**Executive Summary
1997 Promotion and Tenure Review**

The University Promotion and Tenure Committee began its review of 79 dossiers in February and concluded its final meeting on June 30, 1997.

Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III summary analyses are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show total by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Thirty (30) individuals were promoted to Professor; 26 to Associate Professor; 1 to Senior Instructor and 14 to Senior Faculty Research Assistant. Twenty-seven (27) individuals were granted indefinite tenure

The University Promotion and Tenure Committee consisted of the following individuals:

- Roy Arnold, Provost and Executive Vice President
- Andy Hashimoto, Associate Provost for Academic Affairs

- Lyla Houglum, Dean of Extended Education
- George Keller, Vice Provost for Research
- Tom Maresh, Dean of the Graduate School

Faculty Observers to the 1997 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included:

- Alan Acock, Professor and Head, Human Development and Family Sciences
- Bess Beatty, Associate Professor, History
- Joe Hendricks, Director, University Honors College
- Duane Johnson, Extension Specialist, 4-H Youth
- Michael Mix, Professor and Chair, Biology
- Sandra Woods, Associate Professor, Civil Engineering

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	14	0	0	0
Senior Instructor	1	1	0	0
Associate Professor	26	3	21	1
Professor	30	2	3	0
No Change in Rank			3	0
Total	71	6	27	1

SUMMARY OBSERVATIONS:

14 faculty were promoted to the rank of Senior Faculty Research Assistant
 1 faculty were promoted to Senior Instructor, 0 with indefinite tenure
 0 faculty were promoted to the rank of Assistant Professor
 26 faculty were promoted to the rank of Associate Professor; 21 with indefinite tenure
 30 faculty were promoted to the rank of Professor; 3 with indefinite tenure
 27 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	7	0	0	0
Senior Instructor	0	0	0	0
Associate Professor	12	0	9	0
Professor	3	1	0	0
No Change in Rank			2	0
Total	22	1	11	0

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	1	0	0	0
Senior Instructor	0	1	0	0
Associate Professor	4	1	4	0

Professor	5	1	0	0
No Change in Rank			0	0
Total	10	3	4	0

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	2	1
Business	1	0	0
Engineering	2	0	1
Forestry	2	0	1
Home Economics & Ed	6	6	1
Information Services	1	1	0
Liberal Arts	5	1	1
Oceanic & Atmospheric Sci	3	0	0
Pharmacy	1	0	0
Science	3	1	0
Veterinary Medicine	1	0	0
TOTAL	27	11	5

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	7	3	1
Engineering	1	1	0
Forestry	1	1	0
Oceanic & Atmospheric Sci	3	0	0
Research	1	1	0
Veterinary Medicine	1	1	0
TOTAL	14	7	1

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Forestry	1	0	0
TOTAL	1	0	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	2	1
Business	1	0	0
Engineering	1	0	1
Forestry	3	0	1
Health & Human Perf	1	1	0
Home Economics & Ed	4	4	0
Information Services	1	1	0
Liberal Arts	7	2	1

Oceanic & Atmospheric Sci	1	1	0
Pharmacy	1	0	0
Science	3	1	0
Veterinary Medicine	1	0	0
TOTAL	26	12	4

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	14	3	2
Business	1	0	0
Engineering	1	0	1
Forestry	5	0	0
Oceanic & Atmospheric Sci	3	0	0
Science	6	0	2
TOTAL	30	3	5

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Promotion & Tenure Committee

Annual Report 1995-1996

Members of the 1995-96 Faculty Senate Promotion and Tenure Committee were:

Bess Beatty, History
 Leslie Davis Burns, Apparel, Interiors, Housing, & Merchandising (chair)
 Everett Hansen, Botany & Plant Pathology
 Duane P. Johnson, 4-H Youth Development
 Ed Piepmeier, Chemistry
 Sandra Woods, Civil Engineering

The Faculty Senate Promotion and Tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the annual promotion and tenure review process, Committee members have access to all dossiers under consideration and observe deliberations/discussions of the University Administrative Promotion and Tenure Committee, to ensure an equitable process for all faculty. The Administrative Promotion and Tenure Committee includes the Provost and Executive Vice President, the Vice Provost for Research and International Programs, the Dean of the Graduate School, the Associate Provost for Academic Affairs, and the Dean of Extended Education.

When the University Promotion and Tenure Committee does not reach consensus on their recommendation, or when circumstances warrant discussion of a particular case, the candidate's dean or supervisor meets with the committee. In these instances, one member of the Faculty Senate Promotion and Tenure Committee is present as an observer at the meeting to represent the nature of the decision-making process, but does not evaluate the merits of the particular case.

In 1995-96, 108 dossiers were forwarded to the University Administrative Promotion and Tenure Committee. A summary of the disposition of these 108 cases was prepared by Andrew G. Hashimoto, Associate Provost for Academic Affairs, and is appended to this report.

The Committee submits the following remarks and recommendations, based on our reading of dossiers and observations during the University Promotion and Tenure process.

1. The Faculty Senate (and its committees) should work with the Associate Provost for Academic Affairs in sponsoring campus-wide workshops that focus on the development of candidates' Position Descriptions, conducting and documenting peer review of teaching, conducting and documenting review of advising responsibilities, and other areas relevant to dossier preparation and candidate review.
2. We reiterate the importance of a candidate's Position Description as an important document used as the basis for evaluation. Position Descriptions should be developed as part of the hiring process and must address all areas of faculty responsibility (Teaching, Advising, and Other Assignments; Scholarship and Creative Activity; Service). Position Descriptions should be periodically reviewed and updated for all faculty.
3. As indicated in the Promotion and Tenure Guidelines, "scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated." Other definitions of scholarship should not be used as a basis in the evaluation of candidates' scholarly work.
4. According to the Promotion and Tenure Guidelines, "tenure is granted for achievement, not for years in rank, but under normal circumstances faculty will be considered for tenure in their sixth year of service

in professorial rank." Therefore, we reiterate our concern about the relative success rates of "early" promotion/tenure proposals (those submitted before the "normal" six year period has elapsed) and again suggest that the Office of the Associate Provost for Academic Affairs develop a system to track and evaluate early proposals.

5. We support a policy of sending incomplete dossiers back to the unit prior to review at the university level.
6. The Committee continues to be highly supportive of the roles and responsibilities of the Faculty Senate Promotion and Tenure Committee in adherence to the Promotion and Tenure Guidelines. We believe that the University Administrative Promotion and Tenure Committee continues to maintain consistently high standards for faculty review.

Executive Summary 1996 Promotion and Tenure Review

The University Promotion and Tenure Committee began its review of 108 dossiers in February and concluded its final meeting on June 17, 1996.

Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III summary analyses are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Thirty-five (35) individuals were promoted to Professor; 39 to Associate Professor; 3 to Assistant Professor or Senior Instructor; and 14 to Senior Faculty Research Assistant. Forty-three (43) individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Roy Arnold, Provost and Executive Vice President
- Andy Hashimoto, Associate Provost for Academic Affairs
- Lyla Houglum, Dean of Extended Education
- George Keller, Vice Provost for Research and International Programs
- Tom Maresh, Dean of the Graduate School

Faculty Observers to the 1996 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included:

- Bess Beatty, Associate Professor, History
- Leslie Davis Burns, Professor, Apparel, Interiors, Housing and Merchandising
- Everett Hansen, Professor, Botany and Plant Pathology
- Duane Johnson, Extension Specialist, 4-H Youth
- Ed Piepmeier, Professor, Chemistry
- Sandra Woods, Associate Professor, Civil Engineering

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	14	0	0	0
Senior Instructor	3	0	1	0
Assistant Professor	0	0	0	0
Associate Professor	39	8	32	4
Professor	35	4	4	0

No Change in Rank			6	1
Total	91	12	43	5

SUMMARY OBSERVATIONS:

14 faculty were promoted to the rank of Senior Faculty Research Assistant
 3 faculty were promoted to Senior Instructor, 1 with indefinite tenure
 0 faculty were promoted to the rank of Assistant Professor
 39 faculty were promoted to the rank of Associate Professor; 32 with indefinite tenure
 35 faculty were promoted to the rank of Professor; 4 with indefinite tenure
 43 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	6	0	0	0
Senior Instructor	1	0	1	0
Assistant Professor	0	0	0	0
Associate Professor	9	3	10	1
Professor	7	0	1	0
No Change in Rank			1	0
Total	23	3	13	1

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	2	0	0	0
Senior Instructor	0	0	0	0
Assistant Professor	0	0	0	0
Associate Professor	4	1	3	1
Professor	3	1	0	0
No Change in Rank			0	0
Total	9	2	3	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	10	0	0
Business	1	0	0
Engineering	7	1	2
Forestry	2	0	0
Health & Human Perf	4	3	0
Home Economics & Ed	6	4	0
Information Services	2	1	0
Liberal Arts	1	1	0
Oceanic & Atmospheric Sci	4	1	0
Pharmacy	1	1	0
Science	5	1	1

TOTAL	43	13	3
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PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	5	3	0
Forestry	3	2	1
Oceanic & Atmospheric Sci	6	1	1
TOTAL	14	6	2

PROMOTION TO ASSISTANT PROFESSOR/SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Liberal Arts	2	1	0
TOTAL	3	1	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	11	0	0
Business	1	0	0
Engineering	7	2	2
Forestry	4	0	0
Health & Human Perf	3	2	0
Home Economics & Ed	4	2	0
Information Services	1	1	0
Liberal Arts	0	0	0
Oceanic & Atmospheric Sci	2	0	1
Pharmacy	1	1	0
Science	5	1	1
TOTAL	39	9	4

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	12	2	0
Business	1	0	0
Engineering	4	0	2
Forestry	2	0	0
Home Economics & Ed	2	1	0
Liberal Arts	6	2	0
Oceanic & Atmospheric Sci	4	1	0
Science	4	0	1
TOTAL	35	6	3

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Promotion & Tenure Committee

Annual Report 1994-1995

The Faculty Senate Promotion and Tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the annual promotion and tenure review process, Committee members are entitled to read candidates' dossiers and to observe deliberations/discussions of the University Promotion and Tenure Committee which includes the Provost, the Vice Provost for Research and International Programs, the Dean of the Graduate School, and the Associate Provost for Academic Affairs (beginning 1995-1996, the Dean for Extended Education will also serve on this committee.)

When the University Promotion and tenure Committee does not reach consensus on their recommendation, or when circumstances warrant discussion of a particular case, the candidate's Dean meets with the committee (beginning 1995-96, the candidate's Department Chair/Head or Unit Supervisor may also meet if their recommendation conflicts with that of the Dean.) In these instances, one member of the Faculty Senate Promotion and Tenure Committee is present as an observer at the meeting to represent the Faculty Senate. This observer notes adherence to the Promotion and Tenure Guidelines and the nature of the decision-making process, but does not evaluate the merits of the particular case.

Faculty serving on the 1994-95 Faculty Senate Promotion and Tenure Committee were: Leslie Davis Burns - Apparel, Interiors, Housing & Merchandising; Everett Hansen - Botany & Plant Pathology; Joe Hendricks - Honors College; Duane P. Johnson - 4-H Youth Development; Ed Piepmeier - Chemistry; and Bart A. Thielges - College of Forestry (chair).

IN 1994-95, 106 dossiers were forwarded to the University Committee on Promotion and Tenure. A summary of the disposition of these 106 cases was prepared by John M. Dunn, Associate Provost for Academic Affairs, and is appended to this Report.

In addition to serving as observers during University Promotion and Tenure Committee discussions with Dean, the Faculty Senate Promotion and Tenure Committee formed the core of a larger, ad hoc committee appointed by the Provost to review and revise the 1988 Promotion and Tenure Guidelines. The 1994-95 Committee members also served. The ad hoc committee, chaired by Michael Oriard (English), met more than 30 times during the 1994-95 Academic Year to accomplish its mission. Copies of the 1995 Promotion and Tenure Guidelines and Dossier Guidelines are attached.

The Committee submits the following remarks and recommendations, based upon our observations during the Spring Term, 1995 Promotion and Tenure process.

Recommendations

1. The Faculty Senate should, through appropriate media announcements, help the University Community to recognize that new Promotion and Tenure Guidelines are now in effect.
2. Under the new Guidelines, a candidate's Position Description will become an important evaluation document; these Position Descriptions must be reviewed and updated for all faculty, especially those whose assignments have changed significantly, and they must address all areas of faculty responsibility Teaching, Advising, and Other Assignments; Scholarship and Creative Activity; Service).
3. IN developing candidates' promotion and tenure dossiers, Department Chairs/Heads, and Unit Supervisors must address the "evolution" of each Position Description; i.e., summarize and explain

significant changes in assignment, special circumstances, etc. (refer to Dossier Guidelines for 1995-1996, items IV., V. and VII.).

4. We wish to re-emphasize that dossiers should be reviewed independently of one another and, in cases where units have more than one candidate under review, candidates should be evaluated on their individual merits, avoiding comparisons with other candidates.
5. We reiterate our concern about the relative success rates of "early" promotion/tenure proposals (those submitted before the "standard" 6-year period has elapsed) and again suggest that the Office of the Associate Provost for Academic Affairs develop a system to track and evaluate early promotions.

Executive Summary 1995 Promotion and Tenure Review

The University Promotion and Tenure Committee began its review of 108 dossiers in February and concluded its final meeting on June 17, 1996.

Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III summary analyses are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Thirty-five (35) individuals were promoted to Professor; 39 to Associate Professor; 3 to Assistant Professor or Senior Instructor; and 14 to Senior Faculty Research Assistant. Forty-three (43) individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- Roy Arnold, Provost and Executive Vice President
- John Dunn, Associate Provost for Academic Affairs
- George Keller, Vice Provost for Research and International Programs
- Tom Maresh, Dean of the Graduate School

Faculty Observers to the 1995 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included:

- Leslie Davis Burns, Professor, Apparel, Interiors, Housing and Merchandising
- Everett Hansen, Professor, Botany and Plant Pathology
- Joe Hendricks, Professor, Sociology
- Duane Johnson, Extension Specialist, 4-H Youth
- Ed Piepmeier, Professor, Chemistry
- Bart Thielges, Associate Dean, Forestry

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	5	0	0	0
Senior Instructor	2	0	0	0
Assistant Professor	0	0	0	0
Associate Professor	38	7	35	4
Professor	40	2	5	0
No Change in Rank			7	1
Total	8	9	47	5

SUMMARY OBSERVATIONS:

- 5 faculty were promoted to the rank of Senior Faculty Research Assistant
- 2 faculty were promoted to Senior Instructor, 1 with indefinite tenure
- 3 faculty were promoted to the rank of Assistant Professor
- 38 faculty were promoted to the rank of Associate Professor; 32 with indefinite tenure
- 40 faculty were promoted to the rank of Professor; 4 with indefinite tenure
- 47 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	5	0	0	0
Senior Instructor	1	0	0	0
Assistant Professor	2	0	0	0
Associate Professor	7	1	8	0
Professor	5	1	3	0
No Change in Rank			2	0
Total	20	2	13	0

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	0	0	0	0
Senior Instructor	0	0	0	0
Assistant Professor	0	0	0	0
Associate Professor	3	2	4	1
Professor	1	0	0	0
No Change in Rank			0	0
Total	4	2	4	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	15	1	1
Business	1	0	0
Engineering	4	0	2
Extended Education	10	4	0
Health & Human Perf	1	0	0
Home Economics & Ed	2	2	1
Information Services	1	1	0
Liberal Arts	5	4	0
Oceanic & Atmospheric Sci	4	1	0
Pharmacy	1	0	0
Science	3	0	0
TOTAL	47	13	4

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	1	0
Forestry	2	2	0
Oceanic & Atmospheric Sci	2	2	0
TOTAL	5	5	0

PROMOTION TO ASSISTANT PROFESSOR/SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Forestry	1	0	0
Research & International Prog	1	1	0
Science	3	2	0
TOTAL	5	3	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	12	0	1
Business	1	0	0
Engineering	5	0	1
Extended Education	6	3	0
Forestry	1	0	0
Health & Human Perf	1	0	0
Home Economics & Ed	1	1	1
Liberal Arts	4	3	0
Oceanic & Atmospheric Sci	2	0	0
Pharmacy	1	0	0
Science	4	0	0
TOTAL	38	7	3

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	13	1	0
Engineering	6	0	1
Extended Education	6	2	0
Forestry	3	0	0
Liberal Arts	3	1	0
Oceanic & Atmospheric Sci	3	1	0
Science	6	0	0
TOTAL	40	5	1

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Promotion & Tenure Committee

Annual Report 1993-1994

The Faculty Senate Promotion and tenure Committee reviews statements of policy, advises on matters pertaining to promotion and tenure of faculty, and makes recommendations to the Faculty Senate Executive Committee. During the promotion and tenure process, committee members are entitled to read the dossiers and observe deliberations/discussions in the Executive Office.

The University Promotion and Tenure Committee includes the Provost, Vice Provost for Research, Dean of the graduate school, and Associate Provost for Academic Affairs. When the University Promotion and Tenure Committee does not achieve consensus on a positive recommendation or when circumstances warrant additional discussion of a case, a meeting is arranged between this committee and the candidate's Dean. In these instances, one member of the Faculty Senate Promotion and Tenure Committee is present as an observer of the meeting and as a Faculty Senate representative. This observer notes adherence to the Promotion and Tenure Guidelines and the decision-making process, but does not evaluate the merits of the particular case.

Faculty serving on the 1993-94 Faculty Senate Promotion and Tenure Committee were Rebecca Donatelle, (chair) Public Health; Leslie Davis Burns, Apparel, Interiors, Housing and Merchandising; Joe Hendricks, Sociology; Bart Thielges, Forestry; David Williams, Food Science and Technology, and Everett Hansen, Botany and Plant Pathology.

In 1993-94, 82 dossiers were forwarded to the University Committee. An executive summary of the cases, prepared by John M. Dunn, Associate Provost for Academic Affairs is attached.

Of the 82 dossiers, a total of 113 decisions (76 promotion and 37 tenure decisions) were made by the University Promotion and Tenure Committee. During the deliberation process, 50 dossiers went to discussion and were observed by a member of the Faculty Senate Promotion and Tenure discussions.

The following remarks and recommendations are based on observations made during the Spring, 1994 Promotion and Tenure discussions.

1. It is important to remember that verbal participation in the University Promotion and Tenure discussions should be restricted to those stipulation in the University Promotion and Tenure Guidelines. Discussion should be related to documented material presented in the candidate's dossier.
2. Dossiers should be reviewed independently of one another. In cases where departments have more than one candidate being reviewed, it is important to remind reviewers that these should be viewed on their own individual merits without comparisons between individuals.
3. Committee members raised questions about the relative success rates of individuals who have submitted their dossiers early in their tenure years. (before the normal 6 year period has elapsed). It is recommended that a tracking system be utilized to evaluate the outcomes of those seeking early tenure versus those who follow the standard 6 year procedure.
4. Consistent with recommendations made by the 1993 Faculty Senate Committee, this committee recommends that the University develop uniform, published guidelines/methods with valid indicators to evaluate the teaching and advising components of promotion and tenure.
5. The committee continues to be highly supportive of the roles and responsibilities of the Faculty Senate Promotion and Tenure Committee in insuring adherence to University Promotion and Tenure Guidelines. We believe that the University Promotion and Tenure Committee continues to maintain consistently high standards for faculty review, as reflected by observer comments on the promotion and tenure

process.

Executive Summary 1994 Promotion and Tenure Review

The University Promotion and Tenure Committee began its review of 82 dossiers in February and concluded its final meeting on June 2, 1994. Within this report are tables that summarize requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. A total of 113 decisions (76 promotion and 37 tenure decisions) were made by the University Promotion and Tenure Committee. In Tables II and III summary analyses are presented for female and minority candidates. Tables IV and V provide information regarding the agreement among the department, college, and University for tenure and promotion decisions for 1993-94 and earlier years. The attached information has been shared with the Faculty Senate's Promotion and Tenure Committee for review and comment.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Twenty-two (22) individuals were promoted to Professors; 33 to Associate Professor; 3 to Senior Instructor; and 14 to Senior Faculty Research Assistant. Thirty-Five (35) individuals were granted indefinite tenure.

The number of women granted indefinite tenure (n=16) was equal to the previous high of 16 in 1991-92, and in proportion to total the number of individuals awarded tenure, represents a new high.

The University Promotion and Tenure Committee consisted of the following individuals: Roy Arnold, Provost and Executive Vice President; George Keller, Vice Provost for Research and International Programs; Tom Maresh, Dean of the Graduate School; and John Dunn, Associate Provost for Academic Affairs.

Faculty Observers to the 1993-94 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included: Rebecca Donatelle, Chair (Public Health); David Williams (Food Science and Technology); Joe Hendricks (Sociology); Bart Thielges (Forestry); Leslie Burns (AIHM); and Everett Hansen (Botany and Plant Pathology). The 1993 Faculty Executive Committee Liaison was Michael Oriard (English).

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	14	0	0	0
Senior Instructor	3	0	2	0
Assistant Professor	0	0	0	0
Associate Professor	33	3	23	2
Professor	22	1	2	0
No Change in Rank			8	0
Total	72	4	35	2

SUMMARY OBSERVATIONS:

- 14 faculty were promoted to the rank of Senior Faculty Research Assistant
- 3 faculty were promoted to Senior Instructor, 2 with indefinite tenure
- 33 faculty were promoted to the rank of Associate Professor; 23 with indefinite tenure
- 22 faculty were promoted to the rank of Professor; 2 with indefinite tenure
- 8 faculty were granted indefinite tenure; no change in rank requested for 6; 2 granted indefinite tenure, but not promoted
- 47 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

PROMOTION	TENURE
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REQUEST BY RANK	Yes	No	Yes	No
Senior Faculty Research Assistant	5	0	0	0
Senior Instructor	1	0	1	0
Assistant Professor	0	0	0	0
Associate Professor	11	2	11	2
Professor	1	1	0	0
No Change in Rank			4	0
Total	18	3	16	2

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	1	0	0	0
Senior Instructor	0	0	0	0
Assistant Professor	1	0	1	0
Associate Professor	0	0	0	0
Professor	0	0	0	0
No Change in Rank			1	0
Total	2	0	2	0

SUMMARY OF INDEFINITE TENURE RECOMMENDATIONS 1993-94

HC - Head Count of Faculty

YEAR OF ANNUAL REVIEW:	1993-94 HC (%)	1992-93 HC (%)	1991-92 HC (%)	1990-91 HC (%)	
1. Faculty on Annual Tenure	239	257	284	330	
Male	157 (66)	173(67)	192 (68)	234 (71)	
Female	82 (34)	84(33)	92 (32)	96 (29)	
					<u>10-yr Totals</u> <u>1984-94</u>
2. Faculty on Annual Tenure					HC (%)
a. By Department	32	44	45	49	445
Male	17	30	29	40	331
Female	15	14	16	9	114
Minority	1	4	2	7	21
b. By Dean/Director	35 (100)	46 (100)	46 (98)	49 (100)	431(97)
Male (% of 2a)	19 (100)	31 (97)	30 (100)	41 (100)	319 (96)
Female (% of 2a)	16 (100)	15 (100)	16 (100)	8 (89)	112 (98)
Minority (% of 2a)	2 (100)	4 (100)	2 (100)	7 (100)	19 (90)

Granted Indefinite Tenure

a. HC (% of 2b)	35	50 (98)	45 (98)	49 (100)	400 (93)
Male	19 (100)	35 (97)	29 (97)	41 (100)	298 (93)
Female	16 (100)	15 (100)	16 (94)	8 (100)	102 (91)
Minority	2 (100)	4 (100)	2 (100)	19 (100)	19 (100)

**SUMMARY OF APPROVED PROMOTIONS IN RANK
AND CHANGES IN STATUS TO INDEFINITE TENURE - 1993-94**

HC - Head Count of Faculty Promoted or Granted Indefinite Tenure
% = Percent of Departmental Recommendations Approved

YEAR OF ANNUAL REVIEW	1993-94	1992-93	1991-92	1990-91	10-YEAR TOTALS 1984-94
A. To Professor	22 (100)	25 (100)	21 (100)	26 (93)	257 (81)
Male	21 (100)	20 (100)	16 (84)	19 (95)	215 (80)
Female	1 (100)	5 (100)	5 (100)	7 (88)	42 (86)
Minority		1 (100)	0	3 (100)	12 (86)
B. To Associate Professor	33 (77)	43 (96)	45 (94)	43 (90)	363 (87)
Male	22 (96)	28 (97)	25 (92)	34 (94)	267 (87)
Female	11 (100)	15 (94)	20 (100)	9 (95)	96 (88)
Minority		4 (100)	3 (100)	7 (100)	20 (100)
C. To Assistant Professor or Senior Instructor	3	3 (100)	5 (100)	2 (100)	62 (93)
Male	2 (100)	1 (100)	2 (100)	1 (100)	30 (94)
Female	1 (100)	2 (100)	3 (100)	1 (100)	32 (91)
Minority		1 (100)	0	0	3 (100)
D. To Senior Faculty Research Assistant	14 (100)	13 (100)	8 (100)	19 (100)	
Male	9 (100)	6 (100)	5 (100)	14 (100)	
Female	5 (100)	7 (100)	3 (100)	5 (100)	
Minority		1 (100)	1 (100)	1 (100)	
E. Promotion Totals (All Ranks)	72 (99)	84 (98)	78 (94)	91 (93)	695 (85)
Male	54 (98)	55 (98)	48 (91)	69 (96)	518 (84)
Female	18 (100)	29 (97)	31 (100)	22 (85)	177 (88)
Minority		7 (100)		6 (100)	36 (100)
F. To Indefinite Tenure	35 (100)	50 (98)	45 (96)	49 (98)	400 (90)
Male	19 (100)	35 (97)	29 (97)	41 (100)	298 (90)
Female					

	16 (100)	15 (100)	16 (94)	8 (89)	102 (89)
Minority		4 (100)	2 (100)	7 (100)	19 (90)
G. All Promotion and Tenure					
Combined Totals	82 (95)	94 (97)	91 (92)	108 (95)	967 (86)
Male	58 (98)	62 (97)	57 (89)	79 (96)	719 (85)
Female	24 (90)	32 (97)	34 (97)	29 (88)	248 (88)
Minority	3 (100)	7 (100)	4 (100)	11 (100)	44 (94)
Total Reviewed	82 (95)	94 (97)	91 (92)		
Total Approved	78	91	84		

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Promotion & Tenure Committee

Annual Report 1992-1993

The Faculty Senate Promotion and Tenure Committee studies statements of policy advises on matters pertaining to promotion and tenure of faculty, and make recommendations to the Faculty Senate Executive Committee. The Committee is entitled to read the dossiers and observe the annual promotion and tenure process in the Executive office.

Faculty serving on the 1993 committee were Alice Mills Morrow, Chair; Rebecca Donatelle, David Williams, Joe Hendricks, Bart Thielges, and Chris Bayne.

The University Promotion and Tenure Committee includes the Provost for Research, Dan of the Graduate School and Associate Provost for Academic Affairs. When this committee does not achieve consensus on a positive recommendation or when there are circumstances needing more discussion, a meeting is arranged with the University Promotion and Tenure Committee and the candidate's dean. One member of the Faculty Senate Promotion and Tenure Committee is present as an observer at each of these meetings.

IN 1993, 94 dossiers were forwarded to the University Committee. An executive summary of the cases, prepared by John M. Dunn, Associate Provost for Academic Affairs, is attached.

Of the 94 dossiers, 39 went to discussion and were observed by a member of the Faculty Senate Committee. The Faculty Senate Committee member is there as an observer of the process and not to evaluate the merits of the particular case. We thank the administrators for making us feel welcome in the role of observer. The Following recommendation and remarks are based on the observations during Spring 1993.

PROF REVIEWS

In an August 23, 1993 memo to Deans, Directors, Department Heads and Chairs, John Dunn made this observation "There should be a relationship between the administrative recommendations and the annual PROF reviews." We concur and recommend that the annual PROF reviews be a part of the dossier.

UPDATING OF DOSSIER

It is important that a dossier be updated in cases where there have been significant changes between the time the dossier is prepared and the time it is forwarded from the dean's office to the University Promotion and Tenure Committee. We believe it is the Dean's responsibility to provide the opportunity for the candidate to review the document before it is forwarded to the University Committee. If this update is material to earlier recommendations, the earlier steps should be redone with the updated dossier.

ATTENDANCE AT DISCUSSIONS

The dean of the college is included in the cases going to discussion at the University level. When there is not agreement between lower administrative levels (the dean and the department head) we believe in the interest of fairness, both administrators should have and opportunity to independently discuss the case with the University committee.

EVALUATION OF TEACHING AND ADVISING

We recommend that by the end of this academic year the University develop uniform methods with valid indicators to evaluate both teaching and advising.

EXECUTIVE SUMMARY 1992-93 PROMOTION AND TENURE REVIEW

The University Promotion and Tenure Committee began its review of 94 dossiers in February and concluded

its final meeting on June 2, 1993. Indicated in the following tables is a summary of the requests received and the actions taken. The information presented in Table I analyzes the data for the group as a whole. A total of 137 decisions (86 promotion and 51 tenure decisions) were made by the University Promotion and Tenure Committee. In Tables II and III summary analyses are presented for female and minority candidates. Table IV and V provide information regarding the agreement among the department, college, and University for tenure and promotion decisions for 1992-93 and earlier years. The attached information has been shared with the Faculty Senate's Promotion and Tenure Committee for review and comment.

The level of agreement among department, college and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Dossiers and the accompanying recommendations forwarded by the deans were approved by the Provost at a rate of 98%. Twenty-five (25) individuals were promoted to Professor; 43 to Associate Professor; 2 to Assistant Professor; 1 to Senior Instructor; and 13 to Senior Faculty Research Assistant. Fifty (50) individuals were granted indefinite tenure.

The percentage of dossiers submitted for females (34%) as contrasted with males (66%) was the second highest noted in the previous 10 years. The number of women granted indefinite tenure (n=15) was one less than the previous high of 16 in 1991-92. The number of dossiers received from faculty of color (n=7) was the second highest noted in the last decade, but far less than the high of 11 reviewed in 1990-91.

The University Promotion and Tenure Committee consisted of the following individuals: Roy Arnold, Provost and Executive Vice President; George Keller, Vice Provost for Research and International Programs; Tom Maresh, Dean of the Graduate School; and John Dunn, Associate Provost for Academic Affairs.

Faculty Observers to the 1992-93 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee. Observers included: Alice Mills Morrow, Chair (Home Economics and Education); Chris Bayne (Science); Rebecca Donatelle (Health and Human Performance); Joe Hendricks (Liberal Arts); Bart Thielges (Forestry); and David Williams (Agricultural Sciences).

ANALYSIS BY RANK AND TENURE

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	13	-	-	-
Senior Instructor	13	-	-	-
Assistant Professor	2	-	-	-
Associate Professor	43	2	40	1
Professor	25	-	2	-
No Change in Rank			8	-
Total	84	2	50	1

SUMMARY OBSERVATIONS:

- 13 faculty were promoted to the rank of Senior Faculty Research Assistant
- 43 faculty were promoted to the rank of Associate Professor; 40 with indefinite tenure
- 25 faculty were promoted to the rank of Professor; 2 with indefinite tenure
- 50 faculty were granted indefinite tenure; no change in rank requested
- 50 faculty were granted indefinite tenure

ANALYSIS FOR WOMEN

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	7	-	-	-
Senior Instructor	-	-	-	-
Assistant Professor	2	-	-	-
Associate Professor	15	1	13	-
Professor	5	-	-	-

No Change in Rank			2	-
Total	29	1	15	0

ANALYSIS FOR MINORITIES

REQUEST BY RANK	PROMOTION		TENURE	
	Yes	No	Yes	No
Senior Faculty Research Assistant	1	-	-	-
Senior Instructor	-	-	-	-
Assistant Professor	1	-	-	-
Associate Professor	3	-	3	-
Professor	1	-	-	-
No Change in Rank			1	-
Total	6	0	4	0

INDEFINITE TENURE

T =Total Males and Females F =Females M =Minorities

	Recommended by Dept			Recommended by Dean			APPROVED		
	T	F	M	T	F	M	T	F	M
Liberal Arts	6	3	1	6	3	1	6	3	1
Science	9	3	1	9	3	1	9	3	1
Agriculture Sciences	9	-	-	9	-	-	9	-	-
Extension	11	4	-	12	4	-	12	4	-
Business	1	1	-	1	1	-	1	1	-
Engineering	5	-	2	5	-	2	5	-	2
Forestry	2	-	-	2	-	-	2	-	-
Health & Human Performance	1	-	-	1	-	-	1	-	-
Home Economics & Education	2	2	-	3	3	-	3	3	-
Oceanography				1	-	-	1	-	-
Pharmacy				1	1	-	1	1	-
Veterinary Medicine				1	-	-	1	-	-
TOTALS	46	13	4	51	15	4	50	15	4

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

T =Total Males and Females F =Females M =Minorities

	Recommended by Dept			Recommended by Dean			APPROVED		
	T	F	M	T	F	M	T	F	M
Science	1	1	-	1	1	-	1	1	-
Agriculture Sciences	4	3	1	4	3	1	4	3	1
Forestry	4	2	-	4	2	-	4	2	-
Oceanography				4	1	-	4	1	-
TOTALS	9	6	1	13	7	1	13	7	1

PROMOTION TO ASSISTANT PROFESSOR/SENIOR INSTRUCTOR

T =Total Males and Females F =Females M =Minorities

	Recommended by Dept			Recommended by Dean			APPROVED		
	T	F	M	T	F	M	T	F	M
Agriculture Sciences	1	-	-	1	-	-	1	-	-

Academic Affairs	2	2	1	-	-	-	2	2	1
TOTALS	3	2	1	1	-	-	3	2	1

ASSISTANT TO ASSOCIATE PROFESSOR

T =Total Males and Females

F =Females

M =Minorities

	Recommended by Dept			Recommended by Dean			APPROVED		
	T	F	M	T	F	M	T	F	M
Liberal Arts	5	2	1	5	2	1	5	2	1
Science	9	4	1	9	4	1	9	4	1
Agriculture Sciences	7	-	-	7	-	-	7	-	-
Extension	10	4	-	9	4	-	9	4	-
Business	1	1	-	1	1	-	1	1	-
Engineering	4	-	2	4	-	2	4	-	2
Forestry	2	-	-	2	-	-	2	-	-
Home Economics & Education	2	2	-	2	2	-	2	2	-
Oceanography				1	-	-	1	-	-
Pharmacy				1	1	-	1	1	-
Veterinary Medicine				1	-	-	1	-	-
Academic Affairs	1	1	-	-	-	-	-	-	-
Student Affairs				1	1	-	1	1	-
TOTALS	41	14	4	43	15	4	43	15	4

ASSOCIATE TO PROFESSOR

T =Total Males and Females

F =Females

M =Minorities

	Recommended by Dept			Recommended by Dean			APPROVED		
	T	F	M	T	F	M	T	F	M
Liberal Arts	2	1	-	2	1	-	2	1	-
Science	3	1	-	3	1	-	3	1	-
Agriculture Sciences	6	-	1	6	-	1	6	-	1
Extension	2	1	-	2	1	-	2	1	-
Engineering	5	-	-	5	-	-	5	-	-
Forestry	4	-	-	4	-	-	4	-	-
Home Economics & Education	2	2	-	2	2	-	2	2	-
Oceanography				1	-	-	1	-	-
TOTALS	24	5	1	25	5	1	25	5	1

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Promotion & Tenure Committee

Annual Report 1991-1992

The Faculty Senate Promotion and tenure Committee is responsible for reviewing policy and observing activities related to the promotion and tenure process. The major role of this committee is to provide a faculty observer to be present for meetings of the University Promotion and Tenure Committee.

The University Promotion and Tenure Committee includes the Provost, the Vice President for Research, Graduate Studies, & International Programs, the Associate Vice President for Academic Affairs, and the Dean of the Graduate School. When the University Promotion and Tenure Committee does not achieve a consensus on an individual dossier and/or there are some unusual circumstances they wish explained, a meeting is arranged with the candidate's Dean. A Faculty Senate Promotion and Tenure Committee member is present at these meetings.

The following remarks and recommendations are based on observations made in the spring, 1992 meetings.

1. A problem encountered repeatedly over the years has been how to evaluate individuals on faculty appointments who have major responsibility in non-traditional teaching areas. These people are often in extension, the library, and counseling. A long run suggestion is to adopt career advancement criteria that are more relevant to the balance of responsibilities in these areas than those used for individuals in resident instruction. This is a complex issue and it requires careful thought and consideration.
2. Another problem observed was the failure of some department heads or chairs to give faculty members timely feedback on their progress. Further, chairs should monitor young faculty members' participation in service activities to be sure they are not overburdened in a way that will detract from their promotion and tenure evaluation.
3. Administrators seemed concerned with the lack of consistency between colleges or even departments in presentation and evaluation of teaching performance.
4. There still appears to be inconsistency regarding the presence (or absence) of time "windows" for promotion and tenure. Confusion could be mitigated by a clearer definition of what administrators consider to be normal ranges for time in rank. Summary statistics on the 1991-92 promotion and tenure decisions are available in John Dunn's office.

We recommend that the Faculty Senate Promotion and Tenure Committee continues in its role as observer to the promotion and tenure process. We hope that our comments and suggestions will be considered in next year's procedures.

Respectfully submitted,

1991-92 Faculty Senate Promotion and Tenure Committee

B. Starr McMullen, Chair

Rebecca Donatelle

Roger Fletcher

Flo Leibowitz

Alice Mills Morrow

Robert Sproull

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Promotion & Tenure Committee

Annual Report 1990-1991

The Faculty Senate Promotion and Tenure Committee is responsible for reviewing policy and observing the activities related to the promotion and tenure process.

The promotion and tenure process is conducted under the direction of Provost Spanier as described in the 1986-87 annual report of the faculty senate committee, and following the procedures described in the most recent guidelines. Each dossier is reviewed by (1) a committee and the chairperson of the department sponsoring the candidate, (2) by the Dean of the College, and, if applicable, (3) by the Director of an administrative unit within which the candidate may serve. The dossiers are forwarded to the Associate Vice President for Academic Affairs, who reviews them for completeness and presents them to the other members of the University Promotion & Tenure committee. The university committee consists of the Provost, the Vice President for Research, the Associate Vice President for Faculty Affairs, and the Dean of the Graduate School. Each member reviews the dossiers and makes a recommendation to the Provost, with whom the final decision rests. In those instances where some question exists about the qualifications of a candidate, the university committee meets as a group, and confers with the academic Dean (and Director) of the administrative unit sponsoring the Senate Promotion and Tenure Committee attend. The procedures followed this year and in the past three years represent a considerable departure from those followed by President MacVicar, where every dossier was discussed by the committee as a whole.

108 dossiers were reviewed by the University Promotion and Tenure Committee. A total of 155 decisions (102 promotion decisions and 53 tenure decisions) were made by the committee. 91 promotions were approved (94% of total submitted) and 40 persons were tenured. Seven women were promoted to the rank of professor, although the percentage of favorable decisions for women was less than that for men. The number of minority faculty promoted and tenured was a significant concern over previous years with a favorable review in all cases submitted (11 individuals promoted, 7 with tenure) according to Associate Vice President John Dunn.

The Senate Committee has questions about these items:

Clarification of outside reviewers' roles in evaluation of candidates. Who is an appropriate reviewer? Should the reviewers be described in the dossier so the committee will know why these people were chosen? Emphasis should be made to reviewers that letters are to be evaluations rather than advocacy for the candidate.

If additional references are requested by the University Committee, these should be in writing to be added to the dossiers so candidates may see them, rather than oral references given by telephone.

There is a continuing problem with position definitions and how to fit everyone into the academic model (library, extension, etc.). This is especially difficult in determining "scholarly achievement."

Do "prior service agreements" made with some candidates affect the promotion negatively? Those having such agreements seem to be looked at differently.

The University Promotion and Tenure Committee felt that some committee assignments for candidates were inappropriate. Does this reflect on the candidate or on his/her department head? Is there any feedback to the candidate or supervisor about this?

The committee suggests that the University have a promotion and tenure meeting for all faculty, not just new ones. Department heads and deans might also attend this meeting. Candidates need to be cautioned to categorize their work appropriately, and to avoid "fluff".

Does this committee need to deal with a problem like a department head not helping in preparing a dossier or in soliciting letters that are not helpful?

The Senate Promotion and Tenure Committee was asked during 1990-91 to look closely at the role of teaching in the promotion and tenure process. The committee feels that the guidelines do give serious importance to teaching, but is concerned that teaching may not always receive sufficient weight in practice.

Faculty Senate Promotion and Tenure Committee:
Mary W. Kelsey, Chairman
Starr McMullen, Chairman pro-tem
Darrah Thomas
Alice Mills Morrow
Roger Fletcher
Flo Leibowitz

TABLE I
PROMOTION AND TENURE
ANALYSIS BY RANK AND TENURE
1990-1991

Request by Rank	Promotion		Tenure	
	Yes	No	Yes	No
Senior Res. Asst.	19	-	-	-
Research Assoc.	1	-	-	-
Senior Instr.	2	-	1	-
Assistant Prof.	-	-	3	-
Associate Prof.	43	9	38	4
Professor	26	2	1	-
No Change	NA	NA	6	-
Total	91	11	49	4

SUMMARY OBSERVATIONS

- 19 faculty were promoted to the rank of Senior Research Assistant
- 1 faculty member was promoted to the rank of Research Associate
- 2 faculty members were promoted to the rank of Senior Instructor; 1 with indefinite tenure
- 43 faculty were promoted to the rank of Associate Professor; 38 with indefinite tenure; 4 were previously tenured; 1 was promoted without tenure
- 3 faculty were granted indefinite tenure, but not granted promotion to Associate Professor
- 26 faculty were promoted to the rank of Professor; 1 with indefinite tenure
- 19 faculty were granted indefinite tenure; no change in rank requested
- 49 faculty were granted indefinite tenure

TABLE II
PROMOTION AND TENURE ANALYSIS
ANALYSIS FOR WOMEN
1990-1991

Request by Rank	Promotion		Tenure	
	Yes	No	Yes	No
Senior Res. Asst.	5	-	-	-
Senior Instr.	1	-	-	-
Assistant Prof.	-	-	-	-
Associate Prof.	9	5	7	3
Professor	7	1	-	-
No Change	-	-	1	-
Total	22	6	8	3

TABLE III
PROMOTION AND TENURE ANALYSIS
ANALYSIS FOR MINORITIES
1990-1991

Request by Rank	Promotion		Tenure	
	Yes	No	Yes	No
Senior Res. Asst.	1	-	-	-
Senior Instr.	-	-	-	-
Assistant Prof.	-	-	-	-
Associate Prof.	7	-	7	-
Professor	3	-	-	-
No Change	-	-	-	-
Total	11	0	7	0

TABLE IV
SUMMARY OF TENURE RECOMMENDATIONS - 1990-91
HC - Head count of faculty in this category
Totals in each category are underlined

Year of Annual Review:	1990-91	1989-90	18-year Total 1973-91	
	HC (%)	HC (%)	HC	(%)
1. <u>Faculty on Annual Tenure</u>	384	335	5284	
Male	279(73)	238(71)	4011	(75.9)
Female	105(27)	97 (29)	1273	(24.0)
Minority	27 (7)	20 (6)	266	(5.0)
2. <u>Recommended for Indefinite Tenure</u>				
a. <u>by the department</u>	49	55	1007	
Male	40	43	811	
Female	9	12	196	
Minority	7	1	49	
b. <u>by the dean/director</u>	<u>49</u> (100)	<u>60</u> (100)	<u>838</u>	(83.1)
Male (% of 2a)	41 (100)	47 (100)	666	(82.1)
Female (% of 2a)	8 (89)	13 (100)	172	(87.8)
Minority (% of 2a)	7 (100)	1 (100)	42	(85.7)
3. <u>Granted Indefinite Tenure</u>				
a. <u>HC (% of 2b)</u>	<u>49</u> (100)	<u>59</u> (100)	<u>767</u>	(91.5)
Male	41 (100)	47 (100)	615	(92.3)
Female	8 (100)	12 (93)	152	(88.4)
Minority	7 (100)	1 (100)	38	(90.0)

TABLE V
SUMMARY OF APPROVED PROMOTIONS IN RANK
AND CHANGES IN STATUS TO INDEFINITE TENURE
1990-91

**HC - Head Count of faculty promoted or granted indefinite tenure
(%) - Percent of departmental recommendations approved
Totals in each category are underlined**

Year of Annual Review:	1990-91	1989-90	18-year Total 1973-91
	HC (%)	HC (%)	HC (%)
A. <u>To Professor</u>	<u>26</u> (93)	<u>30</u> (87)	<u>499</u> (58)
Male	19 (95)	25 (86)	442 (59)
Female	7 (88)	5 (100)	57 (61)
Minority	3 (100)	2 (100)	19 (76)
B. <u>To Associate Professor</u>	<u>43</u> (90)	<u>54</u> (96)	<u>685</u> (73)
Male	34 (94)	40 (95)	559 (72)
Female	9 (95)	14 (100)	126 (77)
Minority	7 (100)	2 (100)	34 (76)
C. <u>To Assistant Professor or Senior Instructor</u>	<u>2</u> (100)	<u>6</u> (100)	<u>161</u> (86)
Male	1 (100)	5 (83)	89 (81)
Female	1 (100)	1 (100)	72 (91)
Minority	0	0	11 (100)
D. <u>To Senior Research Asst.</u>	<u>19</u> (100)	<u>12</u> (100)	<u>129</u>
Male	14 (100)	9 (100)	88
Female	5 (100)	3 (100)	41
Minority	1	1	5
E. <u>Promotion Totals (All Ranks)</u>	<u>91</u> (93)	<u>102</u> (94)	<u>1378</u> (68)
Male	69 (96)	79 (92)	1116 (67)
Female	22 (85)	23 (100)	262 (75)
Minority	6 (100)	5 (100)	66 (80)
F. <u>Indefinite Tenure</u>	<u>49</u> (98)	<u>59</u> (100)	<u>767</u> (76)
Male	41 (100)	47 (100)	615 (75)
Female	8 (89)	12 (100)	152 (77)
Minority	7 (100)	1 (100)	38 (78)
G. <u>All Promotion and Tenure Combined Totals</u>	<u>108</u> (95)	<u>111</u> (95)	<u>2063</u> (70)
Male	79 (96)	87 (94)	1662 (67)
Female	29 (88)	24 (100)	401 (75)
Minority	11 (100)	5 (100)	96 (77)
Total Reviewed	<u>108</u>		
Total Approved	<u>102</u> (94% Approval Rate)		

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Promotion & Tenure Committee

Annual Report 1989-1990

The Faculty Senate Promotion and Tenure Committee is responsible for reviewing policy and observing the activities of the promotion and tenure process. The activities of the administration concerning promotion and the compilation of statistics related to the process are not completed until the end of the year and after the last meeting of the Faculty Senate. The annual report of the Faculty Senate Promotion & Tenure Committee, therefore, is submitted at the beginning of the next academic year.

PROMOTION AND TENURE PROCESS

The promotion and tenure process is conducted under the direction of Provost Spanier as described in the 1986-87 annual report of the Faculty Senate Promotion & Tenure Committee, and following the procedures described in the most recent guidelines. Each dossier is reviewed by (1) a committee and the chairperson of the department sponsoring the candidate, (2) by the Dean of the College, and, if applicable, (3) by the director of an administrative unit within which the candidate may serve. The dossiers are forwarded to the Associate Vice President for Academic Affairs, who reviews them for completeness and presents them to the other members of the University Promotion & Tenure Committee. The university committee consists of the Provost, the Vice President for Research, the Associate Vice President for Academic Affairs, and the Dean of the Graduate School. Each member reviews the dossiers and makes a recommendation to the Provost, with whom the final decision rests. In those instances where some question exists about the qualifications of a candidate, the university committee meets as a group, and may confer with the academic Dean (and Director) of the administrative unit sponsoring the candidate. It is these meetings that members of the Faculty Senate Promotion and tenure committee attend. The procedures followed this year and in the past two years represents a considerable departure from those followed by President MacVicar, where every dossier was discussed by the committee as a whole.

The qualifications for promotion and tenure are stated in the guidelines and include scholarship and creative work, service to the university and to the public, and teaching and advising. In the past two years, considerable emphasis has been placed on teaching and advising. Evidence for this emphasis varies although faculty committee participants, without exception, have observed that emphasis. Emphasized in the review are teaching evaluations, evaluations by former students, and evaluations by faculty after attendance at lectures and student advising.

In 1989-90, the university committee reviewed 115 dossiers, of which 108 (94%) were approved. This number includes 102 individuals promoted and 59 tenured, and is a significant increase over the number approved in the previous two academic years. The number of individuals discussed by the university committee as a group, because of some question of qualification, was very small. The low number would indicate the thoroughness of the reviews conducted before the final submission of dossiers. The results of this year's promotion and tenure decisions as well as those from previous years (taken from the report of 1987-88), are presented in the appended tables.

The members of the Faculty Senate Promotion & Tenure Committee attending the discussions of the questionable candidates made few comments on the review process. Some differences of opinion seem to exist regarding the criteria by which members of non-academic units, such as the library and the Extension service, are evaluated. Although a consensus in the decision of the university committee was reached this year, is is an area I which problems may arise again in the future. Other problems associated with the evaluation of administrators or those on special assignments, which have been experienced in the past, did not come up.

THE WAIVER OF CONFIDENTIALITY

The Faculty Senate Promotion & Tenure Committee was asked by the Faculty Senate Executive Committee to comment on a letter submitted by Professor C. Smith in February, regarding the waiver of confidentiality requested of candidates by the Administration. The Faculty Senate Promotion & Tenure Committee could find no reason to reverse previous decisions by the Faculty Senate. The Senate subsequently reaffirmed its position, notably that use of the waiver should be discontinued. On July 25, 1990, Provost Spanier sent a memorandum to Faculty Senate President Martin reaffirming the Administration's position and stating that current policy will remain in effect.

This matter has come before the Senate at least three times over the past several years. The question was raised whether or not requesting the waiver was legal under Oregon Statutes. The administration requested an opinion from the Attorney General but apparently a consensus could not be reached. The Chancellor withdrew the request and asked that the matter be settled locally.

On January 9, 1990, a U.S. Supreme Court handed down a decision in the case of the University of Pennsylvania vs Equal Employment Opportunity Commission (EEOC) regarding the alleged discrimination of an associate professor by the university in a tenure decision, on the basis of race, sex, and national origin. The Court ruled that "(1) the EEOC is entitled, under 42 USCS 2000e-8a, to have access to relevant evidence, and (2) if an employer refuses to provide such evidence voluntarily, the EEOC is authorized, under 2000e-9 to issue a subpoena and to seek an order enforcing the subpoena" (taken from the summary of the Supreme Court decision). An article published by the respected newspaper The Scientist indicates that this decision is being taken very seriously by major universities. Although the court decision was fairly explicit with respect to discrimination on the basis of race, sex, and national origin, the newspaper article indicates that confidentiality of peer review may be history, and those asked to provide peer reviews will consider that what they provide may not be held confidential in the event of a legal contest. In other words, those signing the waiver will know that it means nothing if the candidate petitions the EEOC.

In view of this court decision, the Faculty Senate may want to ask again for clarification of the Administration's position.

THE FACULTY SENATE PROMOTION AND TENURE COMMITTEE

The way in which the university committee operates has made the participation by members of the faculty senate committee in the deliberations of the university committee very difficult. As stated above, the number of files examined by the university committee is small and this committee meets on an irregular basis, often with very little prior notice. The Faculty Senate Promotion & Tenure Committee tries to have two representatives at each meeting. These individuals examine the dossier of the candidates being discussed. The Faculty Senate Promotion & Tenure Committee does not examine the dossiers of those candidates that were successful. This makes evaluation by the faculty committee members of the fairness of the review process difficult.

According to Provost Spanier's wishes, the faculty senate representatives cannot be from the same administrative unit as the candidate under discussion. The Faculty Senate Promotion & Tenure Committee consists of only six members and often they are drawn from only two or three administrative units. This year, for example, two members were from science, one from CLA, one from home economics, one from agriculture, and one from extension. Thus, when candidates from the College of Science were discussed, only four members were eligible to attend. The activities of members of the extension service are such that they are often away from campus or heavily committed to various tasks. This year the representative from extension was unable to attend any of the meetings of the committee or any of the deliberations of the university committee. The Faculty Senate committee was really only five strong.

The number of university committee meetings, plus the irregularity and short notice, made it very difficult to have representatives of the Faculty Senate Promotion & Tenure Committee at the meetings; on several occasions it was possible to have only one representative attend.

Considering the way the process works under the new guidelines and the small number of deliberations expected to be held each year, the faculty senate committee discussed whether or not a recommendation should be made to the Executive Committee that the observance of P&T deliberations by the Faculty Senate Promotion & Tenure Committee be discontinued. The process is being competently done and, at the moment, the Faculty Senate committee may not be necessary. However, we do feel that the committee and its observations should be continued to maintain the principle of its right to observe the process against the possible future day when we have less confidence in the administration.

At present, the committee hears only the deliberations over the files that have been questioned for one

reason or another. The committee felt that it could be more effective if it were informed as to what final decision was taken in each questionable case.

The faculty Senate Promotion & Tenure Committee strongly recommends to the Executive Committee of the Faculty Senate that the problems referred to here be thoroughly discussed and resolved. This recommendation is made to ensure that the Promotion and Tenure Committee of the Faculty Senate continues to function efficiently.

Victor J. Brookes - Entomology
 Frederick W. Obermiller - Range Resources
 T. Darrah Thomas - Chemistry
 Starr McMullen - Economics
 Mary Kelsey - Foods/Nutrition
 Roger Fletcher - Extension

TABLE I

SUMMARY OF TENURE RECOMMENDATIONS - 1989-90

HC - Head count of faculty in this category

Totals in each category are underlined

Year of Annual Review:	1989-90	1988-89	18-year Total 1973-90
	HC (%)	HC (%)	HC (%)
1. <u>Faculty on Annual Tenure</u>	335	323	5284
Male	283(71)	237(73)	4011 (75.9)
Female	97 (29)	86 (27)	1273 (24.0)
Minority	20 (6)	15 (5)	266 (5.0)
2. <u>Recommended for Indefinite Tenure</u>			
a. <u>by the department</u>	55	39	958
Male	43	27	772
Female	12	12	186
Minority	1	1	42
b. <u>by the dean/director</u>	<u>60</u> (100)	<u>39</u> (92)	<u>789</u> (81.9)
Male (% of 2a)	47 (100)	27 (88)	625 (81.0)
Female (% of 2a)	13 (100)	12 (100)	164 (88.2)
Minority (% of 2a)	1 (100)	1 (100)	35 (83.3)
3. <u>Granted Indefinite Tenure</u>			
a. <u>HC (% of 2b)</u>	<u>59</u> (100)	<u>39</u> (96)	<u>718</u> (91.0)
Male	47 (100)	27 (93)	574 (92.0)
Female	12 (93)	12 (100)	144 (87.3)
Minority	1 (100)	1 (100)	31 (88.6)

TABLE V

SUMMARY OF APPROVED PROMOTIONS IN RANK

AND CHANGES IN STATUS TO INDEFINITE TENURE**1989-90****HC - Head Count of faculty promoted or granted indefinite tenure****(%) - Percent of departmental recommendations approved****Totals in each category are underlined**

Year of Annual Review:	1990-91	1989-90	18-year Total 1973-91
	HC (%)	HC (%)	HC (%)
A. <u>To Professor</u>	<u>30</u> (87)	<u>26</u> (86)	<u>444</u> (56)
Male	25 (86)	23 (82)	398 (56)
Female	5 (100)	3 (100)	44 (55)
Minority	2 (100)	1	14 (70)
B. <u>To Associate Professor</u>	<u>54</u> (96)	<u>29</u> (84)	<u>588</u> (70)
Male	40 (95)	23 (72)	485 (69)
Female	14 (100)	6 (100)	103 (73)
Minority	2 (100)	1 (100)	25 (69)
C. <u>To Assistant Professor or Senior Instructor</u>	<u>6</u> (100)	<u>2</u> (100)	<u>153</u> (85)
Male	5 (83)	5	83 (80)
Female	1 (100)	4 (100)	70 (91)
Minority	0	0	11 (100)
D. <u>To Senior Research Asst.</u>	<u>12</u> (100)	<u>10</u> (100)	<u>98</u>
Male	9 (100)	9 (100)	65
Female	3 (100)	1 (100)	33
Minority	1	0	3
E. <u>Promotion Totals (All Ranks)</u>	<u>102</u> (94)	<u>64</u> (86)	<u>1185</u> (65)
Male	79 (92)	51 (77)	968 (64)
Female	23 (100)	13 (100)	217 (72)
Minority	5 (100)	2 (100)	50 (75)
F. <u>Indefinite Tenure</u>	<u>59</u> (100)	<u>39</u> (88)	<u>659</u> (73)
Male	47 (100)	27 (82)	528 (72)
Female	12 (100)	12 (100)	131 (75)
Minority	1 (100)	1 (100)	30 (73)
G. <u>All Promotion and Tenure Combined Totals</u>	<u>111</u> (95)	<u>113</u> (87)	<u>1844</u> (68)
Male	87 (94)	87 (79)	1496 (66)
Female	24 (100)	26 (100)	348 (73)
Minority	5 (100)	3 (100)	80 (74)
Total Reviewed	<u>115</u>		
Total Approved	<u>108</u> (94% Approval Rate)		

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Promotion & Tenure Committee

Annual Report 1987-1988

Robert R. Becker, Biochemistry and Biophysics
 Victor Brooks, Entomology
 Robert L. Krahmer, Forest Products
 Dale D. McFarlane, Business Administration, (Chair)
 Frederick W. Obermiller, Agriculture and Resource Economics
 Dale D. Simmons, Psychology

The Faculty Senate Promotion and Tenure Committee (FSP&TC) has responsibility for reviewing policy and observing activities related to the promotion and tenure process. Deliberations on individual candidates for promotion and tenure usually are not completed until after the June meeting of the Senate, consequently the annual report of the Committee is presented at the first meeting of the subsequent academic year.

The FSP&TC had a particularly active year during 1987-88. In addition to its usual activities the Committee was responsible for the review and evaluation of a major revision and updating of promotion and tenure policy as described in the "Promotion and Tenure Guidelines" developed by the Office of Academic Affairs.

1. PROMOTION AND TENURE GUIDELINES

Partially at the suggestion of the FSP&TC, the Provost and Associate Vice President of Academic Affairs began developing the "Promotion and Tenure Guidelines" document during the summer of 1987. Early drafts of the document were reviewed by vice presidents, deans and individual members of the FSP&TC and their comments were forwarded to Provost Spanier. After several revisions, the FSP&TC asked the Faculty Senate Executive Committee to schedule a Faculty Forum for the purpose of allowing individual faculty to express their views on the contents of the Guidelines. The Forum was held on October 13, 1987 and attended by approximately 150 faculty members.

After listening to the concerns of faculty at the Forum and in subsequent discussions of issues discussed at the Forum, the members of the FSP&TC were placed before the Senate at the November 5 meeting. Discussion at the meeting concluded with a motion to return the recommendations to the FSP&TC for further review and consideration. The elimination of the section allowing the waiver of the right of faculty to view all records in the dossier including reviewers evaluations (ORS 351.065) was the primary focus of attention. In the subsequent review, the members of the FSP&TC reaffirmed their position on the waiver issue. The reasons for taking this stand were presented to the Senate on December 3, 1987 in the form of a position paper. In summary, the members of the Committee found no reliable and effective means for protecting the individual rights of faculty under the waiver provision.

The recommendations of the FSP&TC, including the striking of the waiver of confidentiality provision, were placed before the Senate again on January 14, 1988. This time the recommendations were passed with only minor modification.

In a letter to the Faculty dated August 1, 1988, President John Byrne indicated that the revised Guidelines as approved by the Faculty senate "with some minor revisions" will be in effect for the 1988-89 academic year. The President, at the request of the Faculty Senate, has asked for the formal opinion of the Oregon Attorney General on the use of voluntary waivers of confidentiality but to date no opinion has been rendered. The President stated in the letter to the Faculty that the Office of Academic Affairs will continue to make the "Voluntary Waiver of Confidentiality" forms available to faculty.

2. PROMOTION AND TENURE PROCESS

The promotion and tenure process under Provost Spanier was described in the 1986-87 annual report of the FSP&TC, additional details are contained in the Guidelines. Few changes were made in the process during the current year. All dossiers of candidates for promotion and tenure are reviewed at several levels before they reach the Provost's Office. The dossiers are usually reviewed by a departmental committee, the department chair, a college committee and the dean of the school or college. The dossiers are then forwarded to Associate Vice President Fullerton who checks the dossier for proper form and content and if the dossiers are complete they are then reviewed by the Administrative Promotion and Tenure Committee (AP&TC) consisting of Provost Spanier, Vice President Keller, Associate Vice President Fullerton and Dean Calvin. The dossiers of each candidate for promotion or tenure are carefully examined by each member of the AP&TC. The AP&TC functions more as a group than a committee. The members provide Provost Spanier with information and their individual recommendations, but the final decision rest with the Provost. Generally, academic deans were invited to meet with the AP&TC only in those situations where additional information was desired or when the initial decision of the AP&TC regarding a faculty member's promotion and/or tenure differed from the dean's recommendation. At least two members of the FSP&TC were present as observers during the deliberations of the AP&TC.

The quality and completeness of the dossiers improved again this year as additional information of both recommended from and content was provided to faculty and administrators responsible for the preparation of the dossiers. (See the "Dossier Preparation Guidelines" prepared by the Office of Academic Affairs).

3. FACULTY SENATE PROMOTION & TENURE COMMITTEE OBSERVATIONS

The new Promotion and Tenure Guidelines and the accompanying Dossier Guidelines provide a far more accurate description of the procedures and criteria being applied in the promotion and tenure process than information that was previously available. Provost Spanier and Associate Vice President Fullerton should be commended for their efforts in developing these documents.

The result of this year's promotion and tenure deliberations, along with comparable data for the last twenty years are given in Table I and Figure I in the appendix to this report. The data indicate a substantial decline in the number of promotions during the last two years when compared to the twenty year average. The decline is most apparent at the level of promotion from assistant to associate and associate to professor. There are a number of factors that could contribute to this decline including the possibility that there are fewer eligible faculty or that higher standards are being employed. Analysis of these factors to date indicates the following. First, fewer dossiers were transmitted to the level of the Office of Academic Affairs than in past years. So the drop occurred despite a relatively high approval rate by the AP&TC (Provost). As reported to the Faculty Senate by Associate Vice President Fullerton, the approval rate by the AP&TC this year was 87% as compared to a 15 year total of 66% approval at the University level. Second, most of the drop in the number of promotions from assistant to associate can be accounted for by a reduction in the number of assistant professors within the "zone of promotion". (See the attached letter of September 22 from Associate Vice President Fullerton for Additional information on zones and number being recommended). Third, the decrease in the number of promotions to professor cannot be attributed to a reduction in the number of eligible faculty. The number of faculty in the "zone of promotion" for this group actually increased slightly over the period from 1985 to 1988 while the number of faculty recommended for promotion dropped substantially. For 1985-86 combined, 16.3% of those in the "zone of promotion" were recommended for promotion, whereas in 1988 5.4% were recommended for promotion. The reasons for this drop and the implications of a continuing reduced level of recommendations for promotion to professor needs further examination.

Members of the FSP&TC made the following comments with regard to the conduct of the evaluation process by the members of the AP&TC. As in the past, all dossiers were carefully evaluated by each member of the Committee. All criteria as outlined in the P&T Guidelines were applied in the process of evaluating candidates for tenure or promotion. However, if a candidate was denied tenure or promotion the most likely cause was lack of sufficient activity in the area of scholarship (publications). Within this area members of the FSP&TC were concerned that refereed journal articles were possibly given disproportionate weight. If a faculty member has disseminated the results of their work in a manner different than publication as a journal article, the quality and importance of the work needs to be carefully specified and documented within the candidates dossier.

It was observed that heavy reliance was placed on outside letters of evaluation, often obtained from

individuals who had never had direct contact with the faculty member. Ambivalent outside letters of evaluation could depreciate the value of an otherwise strong dossier review, while in some situations positive outside letters went a long way toward bolstering a weak dossier. Members of the FSP&TC felt a more balanced weighting of internal reviews and outside letters could improve the consistency and integrity of the evaluation process.

The promotion and Tenure Guidelines provide for the establishment of unit criteria which "reflect the particular characteristics of the field and the corresponding responsibilities of (the unit's) faculty." To date the International Programs, Veterinary Medicine, the Library and Agricultural Extension have submitted unit criteria for promotion and tenure evaluation. To date, the Library criteria have been approved by the Office of Academic Affairs.

In several instances over the last few years, members of the P&T Committee have observed the difficulties encountered in gaining promotion by those individuals who have assumed major administrative responsibilities early in their academic performance as an administrator will not offset a less than superior performance in other areas of evaluation. For example, department chairs are being held responsible for having a record in scholarship that approaches that of their nonadministrative colleagues. In the view of the members of the FSP&TC, such early appointments are unwise and potentially damaging to the faculty member's eventual promotion. The practice of appointment of assistant professors, and in most instances associate professors, to positions of major administrative responsibility should be avoided. If such appointments are made, the faculty member should insist on a written statement from the dean, with approval by the Vice President of Academic Affairs, that clearly outlines how the administrative responsibilities will affect future promotion and tenure evaluations of the faculty member.

May 6, 1988

To: Stephanie Sanford, Director of Affirmative Action
Thurston Doler, Senate President
Dale McFarlane, Chair, Senate Promotion and Tenure Committee

From: D.S. Fullerton
Associate Vice President for Academic Affairs

Subject: 1987-88 Promotion and Tenure Summaries

All promotion and tenure dossiers received by Academic Affairs to this date have now been reviewed by the University Promotion and Tenure Committee. (Two or three additional dossiers may be forthcoming from academic units during the next few weeks.) Eighty-nine percent (87% without Senior Research Assistants) of all departmental recommendations for promotion and tenure were approved, considerably above the 15-year total of 66%. The 15-year average does not include Senior Research Assistants, a rank begun in the State System just during the last few years.

There were 25 individuals reviewed for tenure, 14 for promotion to Professor, 19 to Associate Professor, 3 to Assistant Professor or Senior Instructor, and 12 to Senior Research Assistant. All these faculty have now received letters from Vice President Spanier informing them of his decision.

Attached are the Promotion and Tenure Summaries for the last two years, along with 15-year totals 1973-1988. We have added a table with 4-year totals for Senior Research Assistants.

TABLE I
SUMMARY OF TENURE RECOMMENDATIONS - 1986-87 and 1987-88
HC - Head count of faculty in this category
Totals in each category are underlined

Year of Annual Review:	1986-87	1987-88	15-year Total 1973-88
	HC (%)	HC (%)	HC (%)
1. <u>Faculty on Annual Tenure</u>	288	331	4626
Male	207(72)	236(71)	3536 (76.4)
Female	81 (28)	95 (29)	1090 (23.6)
Minority	14 (5)	14 (4)	231 (5.0)
2. <u>Recommended for Indefinite Tenure</u>			
a. <u>by the department</u>	30	25	864
Male	20	17	702
Female	10	8	162
Minority	1	1	40
b. <u>by the dean/director</u>	<u>28</u> (93)	<u>23</u> (92)	<u>690</u> (80.0)
Male (% of 2a)	19 (95)	15 (88)	551 (78.5)
Female (% of 2a)	9 (90)	8 (100)	139 (85.8)
Minority (% of 2a)	0	1 (100)	33 (82.5)
3. <u>Granted Indefinite Tenure</u>			
a. <u>HC (% of 2b)</u>	<u>22</u> (79)	<u>22</u> (96)	<u>620</u> (89.9)
Male	17 (89)	14 (93)	501 (90.9)
Female	5 (55)	8 (100)	119 (85.6)
Minority	0	1 (100)	29 (87.9)

TABLE II

SUMMARY OF APPROVED PROMOTIONS IN RANK

AND CHANGES IN STATUS TO INDEFINITE TENURE

1986-87 and 1987-88

HC - Head Count of faculty promoted or granted indefinite tenure

(%) - Percent of departmental recommendations approved

Totals in each category are underlined

Year of Annual Review:	1986-87	1987-88	15-year Total 1973-88
	HC (%)	HC (%)	HC (%)
A. <u>To Professor</u>	<u>24</u> (77)	<u>12</u> (86)	<u>418</u> (55)
Male	22 (81)	9 (82)	377 (54)
Female	2 (50)	3 (100)	41 (53)
Minority	0	0	13 (68)

B. To Associate Professor	16	(84)	16	(84)	559	(69)
Male	16	(84)	8	(72)	462	(68)
Female	0		8	(100)	97	(71)
Minority	0		1	(100)	24	(69)
C. <u>To Assistant Professor</u> <u>or Senior Instructor</u>	<u>6</u>	(75)	<u>3</u>	(100)	<u>144</u>	(84)
Male	5	(100)	0		78	(79)
Female	1	(33)	3	(100)	66	(90)
Minority	0		0		11	(100)
D. <u>Promotion Totals (All Ranks)</u>	<u>46</u>	(75)	<u>31</u>	(86)	<u>1121</u>	(64)
Male	43	(84)	17	(77)	917	(63)
Female	3	(33)	14	(100)	204	(70)
Minority	0		1	(100)	48	(74)
E. <u>Indefinite Tenure</u>	<u>22</u>	(73)	<u>22</u>	(88)	<u>620</u>	(72)
Male	17	(85)	14	(82)	501	(72)
Female	5	(50)	8	(100)	119	(73)
Minority	0		1	(100)	29	(73)
F. <u>All Promotion and</u> <u>Tenure Combined Totals</u>	<u>68</u>	(75)	<u>53</u>	(87)	<u>1741</u>	(66)
Male	60	(83)	31	(79)	1414	(65)
Female	8	(42)	22	(100)	323	(71)
Minority	0		2	(100)	77	(73)

TABLE III

SUMMARY OF PROMOTIONS TO SENIOR RESEARCH ASSISTANT

AND CHANGES IN STATUS TO INDEFINITE TENURE

1986-87 and 1987-88

HC - Head Count of faculty promoted or granted indefinite tenure

(%) - Percent of departmental recommendations approved

Totals in each category are underlined

Year of Annual Review:	1986-87		1987-88		4-year Total 1984-88
	HC	(%)	HC	(%)	HC
A. <u>To Senior Research Asst.</u>	<u>9</u>	(75)	<u>12</u>	(100)	<u>98</u>
Male	6	(86)	6	(100)	65
Female	3	(60)	6	(100)	33
Minority	0		0		3
B. All Promotions and <u>Tenure Combined Totals</u>					15-year Totals <u>1973-</u> <u>1988</u>

Total Reviewed	<u>103</u>	<u>73</u>	----
Total Approved	<u>77</u> (75)	<u>65</u> (89)	<u>1753</u>
Male	66 (84)	37 (82)	1424
Female	11 (46)	28 (100)	329
Minority	0	2 (100)	77

Totals as of 5/1/88

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Faculty Forum on Position Descriptions

January 23, 2002

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Promotion and Tenure & Critical Issues Forum

May 14, 2002

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- [Impact of Redefining Scholarship at OSU](#)

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Faculty Forum on Validation and Documentation of Scholarship

May 24, 2002

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5. [Defining One's Peers](#)
6. [Process for Communicating Your Scholarship](#)
7. [Defining and Validating Originality and Contribution](#)
8. [Validating Evaluation Criteria](#)
9. [Gathering and Presenting Results](#)
10. [Problems and Benefits](#)
11. [Presentation Conclusion](#)
12. [Discussion](#)

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Faculty Senate

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Faculty Forum on Reflections on Scholarship - Peer Evaluation of Teaching

November 19, 2002

The session was recorded via video streaming to be accessed by interested faculty members and administrators at their convenience. Each segment below is linked to a video stream.

If you are having trouble viewing these files please click [HERE](#) for instructions on how to download [Real Player 8 Basic](#)

- [Greetings and Introduction](#)
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Powerpoint Presentations corresponding to streaming media:

- AIHM Peer Evaluation of Teaching [[Powerpoint 97/2000/XP](#)] [[HTML](#)]
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These are reminders regarding the promotion and tenure process effective for the 2011-2012 academic year. Guidelines for Promotion and Tenure can be found at <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines>.

Dossier Guidelines

- 1) We are currently working towards an electronic format for the P&T process. Unfortunately, we are unable to make the change for this academic year. In an effort to move towards less paper, please provide 3 additional copies of each dossier this year (rather than 5 copies). This year we are also asking for one electronic copy of each dossier in pdf format. These should be submitted via flash drive to Sara Eklund in the Office of Academic Affairs no later than February 17th, 2012. Please also remember that dossiers for Faculty Research Assistants going up for promotion to Senior Faculty Research Assistants end at the Dean level. Things to remember when submitting copies of dossiers are:
 - **Copies must be double-sided.** Do not include supplemental materials with the dossier (such as copies of journal articles, etc.). Those materials should be kept within the department and available upon request of the University Promotion and Tenure committee.
 - Each section should be clearly defined and labeled (a colored sheet of paper indicating the title of the new section will suffice; tabs are not necessary).
 - Copies must be binder-clipped (original copy should be in a 3-ring binder). Please do not put copies in 3-ring binders.
 - Each copy of the dossier should include a cover sheet that includes the following information: the name of the candidate, college, and department.
 - Please remember to number the pages on both the original dossier, the copies, and the pdf file.
- 2) The letter from the unit committee and the letter from the college committee must include a description of the process that was used to constitute the committee.
- 3) If the candidate has decided to not sign the waiver of access form, please place a sheet of paper in that section indicating this decision. **REMINDER:** *The decision to sign the waiver is up to the candidate and should NOT be considered when evaluating the external letters or other aspects of the dossier. Administrative or P&T Committee letters should not comment on whether or not the waiver has been signed.*
- 4) Be certain to indicate if the appointment is a 9 or 12 month tenure commitment as well as the FTE of each appointment (on Form-A).
- 5) Remember to include all position descriptions that the candidate has had since the date of hire or since their last review (for Associate Professors).

- 6) Make sure the dossier indicates which outside reviewers were selected by the candidate and which ones were selected by the department.
- 7) Remember to indicate the candidate's role when listing grants. Please also remember that when work is the product of joint effort and is presented as evidence of scholarship, clarification of the candidate's role in the joint effort should be provided in the dossier.
- 8) Be sure that Form-A is signed by the appropriate individuals.
- 9) Procedure for notifying final outcomes to **SENIOR FACULTY RESEARCH ASSISTANTS:**
While the assessment process for FRAs ends at the Dean level, the letter informing the outcome to the candidates will be issued by the Provost. Please send the Dean's final letter of recommendation to Academic Affairs no later than May 1, 2012. The Provost will issue a final letter to the candidate indicating the outcome of their case. These letters will be distributed with the other final P&T letters from the Provost in May. Decisions should not be communicated to the candidates prior to the letter from the Provost being distributed.
- 10) **Dossiers that fail to comply with the dossier preparation guidelines WILL BE RETURNED to the unit to be corrected, with the possibility of delaying the process.**

The deadline for submission of this year's dossiers to Academic Affairs is **no later than 5:00 pm on Friday, February 17th, 2012** (please note this deadline is firm). Thanks for your cooperation. If you have any questions regarding these reminders, please contact Sara Eklund at 7-0732 or sara.eklund@oregonstate.edu. Thank you.

Faculty Senate

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University Level Review and the Role of the Faculty Senate Promotion and Tenure Committee Representative

The Faculty Senate Promotion & Tenure (FS P&T) Committee met with Becky Warner and Sara Eklund on March 1, 2010 for discussion of the University level review and the role of the FS P&T Committee representative. The following items were discussed and/or explained to the Committee:

- (i) the University Committee does not vote on candidates but rather provides individual input directly to the Provost after their discussions,
- (ii) it was stated that it is not appropriate for FS P&T Committee representatives to have access to dossiers other than that of the candidate(s) being reviewed,
- (iii) it was agreed that the Committee representative could provide a written input to the Provost as to their opinion/concern regarding a specific case,
- (iv) the Committee representatives should be given a copy of all questions that are given to the dean and/or supervisor prior to the meeting, and
- (v) it was agreed that the Provost's Office will send to the FS P&T Committee a listing of all the issues raised by the University Committee to help in writing the final report by the FS P&T Committee.

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Notes on revisions to***PROMOTION AND TENURE GUIDELINES***

In the tabulation below, I have attempted to document the specific changes that were made to the university promotion and tenure guidelines. I have organized the comments under the same headings as the guidelines themselves and attempted to provide information as to our motivation for each of the changes (i.e. who asked us or our goals), as well as what the specific changes were.

Our two initial charges were to examine the guidelines 1) with respect to the service component and 2) in the face of the creation of the new fixed term extension class of professorial faculty. In addition, there were a number of edits passed on to us from a committee of faculty lead by Becky Johnson last year. As the year as proceeded, we have been asked to consider other issues, most notably conflict of interest management (by the President and Provost).

One of the other goals that several groups suggested, was to tie together more of the material on P&T into one place. Therefore, we have linked guidelines for position descriptions, OARs, etc, that had existed in disparate locations.

Any “interpretation” or errors below are mine, not related to the incredibly hard work put in by the members of the FS P&T or Executive committees with the assistance of Academic Affairs this year.

Roger Nielsen on behalf of FS P&T Committee

GENERAL PURPOSES AND RESPONSIBILITIES

- Change to broaden application of these specific guidelines (rather than adapted guidelines).
- Emphasis on the significance of position descriptions in evaluation for P&T. – in several cases below, we have taken materials from the frequently asked questions section and inserted them into the guidelines, particularly for position descriptions. ,Later legal asked that the section on position descriptions be put in a separate, but linked, document. That separate document will continue to be worked on Academic Affairs in collaboration with FS P&T and exec committee.

CRITERIA FOR PROMOTION AND TENURE***General Guidelines***

- Materials moved to new section on criteria for position descriptions.
- Specific metric added with respect to scholarship and creative activity (from AA and Provost).

Faculty Responsibilities

- New section on faculty responsibilities that defines how faculty responsibilities can be enumerated. This was constructed with the goal of providing sufficient flexibility to units who

have different ways of constructing position descriptions – yet provide sufficient structure to allow the system to evaluate faculty fairly across discipline boundaries for P&T. Further, this section is intended to align assigned duties with the main mission areas of the university, teaching, research, extension and engagement. There are now descriptive sections for each and an additional one for other assigned duties.

- New section on criteria for position descriptions adapted from a combination of information from other sections and from “frequently asked questions”. This now exists as a separate document that will be linked from here.

Assigned Duties – Research:

This section was added to provide flexibility to consider research as an assigned duty or scholarship in a position description and provide a framework for evaluation of the productivity of a candidate. This was triggered by our initial discussions related to Extension and Ag faculty.

Assigned duties –Extension Education:

An additional short section was added to help describe what constitutes Extension Education – which has some characteristics that we felt needed to be specifically annotated. We (FS P&T) also addressed (later in the document under Criteria for Promotions) the charge to the committee to examine promotion criteria for non-tenure track extension faculty. - per the charge to examine the guidelines related to fixed term extension faculty. It was the sense of the group that the increased vulnerability of this group requires more clarity in what these assignments entail.

Other Assignments:

The other Assignments section was extensively re-written to clearly state the characteristics of the group type and criteria to be included in position descriptions. Specifics for evaluation are dependent on the criteria described individualized position descriptions. One of the primary goals here is to distinguish these duties from service duties.

An important note here, other types of assigned duties may be defined under this category if they are consistent with the characteristics described. It is our opinion, that when a unit configures a position description that is innovative in that way, it is critical that they work with Academic Affairs (and their own College).

Scholarship and Creative Activity

Additions include

- 1) Enhanced emphasis on validation and documentation
- 2) Opportunity to use peer validated service if discipline appropriate – and agreed upon beforehand. – per our charge to look at the role of service
- 3) Enhance the intent of the guidelines to include diverse forms of scholarship.

Service

- Definition of institutional (unit and university) and professional service– per our charge to look at the role of service
- Emphasis on accountability for faculty service duties and importance for all faculty to participate
- Definition of peer validated professional service as scholarly activity

- A recommendation was made for all faculty to have some unspecified % FTE service in their position descriptions. That was further specified in the separate document on position description criteria.
- Clarification of what types of service can be considered for P&T. This section puts greater emphasis for community service outside the university that promotes the university mission.

Criteria for Granting Indefinite Tenure

Clarification of timing of tenure clock initiation, and conditions for extensions – from Acad Affairs

Criteria for Promotions

- For Assistant to Associate – service changed to - appropriate balance of institutional and professional service. – public dropped – these changes were related to the committee charge to look at the role of service
- For promotion to professor - changed to exemplary institutional , and professional service, and an appropriate balance between the two – goal is to encourage (but not require absolutely in all cases) more university service for tenured associate professors.
- Curricular development and innovative teaching added as a criteria
- Fixed term Extension Faculty added – per the charge to examine the guidelines related to those faculty
- Timing of promotion clock clarified for instructor and FRA
- Section on promotion and tenure of instructors added by Academic Affairs

FACULTY DOSSIERS

Access to the Dossier and University Files by the Faculty Member

Criteria for addition of materials to dossier clarified

PROCEDURAL GUIDELINES FOR PROMOTION AND TENURE

Addition of third year review in the process of informing faculty as to their progress – additional recommendations related to the specifics of the timing and content of third year review have been forwarded to Academic Affairs

Declaration and Management of Conflicts of Interest

New section on conflicts of interest focused on two separate issues 1) personal relationships 2) professional relationships. For 1) the section defers to OAR rules. For 2) the section outlines the goals, and process by which the potential conflicts are announced and/or managed. This charge was added in late Fall by President and Provost to address shortcomings in the current system.

Tenure Unit Review and Recommendation

- Revised section on criteria for constitution of unit review committees
- Revised section of student committee input – committee felt that student input section should be made more uniform across campus (e.g. agreed with Academic Affairs). However, we had concerns with the process outlined – we have suggested that AA confirm a general process for AY07-8 and distribute. They did so, and have included the new process in the document that was approved.
- New statement on peer review input – this came from revisions prior to 8/1/06 – FS P&T added Extension/outreach

College Review and Recommendation

- New information on candidate response and faculty input – specifically sentence added “Care should be taken to ensure appropriate and adequate input by faculty throughout the college review process.” Implementation of this will require changes in practice in some colleges.

University Review and Recommendation

- Issue related to the role of the FS P&T committee – since the most recent revision of the standing rules for the FS P&T committee, the process for evaluation of dossiers at the university has changed. It is now being done at a retreat, where all the dossiers are evaluated simultaneously for all colleges – as opposed to college by college. In the previous process, a member of the FS P&T committee could sit in on the deliberations for a specific college without disrupting either the University process or their schedule. With the current system, it is unclear how the committee can be involved at the early stage of the process. We are involved only after an initial decision has been made, and are brought in as observers when the follow up conversations occur. Specifically, we observe on any discussions on cases that have been denied, and for which there is a follow up discussion.

Decisions and Appeals

New section on appeals

	A	B	C	D	
1	Example of unit responsibility matrix for P&T year	Department Chair:	Dr X	Admin Assist	N
2	However, unit process must conform to university P&T guidelines	Chair of P&T Committee:	Dr Y	P&T representative	D
3	Academic year of P&T review: 2007-08				
4	Names of candidates	Date required	date accomplished	Responsible party	
5	Peer review of teaching committee formed	year prior		Peer Review of Teaching Committee	
6	Discussions between potential candidate and chair	15-May		chair	
7	Candidate is official	1-Jun		chair	
8	P&T committee notified	1-Jun		chair and P&T comm	
9	Candidate has representative chosen	mid June		chair and P&T comm	
10	Candidate has (not) signed waiver	mid September		candidate	
11	Outside reviewers chosen and approved	mid September		chair and representative	
12	Outside reviewers contacted for availability	August		chair, representative and Adm Assist	
13	P&T committee meeting #1	First week of October		P&T chair	
14	Material sent to outside reviewers	mid September		Admin Assist	
15	Student committee formed	First week of October		P&T chair and representative	
16	P&T committee meeting #2 - review completeness of dossiers	First week of November		P&T chair	
17	Requested date for all outside letters received	1-Nov		P&T chair	
18	Candidate has signed statement that open dossier is complete	First week of November		P&T chair	
19	P&T committee starts formal review	after candidate has signed completeness		P&T chair	
20	P&T committee meeting #3 - vote to move forward?	First week of December		P&T chair	
21	Discussion of outcome of meeting with candidate	Soon after decision of unit committee		Chair and anyone else he or she requests	
22	P&T committee meeting #4 to review draft report	Second week of December		P&T chair	
23	Committee reports completed by P&T chair	Third week of December		P&T chair and representative	
24	Candidate reviewed draft of committee report	Third week of December		candidate and P&T chair	
25	Final committee report sent to chair	Third week of December		P&T chair	
26	Chair writes independent letter and reviews dossier	Aprox Jan 1		Chair	
27	Chair discusses results with candidate	Aprox Jan 1		Chair	
28	Dossier forwarded to College P&T committee	Aprox 2nd week of Jan		Admin Assist	
29	Chair discusses College letters with candidate	Upon notification from		Chair	
30	Dossier forwarded to Academic Affairs	Final week of Feb		Dean	
31	http://oregonstate.edu/facultystaff/handbook/promoten/promoten.htm#dosgui				

Report on the Status of Tenure at OSU

January 22, 2004

Prepared by Promotion and Tenure Committee of the Faculty Senate
Dan Arp (Chair), Loretta Rielly, James Lundy, Charles Langford, Fred Obermiller,
Barbara Edwards

On October 1, 2003, Bruce Sorte, President of the Faculty Senate, gave the following charge to the Faculty Senate Promotion & Tenure Committee:

- 1) Evaluate the effectiveness of tenure at OSU over the past 20 years and how it compares with similar land grant universities across the U.S. Provide an assessment of how the budget reduction process may impact indefinite tenure at OSU.
- 2) Consider the usefulness of the "Institutional Procedures and Criteria for Unit or Program Reduction or Elimination" with and without the changes which have been recommended by the Faculty Senate Executive Committee as a means whereby faculty can participate in the decision-making process for programmatic adjustments. Suggest additional changes as needed.

To address point #1 of the charge, the Committee started with the idea to gather information from three sources: 1) other universities, 2) the published literature, and 3) Oregon State University. For other universities, we started with the web sites of 6 of our comparator institutions. We looked for news releases, committee reports, university policies and procedures relating to promotion and tenure. While we were able to uncover some interesting information, we found it difficult to compare the information from institution to institution. Different titles for similar categories of faculty, different ways of reporting, etc. led us to the "apples vs. oranges" dilemma. The published literature on tenure is overwhelming and not necessarily relevant to OSU circumstances. Within OSU, we considered several vehicles for gathering information on faculty attitudes towards tenure, including a survey of faculty. However, given the tight time line and limited resources, we took a convenience sample of the faculty, which tried to include a great variety of disciplines and academic ranks. As might be expected, the anecdotes covered the spectrum from severe concerns about the challenge to tenure created by the way in which Extension handled its budget shortfall, to a lack of knowledge about Extension and, therefore, no basis to conclude that anything about tenure had changed in the last year.

Given the difficulty in taking a "data informed" approach, we migrated towards the idea that each member of the committee brings their own beliefs, experiences, and opinions to the table and that these, collectively, offer a representative view of the status of tenure at OSU. And, collectively, we are of the opinion that the handling of the Extension reductions did constitute a challenge to tenure at OSU. If tenure held

primacy over other concerns, then one would have expected that tenured professors would have the greatest employment security, followed by non-tenured and then fixed term faculty when the Extension resources were found to be insufficient to cover the current FTE. That was not the case, as some fixed term faculty found themselves “most qualified” for certain job descriptions that remained after Extension went through their FTE reduction process, while some tenured faculty found themselves with no remaining job description that matched their qualifications. We recognize that the challenges facing Extension were immense, but if Extension can make program reductions that do not place tenure as the primary criterion for retention of faculty, then we wonder about the security of tenure in other colleges in the face of similar or even less severe budget constraints.

In expressing our concerns about the challenge to tenure, we recognize that we have the luxury (and the responsibility) to focus our attention only on the question of the primacy of tenure in the face of program reductions. Protecting tenure against all other concerns may not always be in the best interests of OSU. But allowing tenure to be weakened at OSU is certainly not in the best long-term interests of OSU.

In our research and discussions, we were reminded of another threat to tenure. There is a trend across institutions of higher education in the US to place an increased proportion of the teaching effort on part-time and full-time non-tenure track faculty (see appended document). Clearly, directing resources to fixed term instructors results in fewer appointments into tenure track positions.

To address point #2 of our charge, we read and discussed the “Institutional Procedures and Criteria for Unit or Program Reduction or Elimination” with the changes proposed by the Executive Committee and compared to this to the current document. The document used currently has been found procedurally wanting in some of the recent reductions that have taken place. In other cases, it seems to have worked well. We appreciate the efforts of those involved in drafting the revisions of the document. However, we raise the following concerns:

- The document has become too detailed. There seems to be an attempt to find the words to deal with any foreseeable situation. However, each situation will be unique and will require some interpretation of the document, regardless of the level of detail in the document.
- The role of the FCG as distinct from that of the Administration is not always clear. It would be useful to reorganize the document to indicate the responsibility of the FCG as well as that of the administration, and to delineate the generally agreed-upon principles used by all. For example, shared governance would seem to be the most important principle upon which to base the document.
- In some reductions, the input from the faculty has seemingly come too late in the process to have a meaningful impact. It's not clear that the revised document will fix this concern.

In our discussions, we wondered if the processes used in state governance might not provide a model for how to proceed. A legislative statute provides a mandate to a state agency, but it is then up to the agency to implement the mandate. The agency must defend its implementation plan, and ultimately the implementation itself, to the legislature. In the case of program reductions or eliminations, we might imagine something similar to the statute—a succinct document that indicates who has responsibility for reductions and eliminations and the principles that are used to make the reductions. It is then up to the administrator responsible for the reductions or eliminations to devise an implementation plan and to defend the reasons for the reductions or eliminations, the criteria used in making the decision, etc. The administrator would need to defend the plan to the faculty, most likely via the FCG. Much of the information currently included in the reduction/elimination document could be placed as appendices—as useful guidelines for selection of criteria, values, etc. Admittedly, this idea is rough, but we wanted to share it with the Executive Committee to see if resonates.

Appendix: Published information about Tenure

This information was collected by Loretta Rielly, Library Services and member of the Promotion and Tenure Committee

Since most of the publications that address tenure are from the AAUP there's a great deal of redundancy and understandable defensiveness. The concerns are:

- Financial expediency rather than financial exigency is driving personnel decisions, with an increase in the number of part-time, non-tenure track positions and a decrease in full-time positions.
- Business models and attention to external customers detracts from the educational and research missions.
- Academic freedom provides protection for voicing ... and
- Shared governance and faculty oversight of the academic mission of the university.

The June 2001 report of the NEA Higher Education Research Center Update finds that "increasing use of part-time faculty members, most of whom are not tenured, is undercutting the tenure system. The evidence for an increasing number of non-tenured full-time faculty members is more equivocal."

AAUP website: <http://www.aaup.org/> <<http://www.aaup.org/>>

Useful excerpts:

OSU Promotion and Tenure Guidelines: Criteria for Granting Indefinite Tenure

Tenure ensures the academic freedom that is essential to an atmosphere conducive to the free search for truth and the attainment of excellence in the University. But in addition, tenure also reflects and recognizes a candidate's potential long-term value to the institution, as evidenced by professional performance and growth. Tenure sets universities apart from other institutions. Faculty are not merely employed by the University but are the educational and research programs of the University; tenured faculty are the community of educators who create institutional stability and an ongoing commitment to excellence. Tenure, therefore, will be granted to faculty members whose character, achievements in serving the University's missions, and potential for effective long-term performance warrant the institution's reciprocal long-term commitment. The granting of tenure is more significant than promotion in academic rank.

Mary Burgan, "A Profession in Difficult Times," **Liberal Education**. Fall 1999.

[Tenure and governance] are the practical instruments for the achievement of truth, of freedom, of professional autonomy, and of community.

ISU AAUP, "White Paper #1--Tenure." No date.

Data compiled by AAUP: the proportion of full-time professors working on contracts rose from 19 percent in 1975 to 28 percent in 1995, while the proportion of those on the tenure track fell from 29 percent to 20 percent. Part-timers now make up an estimated 42 percent of instructors in U.S. colleges and universities.

James F. Slevin, "Preserving Critical Faculties," Liberal Education, Summer 2000.

Educators have to be both aware of and free of a concern with their students' pre-existing needs and their institution's goals, in order to make any difference to either. Educators also have to be free of the needs defined by those outside the academy, whose demands and pressures all too easily reduce the significant consequences of education into outcomes designed to meet narrowly-defined corporate needs, thereby diminishing the possibilities of genuine learning and the intellectual life. Not simply sustaining but encouraging this freedom is why tenure matters. (p. 3-4 on print out)

The protection of academic freedom--indeed, the active and positive encouragement of dissent--is the heart of the college and university, though unwelcome at the diploma market. Efforts at change that lead to the elimination of this protection (like the hiring practices just described, often rationalized as better serving the mission of the institution by giving it "flexibility") are destructive and need to be actively fought. (p 5)

Tenure, we might argue, supports first and foremost the values making possible the intellectual work of those it protects. Any changes we propose are intended to strengthen the support for the values underlying that work, even as these changes take into account a wider range of places where the work happens and needs protecting.

In fact, I would go one step further and argue that expanding the domains where tenure-

earning intellectual work can be done (to include, in serious ways, teaching and service) is crucial to **preserving** the underlying values of knowledge creation, exchange, and questioning. These values are increasingly endangered because, for example, as non-tenure-line **faculty** assume the duties of teaching, the vigor of their questioning and the courage of their dissent can be suppressed--and so their integrity compromised. In short, we need to expand the domains of tenure-earning **faculty** work in order to stay the erosion of the central values of academic life. (p 6)

Cites data from 1998 AFT report:

-- While the total number of full-time **faculty** grew marginally and slowly--49 percent between 1970 and 1995 (2 percent per year)--the number of part-time **faculty** has increased dramatically, 266 percent (10.6 percent per year) over the same period. At this rate, part-time **faculty** will outnumber full-time by the academic year 2001.

-- At least 43 percent of American **faculty** are now part-time, up from 38 percent in 1987. Only 57 percent of **faculty** are full-time. In the community colleges, only about 37 percent of **faculty** are full-time.

-- In 1995, 51 percent of the new full-time **faculty** appointed did not receive a tenure-eligible position, meaning they became short-term, year-to-year instructors. Newly appointed full-time **faculty** in 1995 totaled 3,772 fewer than in 1993, an 11 percent decrease. In comparison with 1989, the decline in new hires is even sharper: 10,372 fewer new appointments were made in 1996--a 25 percent difference.

-- The proportion of full-time **faculty** on term contracts grew from 19 percent in 1975 to 28 percent in 1995. During this time, the number of full-time instructors on the tenure track decreased by 12 percent.

SOURCE: "The Vanishing Professor" (American Federation of Teachers, Washington, D.C. 1998)

Ernest Benjamin, "Some Implications of Tenure for the Profession and Society," AAUP Professional integrity includes not only ideological autonomy but the right to exercise academic judgment. It is the latter which those who seek to manage faculty would constrain. Consider the following: "Changes in how the faculty regard themselves and their institutions lie at the heart of the restructuring process. What faculty are being asked to do is return--in effect, to give back--a portion of their independence and ability to define their own tasks and performance standards. [*Policy Perspectives*, Pew Higher Education Research Program, February 1993, Vol. 4, No.4; p. 9A.] (p. 5 on printout)

Higher education without tenure would in time become a system of training schools whose instructors were neither educators nor scholars. For the notion that one can improve the university by destroying tenure ultimately presupposes that one can maintain the university without attracting or sustaining the teacher-scholar. On the

contrary, tenure alone enables faculty to preserve their professional integrity and the creative conflict essential to the advancement of learning amid the intensifying institutional constraints of contemporary higher education. (p. 6)

James T. Richardson, "Tenure in the New Millennium," National Forum. Winter 1999. America needs to attract its best minds to the academic profession, something that will continue to happen only if such individuals think they can have productive, secure careers. Academia without academic freedom will not seem attractive to those whom our society needs to contribute to its future knowledge base and maintain our system of higher education. The hour is late for rethinking what we are collectively doing and allowing to happen to higher education in the United States. I hope it is not too late to change course and move again toward the protection of academic freedom as a hallowed value, with all the good things that flow from such a decision for our democratic society. (p. 5 on printout)

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Promotion & Tenure Committee

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Promotion & Tenure Committee

February 3, 2014
2:00-3:00 PM
379 Weniger Hall
Agenda

1. Professor of Practice Conversion Task Force (Information)
2. Diversity (Continuation of discussion)
 - [Henri Jansen's original document](#)
 - [Revisions from Russ Karow](#)
3. [Scholarship of Administration](#) (Start of new discussion)
4. [Exemplary Service Requirement for Promotion from Associate to Full Professor](#) (and other second level promotions)

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Promotion & Tenure Committee

January 17, 2013
305 Weniger Hall
Joint meeting with the Faculty Status Committee
Agenda

1. Professor of Practice, Promotion to Senior II

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Promotion & Tenure Committee

January 31, 2013
305 Weniger Hall
Joint meeting with the Faculty Status Committee
Agenda

1. **Professor of Practice, Promotion to Senior II**
 - [Guidelines for Professor of Practice Appointments and Promotion](#)

2. **Position descriptions**
 - [Proposed Criteria for Promotion of Senior Instructors or FRAs to Senior II](#)

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Promotion & Tenure Committee

February 21, 2013 ~ 10:00-11:00 AM
305 Weniger Hall
Joint meeting with the Faculty Status Committee
Agenda

1. Professor of Practice Discussion

- a. [Faculty Ranks](#)
- b. [Proposed criteria for Promotion of Senior Instructors or FRAs to Senior II](#)
- c. [Guidelines for Professor of Practice Appointments and Promotion](#)
 - *This appears to be a good document to present to the FS, but it is too long for PandT guidelines. Suggestion: present this in March, ask for feedback, and present proposed changes to the PandT guidelines in April.*

2. Using Previous Collaborators as Reviewers

- a. [External Letters for Promotion and Tenure Memo](#)
- b. [NSF Proposal Preparation Instructions](#)

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Promotion & Tenure Committee

April 25, 2013 Agenda

1. Report back about Professor of Practice and Senior II Instructor
2. Untenured department chairs, should they participate in the process
 - Discuss potential verbiage:
"If the college dean appoints an untenured person as department chair, it is assumed that the dean has good reasons to do so, and that the untenured chair should participate in the process, unless the dean decides otherwise"
3. Limit of exclusion for collaborators and external letters
 - Discuss potential verbiage:
Letters should not be solicited from co-authors, co-principal investigators, former professors, or former students, WHO COLLABORATED WITH THE CANDIDATE IN THE LAST 6 YEARS.
4. Including diversity in Promotion and Tenure

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Promotion & Tenure Committee

May 23, 2013
305 Weniger Hall
Joint meeting with the Faculty Status Committee
Agenda

1. Non-tenured Department Chairs – should they participate in the process?

- Potential verbiage: "If the college dean appoints a non-tenured person as department chair, it is assumed that the dean has good reasons to do so, and that the non-tenured chair should participate in the Promotion and Tenure process, unless the dean decides otherwise."
- We owe Becky Warner a response. Please let me know before the meeting if this wording is an accurate reflection of our discussion. Please respond by e-mail with yes or no, with corrections in the latter case, or a request for discussion at our next meeting. If we agree, I will write Becky.

2. Limit of Exclusion for Collaborators and External Letters

- Potential verbiage: "Letters should not be solicited from co-authors, co-principal investigators, former professors, or former students, WHO COLLABORATED WITH THE CANDIDATE IN THE LAST 6 YEARS."
- Same request. Please let me know before the meeting if this wording is an accurate reflection of our discussion. Please respond by e-mail with yes or no, with corrections in the latter case, or a request for discussion at our next meeting. We agreed on 6 years because that fits the Promotion and Tenure schedule. It is slightly longer than the NSF schedule. If we agree, then we can forward this to the EC.

3. Including Diversity in Promotion and Tenure Guidelines – Anne Gillies will participate in the discussion.

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Promotion & Tenure Committee

February 16, 2012
10:30-11:30 AM ~ 109 Gilkey Hall
Agenda

1. Discuss college guideline reviews and write a letter to the colleges so that their guidelines can be brought into compliance with the University.
2. Questions brought up at the Executive Committee meeting:
 - a. Should we recommend that unit and college P&T committee members go through Search Advocate training?
 - b. Should we recommend that unit and college P&T committee members have attended a forum for administrators?
 - c. Should we recommend that colleges post members of the unit and college P&T committees online so faculty know who these individuals are?

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Promotion & Tenure Committee

March 16, 2012
8:30-9:30 AM ~ 109 Gilkey Hall
Agenda

1. Discuss P&T Forums for Faculty and Administrators

- a. Faculty P&T forum:
 - i. May 10th, 2012, 9:30 – 11:00 AM, MU 213 – Pan-Afrikan Sankofa
 - ii. Review [2011 PowerPoint](#)
- b. [Administrator P&T forum](#): September (date needs to be set)

2. Discuss our Committee's Role in University P&T Review Process

- a. [Review](#) specific guidelines pertinent to the University P&T process and minutes from 2010 & 2011
- b. The complete [guidelines](#) were provided for reference
- c. Need schedule of availability of committee members for spring term
 - i. Please send this to me by March 23
 - ii. Committee members' assignments for University P&T reviews will be available after spring break

3. Discuss Post-tenure Review Guidelines

- a. Review [PTR guidelines](#)
- b. Case in point
 - i. From: Webster, Janet
 Sent: Tuesday, January 24, 2012 8:39 AM
 To: Kutzler, Michelle – ANS
 Subject: Question on Post Tenure Review process
 I'm chair of the OSU Libraries P&T Committee. We are conducting our first post-tenure review this year. We have two OSU Libraries faculty for the committee. One of the possible external members is retired. He was suggested by the candidate. There's nothing in the guidelines about status except the members must be at or above the candidate's rank. As the chair of the Faculty Senate P&T Committee, do you have any thoughts on having a retired faculty member participate? I'm slightly concerned that they might not be in touch with current expectations of faculty.
 - ii. The Post-Tenure Review Guidelines don't specifically allow nor prohibit retirees from serving on PTR committees, nor does it indicate any FTE minimum. The member composition reads: "Members of the PTR committee shall be elected by the unit faculty who are at or above the rank of the faculty member being reviewed. In addition, a representative from outside the unit shall be included. The external committee member shall be selected by the unit PTR committee from a list who are tenured faculty members at or above the rank of the faculty being reviewed. The list (at least three such faculty members) shall be provided by the faculty member being reviewed."
 - iii. According to Becky Warner, retirees could serve on a PTR for discussion purposes only, but may not be a voting member for exactly the reasons that Janet noted below, "they might not be in touch with current expectations of faculty." Becky would highly discourage retirees from serving on PTR's.
 - iv. Because the PTR Guidelines indicate "The Faculty Senate will periodically review the effectiveness of the post-tenure review process." Becky would like us to review the PTR Guidelines and recommend verbiage to prohibit a retiree from serving on a PTR committee or, to put it another way, specifically outline who is eligible to serve on a PTR Committee –

she was in favor of this occurring. Currently, if a unit reviews the PTR Guidelines, there is nothing that would prohibit a retiree from serving on a PTR, but that is apparently not the intent.

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Promotion & Tenure Committee

May 4, 2012
2:00-3:00 PM ~ 109 Gilkey Hall
Agenda

1. Discuss Faculty Senate Executive Committee feedback regarding proposed P&T guideline changes.
2. Discuss status of changes proposed for the standing rules for our committee.
3. Discuss status of college guideline letters.
4. Review 2011 [PowerPoint for Promotion & Tenure Forum](#) for faculty (May 10th, 2012, 9:30–11:00 AM, Kidder 200).
5. Discuss [post-tenure review guidelines](#).

Proposed Agenda Items for remaining meetings this academic year:

May 11 meeting: Tony Wilcox of the Faculty Senate Faculty Status Committee, College of Pharmacy Dean and/or College Promotion & Tenure Committee to offer suggestions regarding their guidelines, College of Earth, Ocean and Atmospheric Sciences Dean and/or College Promotion & Tenure Committee to offer suggestions regarding their guidelines.

June 1 meeting: Discuss how the University Promotion & Tenure review and Promotion & Tenure forum process went; Draft, discuss and finalize annual report; Discuss agenda for FY 2013

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Promotion & Tenure Committee

May 11, 2012 ~ 2:00-3:00 PM
109 Gilkey Hall
Agenda

1. Tony Wilcox of the Faculty Senate Faculty Status Committee will present work for the P&T Committee during the next year
2. Faculty Senate feedback regarding proposed Promotion & Tenure guideline changes
 - a. How do we want to change the Conflict of Interest (COI) definition?
 - b. Henri will present the changes to the Faculty Senate on June 14 for the vote.
3. Status of college guideline letters
 - a. Letter for [College of Education](#)
 - b. Jennifer and David, please bring your revised letters. If not, we can work on them together at the meeting.
 - c. Plan is to send these out after the meeting today.
4. How the University Promotion & Tenure review process went
5. How the Promotion & Tenure forum went

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Promotion & Tenure Committee

October 26, 2012 ~ 3:00-4:00 PM
109 Gilkey Hall
Agenda

1. [Position Description Scholarship Overlay](#)
 - *Note:* Research is generally defined as a certain practice of scholarship, all research is scholarship. It is commonly understood that research is peer reviewed, although in its pure definition that is not required. For PandT we need peer reviewed work in the scholarly category. Also, all other forms of scholarly work in the scholarly category need peer review, and not just peer evaluation during the PandT process.

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Promotion & Tenure Committee

November 8, 2012 ~ 109 Gilkey Hall Agenda

1. **Position Descriptions** [Henri Jansen]
2. **Untenured Department Chairs – should they participate in the process?** [Becky Warner]
3. **Tenure Clock Extensions and Faculty Handbook Language** [Becky Warner]
4. **Professor of Practice** [Executive Committee]
5. **Senior Instructor** [Executive Committee]
6. **Limit of Exclusion for Collaborators and External Letters** [Fac]

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Promotion & Tenure Committee

December 7, 2012 ~ 10:00 AM
305 Weniger Hall
Joint meeting with the Faculty Status Committee
Agenda

- 1. Professor of Practice, Promotion to Senior II**
 - Information from Wendy Hein
 - Thoughts on Professor of Practice Rank from a College of Ag Sciences Program Perspective (12-03-12) from Russ Karow, Head, Crop & Soil Science

- 2. Above Rank for Non-Tenure Track?**

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Promotion & Tenure Committee

October 3, 2011 ~ 2:30 - 4:00 PM
109 Gilkey
Agenda

1. Introductions and review of committee functions
2. Discuss request and clarification of sections of [P and T guidelines](#) as discussed in EC retreat
3. Talk about work to be done in upcoming year (i.e., goals for committee, meeting times, etc.)

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Promotion & Tenure Committee

May 19, 2011 ~ Noon-1:00 PM
109 Gilkey
Agenda

1. Discussion of participation on University Review discussions with deans/heads. Identify positive/negative experiences and develop guidelines for future participation.
2. Proposed change to P&T Comm. Standing Rules: This committee should have representatives for all existing colleges (and other units?).
3. Proposed change to P&T Comm. Standing Rules: This committee is the "go-to" committee when a candidate requests that the Faculty Senate assign a committee to review external letters for fair and balanced comments in the internal letters.
4. Proposed change to P&T Guidelines: Wording concerning identification of candidates to write external letters – change minimum to 6 and require candidate for P&T to submit a list of potential reviewers.
5. Proposed change to P&T Guidelines: Supervisor can refer to items in the candidate's file when those items are documented and available to the candidate.
6. Proposed change to P&T Guidelines: Add comments concerning the candidate's statement to encourage addressing a more general audience.
7. Discussion of adding wording to the P&T Guidelines concerning early P&T cases
8. Discussion of revising [Letters of Evaluation](#) section

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Promotion & Tenure Committee

April 5, 2011 ~ 109 Gilkey Agenda

1. Review material to be presented to FS dealing with the [guideline changes](#)
2. Discuss upcoming [University Promotion and Tenure Committee representation](#) - what we do
3. A question has come up from COAS - can PhD students participate in unit level P&T committee discussions? Becky Warner would like our opinion on this relative to the existing guidelines.
4. If time permits, we can discuss any comments relative to current college guidelines as revised to adhere to the Handbook guidelines (these were sent previously - I have not gone through them all yet myself so I am not sure how deeply we want to go into this right now).

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Promotion & Tenure Committee

October 7, 2010
4:00PM-5:00PM
Agenda

Committee Membership

Jim Liburdy '11	Mechanical Engineering
Eric Hanson '11	Wood Science & Engineering
Jennifer Field '12	Environmental & Molecular Toxicology
Michelle Kutzler '12	Animal Sciences
Donna Champeau '13	Women's Advancement/Gender Equity
Yanyuo Zhao '13	Food Science & Technology

Proposed Agenda Items for 2010-2011

Related materials linked to the agenda:

Faculty Handbook - [Procedural Guidelines for Promotion and Tenure](#)

1. Revisit the College Guidelines and make it clear that the college committee is to provide an evaluation on merit of qualifications.
2. In the Unit Guidelines provide clearer guidelines on, and give some examples of, "peer evaluation."
3. Should the P&T Guidelines provide a definition of "unit?"
4. Initiate discussion and work toward providing a position statement on evaluation of faculty at the Cascade Campus. Vickie will ask for input from Becky Warner and Ron Reuter and we will set up a meeting with them to discuss the major issues.
5. Initiate discussion and possibly provide a position on "going up early" that may be incorporated into the Guidelines.
6. Provide a position on qualifications for promotion to full professor that may be added to the Guidelines.
7. Modify the Guidelines to be clear about who is invited to the University level review (supervisor, dean or both).
8. Guidelines need to be written that provide details on the process and committee make-up for the review of a dossier as requested by a candidate to assure fair and balanced representation of the outside letters for promotion and/or tenure.
 This request is being made under the provisions of the faculty handbook, specifically those under the section "Access by the faculty member to personnel records files" which states:
 "As described in the University Promotion and Tenure Guidelines (Chapter 8), department supervisors are expected to include in their letters of evaluation a summary of all solicited evaluations -- confidential and non-confidential -- received as part of a promotion and tenure review. The faculty member may enter into the dossier a rebuttal, explanation, or comment for these or any other evaluations in the dossier. Should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's file or dossier to verify that all statements therein have been provided or summarized."
9. There needs to be discussions with the Provost's Office as to why a report on the outcomes of the P&T process for a given year have not been attached to the [annual report](#) of the FS P&T Comm. Vickie will contact them initially to ask about this.
10. The Guidelines should clearly indicate the appeal process beyond the decision of the provost to give a timeline for the response by the president.

11. [Example letters](#) requesting student evaluations in the guidelines should be reviewed.

Jim,

I am writing to ask that your committee consider putting up two model letters for soliciting student involvement in the p&t process:

1. A letter for individual students to provide input
2. A letter asking students to serve on a committee

I have received two inquiries in the past week from people confused about how the one model letter on the website serves both purposes. I have attached two letters used by a unit for the third-year review that does a good job of specifying the differences.

Thanks,
Becky

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Promotion & Tenure Committee

December 1, 2009 – 4 PM
109 Gilkey Hall
Agenda

1. Undergraduate research and its potential impact on P&T
2. Finalize unit level guidelines

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Promotion & Tenure Committee

Promotion & Tenure Committee November 6, 2009 Agenda

1. Discussion of Unit level P&T Committee guidelines.
2. Unit level guidelines for P&T expectations: current practices and needed changes.
3. Guidelines for early P&T considerations?

Meeting Notes: Oct. 2009

This meeting we discussed some issues that were raised in last years annual report from the Faculty Senate P&T committee. This included feedback comments from Becky Warner on this report. The main points are below.

1. It seems advantageous for units to make more clear to candidates what the expectations are of the unit relative to P&T. The nature and extend of this is still up for discussion because of the diversity across the University. Some issues that are thought to be made clear are the quality and extent (numbers and author role) of journal publications; funding (quantitative measures, distinction of sources of funding, role as PI, co-PI); the nature and extent of service both inside and outside of the University.
2. There is a need to better define "low FTE" scholarship contributions. This applies to those individuals who have a scholarship FTE in the range of 20-30%. The issues concern the quality of participation (is a lead role required).
3. A related issue of early P&T considerations. Discussions revolved around the attitude of potential versus actual achievement.
4. The unit level guidelines for P&T committee should be reviewed for consistency with the revised college level committee. This may be especially important with the reorganization and the potential for large units.

Tenure Unit Review and Recommendation

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. The supervisor and the committee will each independently recommend either for or against the candidate's promotion or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit P&T committee is intended to be an independent voice of evaluation that is elected by tenured or tenure track unit faculty. The committee should include at least three members, who are at or above the rank for which the candidate is being considered. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit may be elected by the faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation. The size of the committee shall be decided within the unit to provide fair and equitable faculty representation based on the diversity within the unit, based on criteria such as position description,

area of expertise, programs of study, location, etc.

A separate committee may be chosen for each candidate, or a P&T committee may choose among its members as to who is eligible to vote. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote.

The Supervisor's Role In addition to the information available in the candidate's dossier, the supervisor may also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation may include comments on any information in the candidate's file that is relevant to the

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Promotion & Tenure Committee

January 23, 2009 – 9 AM
109 Gilkey Hall
Agenda

1. Final draft of the PTR guidelines
2. Final draft of the College Comm. guidelines
3. Participation in the Univ. P&T Comm.
4. Unit level P&T committee guidelines.

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Promotion & Tenure Committee

November 21, 2008 Agenda

- 1. College-level review
- 2. Post-Tenure Review document

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Promotion & Tenure Committee

June 2, 2008 Agenda

1. Preparation of Annual report
 - This year's accomplishments
 - Mid-term review process
 - Student input
 - College level process for P&T – statement to Executive Committee
2. Observations from cycle of P&T cases
3. Role of P&T committee members in hearings. Guidance for future members.
4. Draft changes for P&T guidelines at the College level
5. Post – Tenure review draft process based on recommendations of the PTR committee
6. Zabriskie request re: P&T process for Pharmacy

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Promotion & Tenure Committee

October 11, 2007 Agenda

1. Discuss what happened over the summer and the 2007-08 charge
2. [Policy for Mid-term Reviews for Tenure-Track Faculty](#)

Information Item:

1. [2006-07 Annual Report](#)

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Promotion & Tenure Committee

May 29, 2007 - 10:00-noon
109 Gilkey Hall
Agenda

1. Edits to Guidelines
Currently there are four sources, three of which can be dealt with fairly quickly. I will summarize them in a message later today. The [fourth](#) is from Mike Oriard.
On May 30 I will present our edits to the FS exec committee. They will then help develop a plan to facilitate passage through the full senate on June 14.
2. End of the year report
We need to put together an outline of our accomplishments for our report

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Promotion & Tenure Committee

December 5, 2006 Agenda

1. Discuss [attached](#) revisions to the P&T Guidelines

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Promotion & Tenure Committee

September 26, 2006 - 10:00-noon
109 Gilkey Hall
Agenda

1. P&T stakeholders report - Gillies
2. Review of current P&T guidelines - relevent to fixed-term faculty - Nielsen
3. Discussion of needs for new fixed-term faculty guidelines - Nielsen
4. Role of "service" in P&T - influence of definition and proposed alternate models - Nielsen
5. Post-tenure review - Nielsen

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Promotion & Tenure Committee

Promotion and Tenure Committee

February 13, 2006 - 2:00-3:30

358 Kidder Hall

Agenda

1. Promotion and Tenure Survey - Loretta Rielly
2. Post-Tenure Review Process

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Promotion & Tenure Committee

November 21, 2003 Agenda

1. Discussion with Sabah about Post Tenure Review
2. Discussion with Sabah about new student evaluation of teaching forms and the implications with regard to promotion and tenure
3. Next steps with regard to our assignment from Bruce--tackling the reduction guidelines (proposed new version [attached](#)).

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Promotion & Tenure Committee

November 7, 2011 Minutes

1. Becky Warner and Meg Reeves will address questions about definition and examples of conflict of interest. Also need clarification on the definition of unit.
2. Discussion about definition of professional relationships... follow-up on David's draft.
3. College P&T guideline discussion. How do we want to proceed with the review of college P&T guidelines?

Changes discussed and made in P&T document from last meeting:

- As discussed last meeting... we believe that each college should define their own units. "Unit" will be defined as school or department and if that is not present in a given college or center, then "unit" should be defined by the respective dean or director.
- Under College faculty committee review (iii) it is recommended that it be deleted and replaced with "the college P&T committee should follow the same procedures for assessing distinction for all candidates within the college." (added above the review letter paragraph with rest of procedural comments.)

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Promotion & Tenure Committee

April 5, 2011 Minutes

Attendees: Jennifer Field, Eric Hanson, Michelle Kutzler, Jim Liburdy, Yanyun Zhao

1. Upcoming meetings
 - a. Faculty Senate Executive Committee meeting at 11:30 am on Friday (4/8/11) in Gilkey 109 to go over proposed changes.
 - b. Faculty Senate voting on proposed changes on April 14 (Thursday) from 3:00-5:00 PM at the LaSells Stewart Center.
2. The FS P&T Committee reviewed the material going to the Faculty Senate Executive Committee on Friday. The FS P&T Committee went through the highlighted areas and rationales point by point.
 - a. There was some discussion about the composition of the unit committee on Page 2 of 5. The committee decided that the phrase ", excluding the unit supervisor" should be added to the end of the first sentence on this page.
 - b. Some discussion about the sentence: "The Committee should also review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines" found on Page 2 of 5.
 - i. The FS P&T Committee decided to move this sentence to Page 1 of 5 to be the first paragraph under the section "Promotion And Tenure Review Committee" and make the following change: "The supervisor and unit committee should review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines. Dossiers that are incomplete or improperly formatted will be sent back to the candidate and unit supervisor."
 - ii. These two sentences will stand alone as the first paragraph in this section.
 - c. Some discussion about the section "Report to the Candidate" on Page 3 of 5.
 - i. Within the highlighted region, "Also," should be deleted and "as" should be capitalized. This sentence should also begin the second paragraph within this section.
 - ii. At the end of the highlighted section, the following sentence should be added: "The request for this review must be submitted within 1 week after receiving all unit level reviews."
 - iii. Following this sentence, a new (3rd) paragraph should begin for this section.
3. University Level P&T Review
 - a. There was some discussion about how much time should be allocated for reviewing candidates' dossiers before each meeting, with particular attention to the external letters to make sure that they have been summarized in a fair and balanced manner.
 - b. Each committee member should keep notes that can be used in the final report that our committee must prepare for the FS at the end of the year.
 - i. Consistent concerns on processing issues should be passed on to our committee to include in the final report.
 - ii. Notes that contain personal information (e.g. names, etc.) will be shredded to maintain confidentiality.
4. Should a graduate student be allowed to sit on a unit level P&T committee?
 - a. The committee was nearly unanimous (Eric abstained) in a negative opinion to this request because insufficient information was provided to our committee regarding the rationale behind this request.
 - b. The committee would be willing to revisit this question if complete rationale is provided.

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Promotion & Tenure Committee

October 13, 2010 Minutes

Members Present: Donna Champeau, Jennifer Field, Eric Hanson, Michelle Kutzler, Jim Liburdy
Guests: Meg Reeves, University Council, and Becky Warner, Vice Provost for Academic Affairs

The committee began discussion of the current College Committee Guidelines.

1. Discussion began on the extent of the "evaluation" to be included in the College Committee letter since there seem to be some questions regarding this across campus. There was unanimous agreement that evaluation was to include merit of the candidates relative to the P&T process based on the content of the dossier at that point in the process.
2. Further discussion was carried out as to what exactly are the duties of the College Committee evaluation. It was suggested that three areas should be delineated in the evaluation: (i) merit of the candidate's promotion or tenure request, (ii) fairness and uniformity of application of standards across the college, and (iii) completeness of the dossier preparation. This will be considered in a subsequent meeting to see if we want to propose changes to the current guidelines.
3. Relative to the third item above, discussion revolved around at what point should there be thorough evaluation of dossier preparation. It was strongly suggested that this should occur at the unit level with primary responsibility for this at the unit head level.

In addition, the committee and invited participants discussed the definition of "unit" as it is used in the guidelines. Since the University is in the midst of major reorganization and merging of units, the exact definition of unit may vary from college to college. This committee felt that the issues go well beyond the purview of this committee, but that this is a very important issue that needs to be clarified in the very near future. At this point, it was suggested that the words "tenure unit" in the guidelines be changed to "unit". The rationale is that the entire concept of "tenure unit" is vague and, with departments being combined or eliminated in some ways, this term may add confusion.

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Promotion & Tenure Committee

April 5, 2011 Minutes

Members present: Donna Champeau, Kate Field, Eric Hanson, Michelle Kutzler, Jim Liburdy and Yanyuo Zhao

An [agenda](#) was presented.

The committee began discussion of the agenda items with the following points being made. Numbers below refer to the agenda items.

After some discussion it was decided to invite Becky Warner, Vice Provost, to a subsequent meeting to discuss College Guidelines to determine if these guidelines need to be rewritten to clarify the type and nature of the input from the college committees in the P&T process.

#1 – It was decided to revisit the Unit Guidelines to propose that examples of peer evaluation be included. Michelle Kutzler offered to write a draft with input from others.

#2 – There was a short discussion of the definition of "unit" and whether this committee should be involved in proposing a definition. After discussion it was decided that this definition requires a much broader perspective.

#7 – After discussion, it was decided that the current guidelines that state that both the supervisor and dean are brought in by the University Committee for discussion on mixed or negative P&T cases is appropriate.

Other agenda items will be discussed at later meetings.

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Promotion & Tenure Committee

May 19, 2011 Minutes

Voting Members Present: Donna Champeau, Jennifer Field, Eric Hanson, Jim Liburdy, Yanyn Zhao

1. Discussion of participation on University Review discussions with deans/heads. Identify positive/negative experiences and develop guidelines for future participation.
 - a. There seems to be a disconnect between position descriptions and assigned (or volunteered) duties that need to be addressed.
 - b. The question of collegiality and how it may be assessed and used in P&T evaluations seems to be vague and not uniform across the university
 - c. The evaluation of Cascade campus candidates needs to be addressed in terms of the unique set of working conditions (possible lack of nearby colleagues and collaborators, a different student base and course load, etc.).
 - d. The deans and supervisors should be more definitive in their recommendations and stay true to their letters during questioning by the University Committee. There is a sense that they may be putting off a decision onto the Provost rather than providing the input required by their position.
 - e. The selection of external letters may cause problems of providing a fair and balanced assessment. Guidance may be needed in some units in the selection of appropriate reviewers.
 - f. The "impact" of a candidate's work is typically not well documented with regard to papers, grants and forms of scholarship. It is suggested that some guidance to such a statement be presented by the Provost's Office, possible through the forums/workshops presented each year. Such a document may be drafted through the Faculty Senate Promotion & Tenure Committee.
2. Proposed Change to P&T Committee Rules: This committee should have representatives for all existing colleges (and other units?).
 - a. After discussion, it was agreed that next year there be an attempt to fill out vacancies to assure a diverse group, but also that recommendations be given to the Faculty Senate as to which areas may need representation based on anticipated upcoming issues (e.g., if issues that strongly affect extension or clinical candidates arise, then try to have a representative from these areas on the committee). Also, it is strongly encouraged that the committee seek out individuals in specific areas and invite them to meetings, as needed, to gain proper insight based on unit or college "culture." A list of individuals should be maintained by the committee for future access. This list may include former committee members.
3. [Proposed Change to P&T Committee Standing Rules](#): This committee is the "go-to" committee when a candidate requests that the Faculty Senate assign a committee to review external letters for fair and balanced comments in the internal letters.
 - a. The committee recommends that the Faculty Senate Promotion & Tenure Committee be the committee that reviews candidate requests through the Faculty Senate for a separate review of external letters and how they are represented in the unit and college letters. The committee has expertise in reviewing dossiers across the university and can supply a reasonably quick turnaround time for this review.
4. [Proposed Change to P&T Guidelines](#): wording concerning identification of candidates to write external letters – change minimum to 6 and require candidate for P&T to submit a list of potential reviewers.
 - a. This was approved.
5. [Proposed Change to P&T Guidelines](#): supervisor can refer to items in the candidate's file when those items are documented and available to the candidate.

- a. This was approved.
6. Proposed change to P&T Guidelines: add comments concerning the candidate's statement to encourage addressing a more general audience.
 - a. The agreement was that there should be a statement in the guidelines that the candidate's statement should stress the impact the body of work has had both internally and externally.
7. Discussion of adding wording to the P&T Guidelines concerning early P&T cases.
 - a. Not discussed because of time.

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Promotion & Tenure Committee

March 1, 2010 Minutes

Committee members present: Ray Brooks, Michelle Kutzler, Eric Hansen, Jennifer Field, Dwaine Plaza, Jim Liburdy
Guests: Rebecca Warner, Sara Eklund (Academic Affairs)

The meeting revolved around questions the committee had concerning their role in the University review process in P&T decisions. In particular the role as stated in the University Review Guidelines in the P&T process was being reviewed and an understanding of the expected and actual role of the FS P&T representative was discussed.

The University Review Guidelines were reviewed and proposed changes were developed and sent forward for consideration by the EC, see [attachment](#).

The Standing Rules were reviewed and proposed changes were developed and sent forward for consideration by the EC, see [attachment](#).

Discussions continued about whether the Committee has a "vote" during the University review. It was the opinion of Warner that this is not appropriate since faculty have a voice at the unit and college level.

It was asked if the Committee member could have access to dossiers of others being considered within the same college to better assess fairness and balance. This was rejected by Warner saying that it is not the intention to compare individuals, but rather to treat each case on its own merits.

It was suggested that the Committee representative be allowed to provide a hand written form indicating their opinion/concerns for each of the cases as they are voted on by the University Committee. This was accepted by Warner.

It was asked that the Committee representative have access to the questions being sent to the Deans and supervisors prior to the actual meeting. This was approved by Warner.

The Committee requested a tentative schedule for this year's university review meetings to begin planning for identifying representatives. This will be sent by Eklund.

It was requested that Sara send to the Committee a list of all of the identified issues by the Committee members to have to help formulate the Committee's final report. This was accepted by Warner.

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Promotion & Tenure Committee

October 13, 2008 Notes

1. Student Evaluation Letters:

Concern was raised questioning the need of adding this as a requirement to the P&T Guidelines. Rather, should we have the student input through the peer reviewed faculty committee at the unit level which could be in the form of interviews of selected students? Comments were that we may be so far into this process that we do indeed need a legally appropriate direct student input as is in the current document approved by the Senate. No comments were offered at this time as to specific changes to the document as approved by the Faculty Senate.

2. Post Tenure Review (Periodic Review of Faculty PROF):

Discussion revolved around a number of issues and questions that need to be addressed before moving forward on preparing guidelines for implementation. Some specific questions which the committee would like answers on from Becky (or others?):

- a. Is this document consistent with the previous approach of PROF as non-punitive?
- b. Does PROF raise questions as to the definition of tenure and what constitutes conditions leading to removal of tenure which need to be spelled out?
- c. Are all faculty currently being reviewed annually which would be a requirement for the stated process?

3. University-Wide Metrics:

Questions were raised as to how accreditation organizations enter into the definition of such things as FTE equivalents, if in fact we use these on a university-wide basis.

Issues were raised as to unit definitions for P&T evaluation. How do Institutes and Centers provide appropriate input to P&T for faculty with home departments? What is the definition of a unit such that fair, knowledgeable and diverse representation is obtained at the P&T unit committee level?

4. Faculty Representation on University P&T Committee:

Issues and questions were raised regarding the appropriate role of the Senate P&T committee in the University P&T deliberations. Conflict of interest issues arise relative to having the Faculty Senate President as a voting member of the University committee. A suggestion was to have the Senate P&T Committee supply a voting faculty member, which may only participate in conflicted cases, which needs to be defined.

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Promotion & Tenure Committee

Minutes December 11, 2000

1. Lederman will draft a statement/position from the committee concerning Position Descriptions included in the dossier. The DRAFT will include Rakesh's suggestion that the Position Descriptions be typed on department letterhead and signed by the appropriate academic supervisor each year.
2. Each member will each compare the dossier format used in our departments to the format "specified" in the university guidelines. The purpose here is to determine whether dossier formats need to be standardized. If so, we will DRAFT a position on this as a committee.
3. Each member is to read the Commonly Asked Questions section of the web-based guidelines for promotion and tenure to determine if there is any existing vagueness or omitted items.
4. Each member will read the distributed report on Post-Tenure Review policies and make contacts at other universities to determine their policies. The purpose is (and this is one of our official charges to be completed by Spring) to develop a report with our recommendations for how OSU should proceed. It is also possible that we may decide that Post-Tenure reviews are not feasible. I will send a copy of this report to those not in attendance at our meeting.
5. I will make the appropriate contacts to find out the specific individuals from the administration that will be conducting the P & T meetings we will monitor in the Spring. This inquiry is necessitated by all the administrative changes currently taking place.
6. Future Committee Brown Bag meetings are scheduled for February 7 and May 9. These orientation meetings are held 12:00-1:00 PM in MU 206.
7. You will be contacted soon to arrange a date for our next meeting, sometime toward the end of January.

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Promotion & Tenure Committee

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APPENDIX 1

Tenure Unit Review and Recommendation-Draft Proposal

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. Guidelines for dossier preparation and content are provided at <http://oregonstate.edu/facultystaff/handbook/dosguide.html>. The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's

letter of evaluation.

Peer Evaluations

Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process. Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Student Input

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and summarize all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit reviews to add a written statement regarding these reviews, to be included in the dossier. In addition, at any time during the review process the candidate may withdraw his or her dossier.

If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of

resignation.

APPENDIX 2

Standing Rules

(The bolded text indicates approved revisions.)

The Faculty Senate Promotion and Tenure Committee reviews University Promotion and Tenure Guidelines and observes and advises on matters pertaining to the promotion and tenure process. **In promotion and tenure cases where there is a negative or split recommendation at either the unit or college level, the University Promotion and Tenure Committee invites the relevant unit supervisor and college dean for discussion. Representatives from the Faculty Senate Promotion and Tenure Committee will have access to the dossiers and participate in these discussions, although they are not voting members of the University Promotion and Tenure Committee.** The Faculty Senate and Tenure Committee provides input on the promotion and tenure decision process through its annual report to the Faculty Senate Executive Committee and to the Provost's Office. The annual report also includes a summary of the previous year's promotion and tenure actions provided by the Office of the Provost.

The **Faculty Senate Promotion and Tenure** Committee shall consist of six Faculty who have been granted tenure at OSU and who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The **Faculty Senate** Promotion and Tenure Committee provides leadership for campus-wide educational programs related to the promotion and tenure process and facilitates on-going dialogue about these matters. Members of the Committee are available to respond to procedural and interpretive questions from faculty, department heads/chairs, deans and department and college committees.

APPENDIX 3

University Review and Recommendation

Each dossier will be reviewed for completeness by the Vice Provost for Academic Affairs and International Programs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Vice Provost for Academic Affairs and International Programs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation is negative or differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration. While not voting members of the University Administrative Promotion and Tenure Committee, representatives from the Faculty Senate Promotion and Tenure committee will participate in all deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty.

EXECUTIVE SUMMARY
2007 - 2008 PROMOTION AND TENURE REVIEW
OREGON STATE UNIVERSITY

The University Promotion and Tenure Committee began its review of 63 dossiers in March, 2008 and concluded its final meeting on May 7, 2008.

Within this report are tables that summarize requests received and the action taken. The information presented in Table I analyzes the data for the group as a whole. In Tables II and III, summaries are presented for female and minority candidates. The others provide information on promotion by rank and granting of indefinite tenure. They also show totals by college, including information on females and minorities.

The level of agreement among department, college, and University Promotion and Tenure Committees is high and consistent with the pattern noted in recent years. Nineteen individuals were promoted to Professor; 3 to Professor, Senior Research; 22 to Associate Professor, 2 to Associate Professor, Senior Research; 4 to Senior Instructor and 4 to Senior Faculty Research Assistant. Twenty-five individuals were granted indefinite tenure.

The University Promotion and Tenure Committee consisted of the following individuals:

- John Cassady, Vice President for Research
- Sally Francis, Dean, Graduate School
- Becky Johnson, Vice Provost for Academic Affairs & International Programs
- Sabah Randhawa, Provost and Executive Vice President
- Scott Reed, Vice Provost for University Outreach and Engagement, Director of OSU Extension Service

Faculty Observers to the 2007 - 2008 University Promotion and Tenure Committee were drawn from the Faculty Senate's Promotion and Tenure Committee:

- Bill Braunworth, College of Agricultural Sciences
- Paul Farber, Department of History
- Jim Liburdy, Department of Mechanical, Industrial, and Manufacturing Engineering
- Roger Nielsen, Department of Geosciences, CHAIR
- Dwaine Plaza, Department of Sociology
- Maret Traber, Linus Pauling Institute

ANALYSIS BY RANK AND TENURE

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	4	0	n/a	n/a
Senior Instructor	4	0	n/a	n/a
Associate Professor, Senior Research	2	0	n/a	n/a
Associate Professor	22	3	18	3
Professor, Senior Research	3	0	n/a	n/a
Professor	19	1	2	0
No change in rank	n/a	n/a	5	0
Total	54	4	25	3

ANALYSIS FOR FEMALES

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	2	0	n/a	n/a
Senior Instructor	2	0	0	0
Associate Professor, Senior Research	1	0	n/a	n/a
Associate Professor	11	1	7	1
Professor, Senior Research	0	0	n/a	n/a
Professor	5	0	0	0
No change in rank	n/a	n/a	1	0
Total	21	1	8	1

ANALYSIS FOR MINORITIES

Request by rank	Promotion Yes	No	Tenure Granted	Denied
Senior Faculty Research Assistant	1	0	n/a	n/a
Senior Instructor	0	0	n/a	n/a
Associate Professor, Senior Research	0	0	n/a	n/a
Associate Professor	5	1	3	1
Professor, Senior Research	0	0	n/a	n/a
Professor	3	0	1	0
No change in rank	0	0	0	0
Total	9	1	4	1

GRANTED INDEFINITE TENURE

	Total Males and Females	Total Females	Minorities
Academic Affairs & International Programs	0	0	0
Agricultural Sciences	3	2	0
Business	1	0	0
Education	0	0	0
Engineering	4	0	1
Forestry	1	0	0
Health and Human Sciences	3	2	1
Liberal Arts	5	1	1
Oceanic & Atmospheric Sciences	3	0	1
Pharmacy	1	1	0
Research Office	0	0	0
Science	1	0	0
Veterinary Medicine	3	2	0
Total	25	8	4

PROMOTION TO SENIOR FACULTY RESEARCH ASSISTANT

	Total Males and Females	Total Females	Minorities
Forestry	2	0	0
Research Office	2	2	1
Total	4	2	1

PROMOTION TO SENIOR INSTRUCTOR

	Total Males and Females	Total Females	Minorities
Academic Affairs & International Programs	1	1	0
Education	1	1	0
Science	2	0	0
Total	4	2	0

PROMOTION TO ASSOCIATE PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Forestry	2	1	0
Total	2	1	0

PROMOTION TO ASSOCIATE PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	3	2	0
Business	1	0	0
Education	1	1	1
Engineering	2	0	1
Forestry	1	0	0
Health and Human Sciences	3	2	1
Liberal Arts	6	2	2
Oceanic & Atmospheric Sciences	1	1	0
Pharmacy	1	1	0
Science	1	0	0
Veterinary Medicine	2	2	0
Total	22	11	5

PROMOTION TO PROFESSOR, SENIOR RESEARCH

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	1	0	0
Research	1	0	0
Science	1	0	0
Total	3	0	0

PROMOTION TO PROFESSOR

	Total Males and Females	Total Females	Minorities
Agricultural Sciences	2	1	0
Education	1	1	0
Engineering	3	0	0
Forestry	4	1	1
Liberal Arts	3	2	0
Oceanic & Atmospheric Sciences	2	0	1
Science	3	0	1
Veterinary Medicine	1	0	0
Total	19	5	3

ANALYSIS BY RANK FOR PROMOTION (Faculty On Campus vs. Off Campus)

Request by rank	Promotion On Campus Yes	Promotion Off Campus Yes	Promotion On Campus No	Promotion Off Campus No
Senior Faculty Research Assistant	4	0	0	0
Senior Instructor	4	0	0	0
Associate Professor, Senior Research	2	0	0	0
Associate Professor	20	2	2	1
Professor, Senior Research	2	1	0	0
Professor	19	0	0	0
Total	51	3	2	1

ANALYSIS BY RANK FOR TENURE (Faculty On Campus vs. Off Campus)

Request by rank	Tenure On Campus Granted	Tenure Off Campus Granted	Tenure On Campus Denied	Tenure Off Campus Denied
Associate Professor	16	2	2	1
Professor	2	0	0	0
No change in rank	5	0	0	0
Total	23	2	2	1

ANALYSIS BY COLLEGE FOR PROMOTION (Faculty On Campus vs. Off Campus)

Request by rank	Promotion On Campus Yes	Promotion Off Campus Yes	Promotion On Campus No	Promotion Off Campus No
Academic Affairs & International Programs	1	0	0	0
Agricultural Sciences	6	0	0	1
Business	1	0	0	0
Education	3	0	0	0
Engineering	5	0	2	0
Forestry	8	1	0	0
Health and Human Sciences	3	0	0	0
Liberal Arts	8	1	0	0
Oceanic & Atmospheric Sciences	3	0	0	0
Pharmacy	1	0	0	0

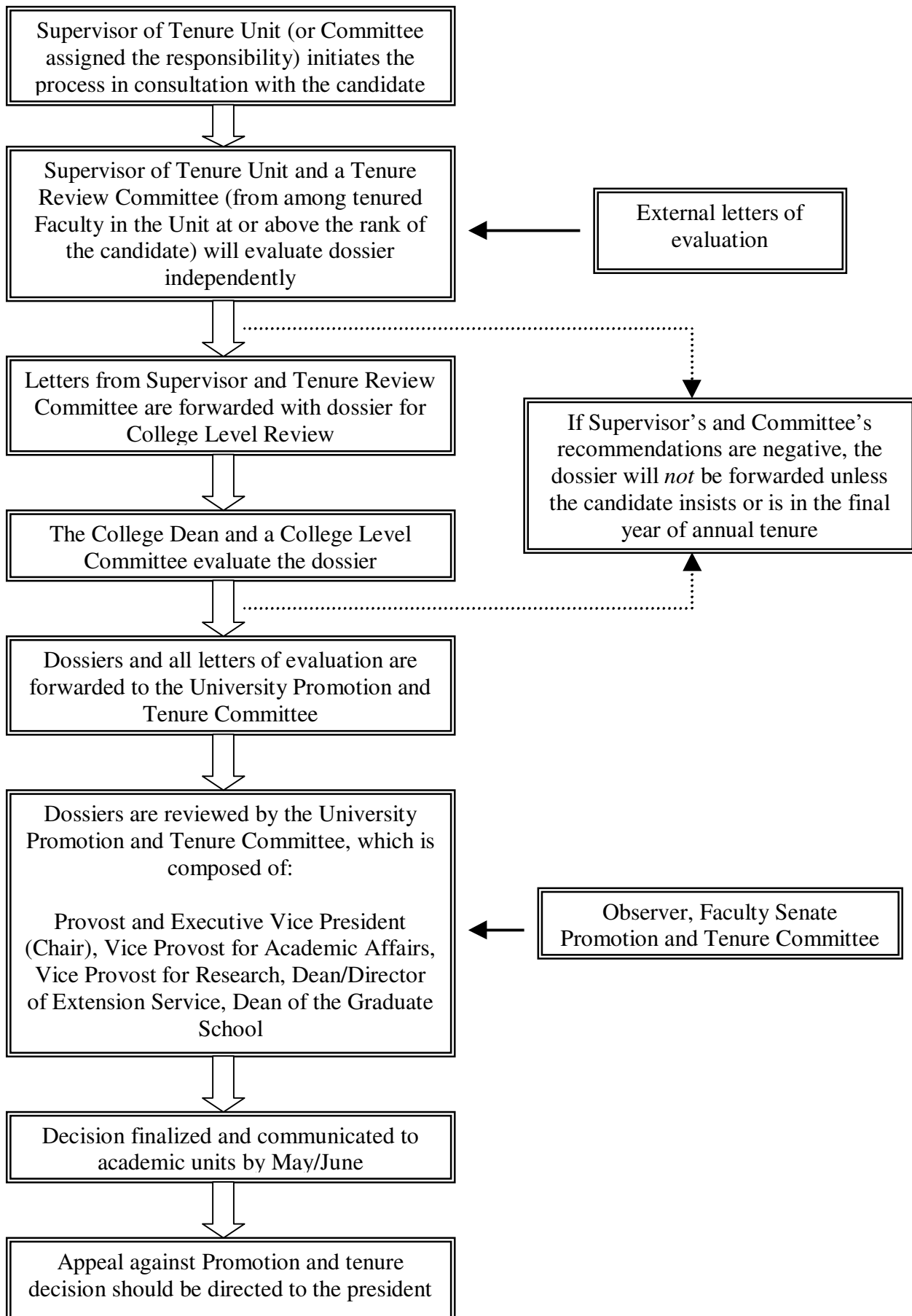
Research Office	2	1	0	0
Science	7	0	1	0
Veterinary Medicine	3	0	0	0
Total	51	3	3	1

ANALYSIS BY COLLEGE FOR TENURE (Faculty On Campus vs. Off Campus)

Request by rank	Tenure On Campus Granted	Tenure Off Campus Granted	Tenure On Campus Denied	Tenure Off Campus Denied
Academic Affairs & International Programs	0	0	0	0
Agricultural Sciences	3	0	0	1
Business	1	0	0	0
Education	0	0	0	0
Engineering	4	0	2	0
Forestry	0	1	0	0
Health and Human Sciences	3	0	0	0
Liberal Arts	4	1	0	0
Oceanic & Atmospheric Sciences	3	0	0	0
Pharmacy	1	0	0	0
Research Office	0	0	0	0
Science	1	0	0	0
Veterinary Medicine	3	0	0	0
Total	23	2	2	1

Appendix J – Overview of P&T Process at OSU: Flowchart

Chronological Sequence of Events in Promotion and Tenure Process



Faculty Senate

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Promotion & Tenure Committee

Microsoft PowerPoint Presentation
November 19, 2002
AIHM Peer Evaluation of Teaching
GRAPHIC VERSION

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Promotion & Tenure Committee Home Page: <http://oregonstate.edu/dept/senate/committees/ptc/>

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College of Agricultural Sciences College P&T Committee Guidelines:

1. Each tenure unit will elect a tenured Full Professor to serve on the CAS P&T committee.
2. All tenured and tenure-track faculty within a tenure unit are eligible to vote to elect the faculty member to the committee.
3. Eligible committee members within a tenure unit include only those that hold tenured Full Professor rank.
4. Committee members shall not be administrators including department heads/chairs or branch station superintendents.
5. At least one member of the Committee should be located off-campus at either a branch experiment station or Extension office.
6. The Committee will elect a chair at its first meeting and annually after that.
7. The Committee may elect an ad hoc member to serve a 1-year term to fill any deficiencies in the committee's composition.
8. Committee members cannot vote at the college P&T committee level on a case from their tenure or budgetary unit. However, committee members may participate in the discussion of these cases.
9. To initiate rotation on this committee, three committee members will serve for three years, three members will serve for two years, and three members will serve for one year. The initial terms will be decided by lottery. After the first rotation, all subsequent committee members will serve 3 year terms. Ad hoc members serve a single year term.

College of Business Faculty Handbook

Section 8 Promotion and Tenure

Quick links:

[8.1 THIRD YEAR PRE-TENURE REVIEW](#)

[8.2 POST-TENURE REVIEW](#)

[8.3 PROMOTION AND TENURE REVIEW](#)

Refer: [OSU Faculty Handbook](#), [Promotion and Tenure Guidelines](#), [Academic Affairs Dossier Guidelines](#) and [Guidelines for Post-Tenure Review of Faculty](#))

8.1 THIRD YEAR PRE-TENURE REVIEW

[Top](#) Refer: [Policy for Mid-term Reviews for Tenure Track Faculty](#) and [Promotion and Tenure Guidelines](#)

Purpose

The primary purpose of the third year, pre-tenure review is to assess each tenure-track faculty member's performance relative to university promotion and tenure guidelines.

Process

Each faculty member on a tenure-track appointment will undergo a third year, pre-tenure review. The review will be carried out during the third year of full service in a tenure-track position at the College of Business. The review will be discussed with each eligible faculty member by the Associate Dean for Faculty during the winter or spring of the academic year prior to the planned review.

The review will consist of the following steps:

1. A dossier will be prepared by the tenure-track faculty member consistent with the Oregon State University [Promotion and Tenure Guidelines](#). The faculty member under review must provide the following documents for the Third Year Review:
 - i. Position Description (current and prior, as appropriate)
 - ii. Candidate's statement
 - iii. Promotion & Tenure Vita.

The initial content and format of the vita is provided by the Faculty Reporting System. The initial report includes sections on Education and Employment, Teaching Assignments and Evaluations, Scholarship Activity, Service and Awards.

 - a. The vita must include information on all research published or presented, all work currently under review, and all work in progress. The faculty member's scholarship information must include:
 - o Complete citations for all publications, including journal articles, books, proceedings, sections in books, monographs, and other

- peer reviewed activities. Non-peer reviewed material must be listed separately.
 - o Identification and brief description of material accepted for publication.
 - o Identification and brief description of material under formal review.
 - o Description of current research projects including research objectives, time lines for activities, resources, targeted journals, review procedures, if any (such as working paper, conference presentation), etc.
 - o Description of research projects planned for implementation within a year.
 - b. The faculty member under review must include a statement of scholarship contribution for each published paper and working paper under review. Descriptions of manuscripts in development can be included.
2. An assessment of teaching will be carried out by the Peer Review of Teaching Team, and a written report of its findings will be made a part of the dossier. Input from outside constituents regarding teaching and curricular activities may be solicited, if relevant. For example, some tenure-track faculty members teach courses in the joint Oregon Executive MBA program in Portland. Performance in these “outside” areas may be relevant to the review.
In addition to its assessment report, the committee may also make specific recommendations regarding improvements to the Assistant Professor’s performance as a teacher.
 3. The College Promotion and Tenure Committee will review the tenure-track faculty member’s record in scholarship. It will prepare a written report of its evaluation of the tenure-track faculty member’s record of performance, including an assessment of progress toward promotion and tenure. The report will be made part of the dossier. The Committee’s evaluation will take into consideration relevant factors such as the tenure-track faculty member’s teaching assignments, service activities, release time in support of scholarship, and level of grant support.
In addition to its assessment report, the Committee will also make recommendations with regard to the tenure-track faculty member’s research program, involving such matters as focus, level of productivity, resources in support of the research program, and strategies for publication.
 4. The Associate Dean for Faculty will review the dossier and prepare a letter of evaluation on all aspects of the tenure-track faculty member’s performance. The evaluation will include an assessment of progress toward promotion. The letter will be added to the dossier. The faculty member under review will be provided a copy of the complete dossier.
 5. The Associate Dean will schedule a meeting with the faculty member to discuss the outcome of the review and initial recommendations. The Chair of the Promotion and Tenure Committee is also invited to participate. The performance of the faculty member relative to university Promotion and Tenure Guidelines will be discussed in the form of a dialogue among all parties present. Promotion and Tenure guidelines and procedures are reviewed to ensure that the faculty member is informed about the process and criteria for evaluating faculty for granting indefinite tenure, or promotion. The faculty member may attach comments, explanations, or rebuttal to the review before signing to indicate that the document is complete. The complete dossier is then submitted to the Dean for review.

6. The Dean and the Associate Dean for Faculty will meet to determine if the tenure-track faculty member is making satisfactory progress toward promotion and tenure.
7. The outcome of the third year, pre-tenure review will be shared with the faculty member under review for comment, and included in the individual's personal file.

Note:

Letters of evaluation should provide evidence of a candidate's record and not merely be letters of endorsement or advocacy. Letters should address both strengths and weaknesses in a candidate's record.

Procedures for the Third-Year Review process:

- Not later than April 15, the Associate Dean for Faculty forwards the dossier of the faculty member under review to the Chair of the Promotion and Tenure Committee. The dossier, at a minimum, will identify all research published or presented, all work currently under review, and all work in progress.
- The Chair of the Promotion and Tenure Committee circulates the dossier to committee members. The Committee will meet to discuss the faculty member's scholarship and progress toward promotion and tenure.
- If there is consensus, one member of the Committee – the Chair, if the number of candidates is reasonably small – prepares a first draft of the letter of evaluation. That letter is circulated to the Committee for its approval; at this point, committee members have the opportunity to suggest whatever changes they feel are appropriate, both as to the substance and presentation of the evaluation.
- If consensus does not emerge, the Chair will convene a personal meeting of the Committee to resolve the disagreements. In the event that convergence does not occur, a majority vote will determine the Committee's recommendation but areas of disagreement will be reflected in the letter of evaluation.

Third-Year Pre-Tenure Review Timeline

Review	Responsible Party	Due Date During Third Year
Dossier	Assistant Professor	February 15
Teaching	Peer Review Team	March 1
Scholarship and overall performance	College Promotion and Tenure Committee	April 15
Overall evaluation	Associate Dean for Faculty	May 1
Outcome	Dean and Associate Dean for Faculty	May 15

Outcomes

If the Dean and the Associate Dean for Faculty determine that the tenure-track faculty member is making satisfactory progress toward promotion, then the faculty member will be encouraged to “stay on track.” A decision that satisfactory progress is being made does not guarantee that the tenure-track faculty member will be promoted with tenure. Based upon exemplary performance and/or years in service at OSU and another university, a tenure-track faculty member could be considered for early promotion.

If the tenure-track faculty member has not made satisfactory progress toward promotion, and deficiencies are not severe, the following actions will take place:

- The tenure-track faculty member will be provided opportunities to work with scholarship and/or teaching mentors.
- The tenure-track faculty member's teaching and scholarship will be reassessed by the Dean and Associate Dean for Faculty during the fourth year of service. If this assessment indicates that the tenure-track faculty member is still not making satisfactory progress, then timely notice will be given to the faculty member at the end of the fourth year.

If the tenure-track faculty member has not made satisfactory progress toward promotion, and the deficiencies are severe, timely notice will be given to the faculty member at the end of the third year.

8.2 POST-TENURE REVIEW

[Top](#)

Purpose

The University recognizes that faculty renewal, development and improvement are of critical importance in its pursuit of excellence. To that end, the University provides for post-tenure review of its faculty to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed upon the award of tenure.

Process

Refer [Guidelines for Post-Tenure Review of Faculty](#)

8.3 PROMOTION AND TENURE REVIEW

[Top](#)

Refer [OSU Faculty Handbook](#), [Promotion and Tenure Guidelines](#) and [Academic Affairs Dossier Guidelines](#)

Process

Refer the [Promotion and Tenure Guidelines](#).

The Associate Dean for Faculty initiates the review of faculty members to be considered for promotion and/or tenure. It is the faculty member's responsibility to provide and gather the data for the dossier in accordance with OSU Promotion and Tenure Guidelines. The Associate Dean for Faculty provides information and guidance regarding the preparation of the dossier. The Associate Dean will ensure that the final dossier is complete and conforms to university guidelines.

Under current University policy, the Associate Dean for Faculty is responsible for asking the candidate to consider signing the voluntary "Waiver of Access to Submitted Evaluation Materials from Reviewers" form prior to beginning the review process.

External letters of evaluation are solicited in accordance with [OSU's Promotion and Tenure Guidelines](#). All external evaluations will be requested and coordinated by the Associate Dean for Faculty.

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and/or tenure. Evaluations from students will be requested by the Associate Dean for Faculty.

A letter from the Peer Review of Teaching Team that summarizes all peer teaching reviews over the evaluation timeframe will be included in the dossier.

The dossier is forwarded to the Discipline committee, which consists of four members at or above the rank for which the candidate is being considered. Members of this committee are identified by the Associate Dean for Faculty and the candidate at the beginning of the academic year. The Discipline committee consists of tenured faculty and under normal circumstances will include strong representation from the candidate's discipline. The Associate Dean for Faculty may also select a tenured faculty member from an Oregon State University college other than business to serve on this committee. Up to two members of the College Promotion and Tenure Committee may be chosen to serve on the Discipline committee. In such cases these members will be recused from the College Promotion and Tenure Committee's review of the candidate.

In the case of promotion to full professor, there will be at least three full professors serving as voting members on the Discipline committee and the College Promotion and Tenure Committee. A maximum of two full professors from the Promotion and Tenure Committee may be chosen to serve on the Discipline committee. In such cases, these members will be recused from the College Promotion and Tenure Committee's review of the candidate. The Associate Dean for Faculty may select and assign full professors from Oregon State University to serve on these committees in order to satisfy the minimum membership requirements for each committee. Prior to such selection, the Associate Dean will meet with the candidate to identify full professors in related fields at Oregon State University, who may be eligible to serve on these committees for the duration of the candidate's review.

The Discipline committee reviews the dossier of the candidate and prepares a letter of evaluation and recommendation to the Associate Dean for Faculty. The Associate Dean reviews the dossier and prepares a letter of evaluation and recommendation to be included in the dossier. The Associate Dean will meet with the candidate to share the outcomes of these reviews. The candidate may add a written statement regarding these reviews, to be included in the dossier.

The dossier is forwarded to the College Promotion and Tenure Committee. The Committee reviews the file, prepares a letter of evaluation and recommendation that becomes part of the dossier, and submits the file to the Dean. The Dean reviews the file and prepares a letter of evaluation and recommendation. The candidate may add a written statement regarding these reviews, to be included in the dossier. The completed dossier is then forwarded for review at the University level.

Notes:

- Letters of evaluation should provide evidence of a candidate's record and not merely be letters of endorsement or advocacy. Letters should address both strengths and weaknesses in a candidate's record.
- The Discipline committee process is intended to ensure that the candidate's contributions to his or her field and program are properly recognized and evaluated.

Procedures:

- Not later than October 15, the Associate Dean for Faculty submits the completed candidate dossier to the Discipline committee.
- Not later than November 5, the Discipline committee prepares a letter of evaluation that is transmitted to the Associate Dean for Faculty.
- Not later than November 15, the Associate Dean for Faculty prepares a letter of evaluation that is forwarded, with the complete dossier, to the Chair of the College

Promotion and Tenure Committee. The dossier also includes the evaluation written by the Discipline committee, and evaluations written by all external reviewers.

- The Chair of the Promotion and Tenure Committee circulates the dossier to committee members. The Committee meets to discuss the candidate's record.
- If there is consensus, one member of the Committee – the Chair, if the number of candidates is reasonably small – prepares a first draft of the letter of evaluation. That letter is circulated to the Committee for approval; at this point, Committee members have the opportunity to suggest whatever changes they feel are appropriate, both as to the substance and presentation of the evaluation.
- If immediate consensus does not emerge, the Chair will convene a personal meeting of the Committee to resolve the disagreements. In the event that convergence does not occur, a majority vote will determine the Committee's recommendation but areas of disagreement should be reflected in the letter of evaluation.
- Not later than January 15, the College Promotion and Tenure Committee prepares a letter of evaluation that is transmitted, together with the entire dossier, to the Dean.
- Not later than February 15, the Dean prepares a letter of evaluation and forwards the dossier to Academic Affairs. The candidate may add a written statement regarding these reviews, to be included in the dossier

Time Lines

June 1	Associate Dean for Faculty initiates review.
July 15	Associate Dean for Faculty solicits external review.
Sept. 15	Target date for outside review completion.
Oct. 15	Associate Dean for Faculty submits the completed dossier to the Discipline committee.
Nov 5	Discipline committee prepares a letter of evaluation and recommendation that is transmitted to the Associate Dean for Faculty.
Nov. 15	Associate Dean for Faculty prepares a letter of evaluation and recommendation and submits the candidate's file to the College Promotion and Tenure Committee.
Jan. 15	College Promotion and Tenure Committee prepares a letter of evaluation and recommendation and forwards the file to the Dean.
Feb. 15	Dean prepares a letter of evaluation and recommendation and forwards dossier to Academic Affairs.

College of Engineering Faculty Status Committee Guidelines

Committee Charge (additional details may be found in the Faculty Status Handbook)

- The Committee provides an independent evaluation of faculty promotion and tenure dossiers to ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates.
- The Committee will prepare a letter with their recommendations which will be added to the dossier prior to the Dean's review.

Committee Composition and Function

1. Each School/Department in the College will elect Committee members from among their tenured faculty in proportion to the number of tenured/tenure-track faculty in the unit at the time of the election. One committee member for each ten tenured/tenure-track faculty; for example, units with 6 to 15 faculty elect one committee member, units with 16 to 25 faculty elect two, and so on. Units with more than one representative must have at least one full professor.
2. Three members will be elected at-large by College faculty from among all tenured faculty; at least two of the three shall be full professors. At least two schools/departments must be represented.
3. Committee members serve a three-year term beginning July 1 except as noted below.
4. During the first election cycle, one member from each unit and one of the at-large members will serve for a one-year term.
5. Committee members are permitted to vote on promotion and tenure only if their rank is at or above the rank for which the candidate is being considered.
6. The Committee members will elect a Chair of the Committee.

Committee Eligibility

1. All tenured faculty at 0.5 FTE or above including school/department heads are eligible.
2. Faculty on sabbatical are not eligible.
3. Faculty are eligible to serve up to two successive terms.
4. Members of the College Committee that previously voted on the candidate's case at the unit level (e.g., serves on the unit-level faculty status committee or school heads) should not vote at the College level.

Committee Elections

1. Each school or department is responsible for coordinating the balloting for their Committee members. All tenured and tenure-track faculty are eligible to vote in the elections.
2. A list of eligible faculty will be circulated to faculty and faculty may request that their name be removed from consideration for the Committee.
3. Balloting must be complete prior to the fourth week of spring term. The faculty receiving the most votes will serve on the Committee, provided the committee composition requirements are met (see above).
4. Each unit forwards the names of faculty eligible, and wishing to serve, for the at-large positions to the Office of the Dean.
5. The at-large balloting will be completed prior to the end of spring term. All tenured and tenure-track faculty are eligible to vote in the at-large election.
6. The three at-large positions will be filled by candidates receiving the greatest number of votes, provided the committee composition requirements are met (see above).
7. Should a Committee vacancy occur, an election will be held at the School/Department or at-large level, as appropriate, as soon as possible in accordance with the procedures outlined above.

**College of Forestry
College-level Promotion and Tenure Committee and
Promotion and Tenure Dossier Guidelines**

I. College-level Promotion and Tenure Committee

PURPOSE

The OSU Faculty Handbook Procedural Guidelines for Promotion and Tenure require each College to maintain a College Promotion and Tenure Committee. The purpose of the College of Forestry P&T Committee is twofold:

(a) The primary role of the College P&T committee is to provide an independent evaluation of dossiers. This evaluation is intended to supplement the evaluations conducted by the Department or Unit Level P&T Committee and the Department Head. According to the Faculty Handbook, the College P&T Committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the College. The reviewers at the college level are to determine whether the departmental-level letters of evaluation fairly assess the merits of the candidate's performance as documented in the dossier. The intent of the Faculty Handbook Guidelines was clarified by the Faculty Senate President and the Vice Provost for Academic Affairs in a memo to faculty dated 10/27/10. The memo stated that "the expectation is that the College level committee will review the candidate's dossier, make an independent evaluation and recommend for or against promotion and/or tenure."

(b) A secondary, but valuable, role of the Committee is to determine what changes, if any, in the dossier could strengthen or clarify the presentation of the candidate's accomplishments.

COMPOSITION OF THE COMMITTEE

- Two faculty members elected from each department and one member elected from off-campus Extension Forestry faculty.
- Tenured, associate or full professors with at least 0.5 FTE in the College are eligible for election.
- College administrators (dean, assistant and associate deans, department heads) are not eligible to serve.

ELECTIONS

- In spring term, the Dean's Office will notify those departments and Extension Forestry whose committee representative's term will expire in the coming July to initiate the process to elect a successor.
- Any faculty member in a position that has a tenure and/or a promotion track appointment (i.e., instructors, faculty research assistants, and professorial rank faculty),

on at least a 9-month contract, and with at least 0.5 FTE in the College are eligible to vote in their respective department or off-campus Extension Forestry elections.

- Off-campus Extension Forestry faculty will elect a representative eligible to serve on the Committee.
- Once the department and off-campus Extension Forestry elections are completed, the continuing and incoming committee members shall elect the chairperson for the next academic year.
- Faculty members are eligible to be elected to successive terms.
- When a vacancy occurs on the committee, an election shall be held to select a representative to complete the term. The election shall be conducted at the Department or off-campus Extension Forestry level in accordance with the seat that is vacated.

TERM

Each member serves a 3 year-term that begins on July 1. The terms of the first committee members shall be staggered, by lot such that 1/3 of the committee membership (2 or 3) expires each year.

REVIEW

Before the end of each academic year, the committee shall review the functions, procedures and composition of the College of Forestry Promotion and Tenure Committee and forward to the Forestry Executive Committee any recommendations for change.

PROCESS

1. Departments initiate documentation and evaluation of materials through their respective committee process, including preparation of a faculty committee evaluation and recommendation letter, and candidate rebuttal if appropriate. The letter of evaluation prepared by the department committee must contain a statement that describes the process used to constitute the committee.
2. The Department Head prepares an independent letter of evaluation and recommendation. The completed and signed dossiers, in the form that they would be submitted to the Provost, are forwarded to College P&T Committee.
3. The College P&T Committee independently evaluates the dossier – including all letters of evaluation and recommendation from the Department Head, the departmental committee, external reviewers, and the student or client representatives; together with any candidate's response to non-confidential evaluations to which they have access.

The outcome of the College P&T Committee evaluation, including the recommendation for or against the proposed promotion and/or tenure action and a vote tally, is conveyed through a letter to the Dean. The letter should reference this administrative memo to document the process used to constitute the committee. College P&T Committee members who have signed department level letters of evaluation shall recuse themselves from votes on these cases.

NOTE: If, in the process of reviewing the dossier, the College Committee identifies concerns with the department-level statements, including if they believe that significant points for or against the candidate have been missed, the Committee writes an internal memo to the Department Head detailing concerns and sends a copy to the Dean as a record of the Committee's concerns and for purposes of

transparency in the review process. This memo will not be retained in the dossier. The Committee also includes in the internal memo to the Department Head any suggested changes that could strengthen or clarify the presentation of the candidate's accomplishments in the dossier.

The Department Head or departmental committee responds by modifying the dossier or by rebutting College P&T Committee comments in writing. The College Committee considers any revisions in the dossier and departmental response as they complete their evaluation.

4. The Dean conducts an executive review with Department Head and candidate, utilizing all letters as the basis for recommendation to the Provost.

II. College Supplemental Guidelines for Preparing the P&T Dossier

Background and Purpose

The **University guidelines** provide the basic direction on the content and format for P&T dossiers and should include these sections in this order:

- I. COVER PAGE
- II. FORM A
- III. CONFIDENTIALITY WAIVER (signed waiver or statement that waiver was not signed)
- IV. POSITION DESCRIPTION
- V. CANDIDATE'S STATEMENT
- VI. STUDENT LETTER OF EVALUATION (as appropriate)
- VII. ADMINISTRATIVE LETTERS OF EVALUATION
- VIII. PROMOTION AND TENURE VITAE
- IX. LETTERS OF EVALUATION
- X. OTHER LETTERS AND MATERIALS (optional)
- XI. CANDIDATE'S SIGNED STATEMENT

The specific content of each of these sections can be found at <http://oregonstate.edu/facultystaff/handbook/dosguide.html>

Supplemental Preparation Guidelines

The following **College guidelines** are supplemental to the University Guidelines and are intended to improve the utility of the dossiers to reviewers at all levels.

1. Complete Dossier: The dossier presented to the College P&T Committee should be a final version with all mandated forms and components as specified in the University P&T preparation guidelines except for the College Committee Letter and the Dean's evaluation. All forms, especially Form A, should be completely filled out and signed. Form A will not have the Dean's signature at this point.

2. Electronic Copies: The dossier must be submitted to the Dean's office in electronic form to facilitate the review process. Use of the .pdf format at this final stage is encouraged. Assembly of the dossier at the department level should use the word processing software preferred by the office staff responsible for assembly of the document.
3. The Department Faculty Evaluation must be signed by all members of the Committee. Electronic signatures are acceptable.
4. Job descriptions: The candidate's current position description is required. If there have been significant changes to the position description these must be briefly described with a table summarizing FTE distribution among primary activities over time. When significant changes have occurred, earlier position descriptions should be included. If significant changes in the PD have not occurred then this should be stated. Statements about position description are to be either included on the position description page separator or on a separate page placed ahead of the current PD,
5. Period of Record: The dossier should be a career document for all ranks and not just include information from the previous evaluation. Accomplishments made at other institutions must be clearly distinguished from those at OSU. For example, the list of refereed journal articles should be subdivided into sections associated with work at OSU and elsewhere.
6. SET Scores: Use the matrix format illustrated below for reporting SET scores for individual instructors.
 - Report results only for Question 2 on SET form
 - Retain the "COF 5-YR AVE" line as a comparator for the instructor's scores. To find the current average, see T:\COF\Reports\SET Reports\ and the appropriate SET 5-year Avg...doc file. Note that the average is different for graduate and undergraduate courses.
 - The instructor's scores by term and course fall beneath the "COF 5-YR AVE."
 - Results should be grouped by specific classes, and then arranged chronologically. (e.g. all the FE xxx together, followed by the FE zzz)
 - Replace a,b,c, etc.. with actual numerical values for instructor (see SET form)
 - In final column use # responses (from the SET report form)/# students enrolled at end of term (from Banner or class rosters). If the latter proves too difficult for past terms, just list the # of responses.

UNDERGRADUATE COURSES TAUGHT (EXAMPLE):

Question 2: The instructor's contribution to the course was:

	Unable To Rate % (#)	Very Poor % (#)	Poor % (#)	Fair % (#)	Good % (#)	Very Good % (#)	Excel % (#)	Median	# Responses
COF 5-YR AVG. (03-08)	1%	0%	3%	7%	24%	33%	33%	5.0	9089
Instructor Term/Year Course									
S04 FE 3xx	a	b	c	d	e	f	g	5.8	8/10
W05 FE 3xx	a	b	c	d	e	f	g	4.5	28/32
W06 FE 4yz	a	b	c	d	e	f	g	5.2	20/24
W07 FE 4yz	a	b	c	d	e	f	g	4.1	19/25
W08 FE 4yz	a	b	c	d	e	f	g	4.6	26/32
SP08 FE 2zz	a	b	c	d	e	f	g	5.2	84/100

GRADUATE COURSES TAUGHT (EXAMPLE):

Question 2: The instructor's contribution to the course was:

	Unable To Rate % (#)	Very Poor % (#)	Poor % (#)	Fair % (#)	Good % (#)	Very Good % (#)	Excel % (#)	Median	# Responses
COF 5-YR AVG. (03-08)	1%	0%	3%	7%	24%	33%	33%	5.3	9089
Instructor Term/Year Course									
F04 FE 5xx	a	b	c	d	e	f	g	5.9	8/8
F05 FE 5xx	a	b	c	d	e	f	g	5.5	6/10
F06 FE 5xx	a	b	c	d	e	f	g	5.2	9/13
F07 FE 6yz	a	b	c	d	e	f	g	4.8	4/13
F08 FOR abc	a	b	c	d	e	f	g	4.6	26/39

7. Reporting of Publications:

- Refereed publications refer to journal or other articles in which the authors submit a manuscript to an editor who conducts a peer review (blind or not). The editor has full prerogative to accept or reject the submitted article. Peer-reviewed articles are those that are subject to review by others for the purpose of improving accuracy, quality, applicability, etc. Editors will only rarely reject these submissions.
- In Review Publications: A candidate may include citations of refereed articles that have been submitted but not yet accepted. The full citation must be included with the notation "(in review, mss submitted xx/xx/xx)", where xx =

date of submission. If a publication has not been submitted to a publisher then it must not be included.

- c. Numbering: All publications within a category (such as refereed, peer-reviewed, books and book chapters, trade and popular articles, reports, etc.) will be numbered from oldest to newest, in reverse order. That is, the newest publication, including those in review, shall be at the top of the list and carry the largest number. The numbering should be restarted in each publication category.
- d. Authorship: Citations will include all authors in the order as published. Names of candidates will not be put in bold, underlined or otherwise distinguished. Clarification of the candidate's role in joint efforts must be provided in the dossier. This can be done individually for each publication as in the example below or by other suitable means, as long as the candidate's role in each publication is clear.

Smythe, Mary and Emil Phunorkin. 2007. Consequences of failed land management experiments on small mammals. *Journal of Irreproducible Results* 35(21-32). [Paper written on Smythe's MS thesis for which I served as major advisor and PI on the grant that supported her]

- 8. Journal Descriptions: The university guidelines mandate some description of the "...stature of the sources..." in which a candidate's scholarship appears. For CoF faculty this should appear in a paragraph at the beginning of the section on refereed journal citations, or separately for any other type of scholarship. This should describe in whatever terms are most descriptive to lay readers why you chose to use specific outlets for your scholarship and something about the nature of the publications and principal audiences. All journals in your list need to be referred to, either by describing them individually, or by grouping their descriptions in some manner. A similar accounting should be included for other types of scholarship. The University definition of scholarship must be carefully consulted.
- 9. Citations of Presentations are to be presented in two separate groups: invited and volunteered. The authors of the presentations are to be in the order as advertised in conference/program literature, abstracts or proceedings. An asterisk (*) shall be attached to end of the name of the person making the presentation. The name of the candidate will not be put in bold, underlined or otherwise distinguished. A foot note to the section will explain that the asterisk marks the presenter. A full citation for the presentation must be included. At the end of the citation the type of presentation (oral or poster) should be identified.
- 10. Grant Reporting
 - a. Funded Grants: A full citation will include all PI's in the order they appear on grant application, year of initial grant award, title of grant, duration of grant, funding source, total amount received and amount attributed to the work of the candidate. All grants, competitive or non-competitive will be included. The competitive nature of all grants should be described. This can be done for each grant individually or by grouping them in some fashion, as appropriate.

- b. Pending or Denied Grant or Contract Proposals: Pending proposals may be included at the discretion of the candidate. Denied proposals may be included if necessary to show effort—consultation with the Department Head is imperative.

College of Health and Human Sciences Promotion & Tenure Committee Guidelines

Function

- Evaluate the dossiers of candidates for indefinite and/or promotion and make recommendations to the Dean.
- Make recommendations to the Dean regarding the promotion and tenure policies of the College.
- Take the lead in working with the Dean and Department Chairs to provide an annual spring workshop for College faculty on the promotion and tenure process, post tenure review, and dossier preparation.

Composition

- One resident* faculty member elected from each department by an election held within the department or resident faculty, one off-campus Extension faculty member elected College-wide by faculty with off-campus Extension appointments, and two at-large members elected by the whole College.
- Tenured, associate or full professors with at least 0.5 FTE in the College are eligible to be elected to the Committee.
- There shall be at least one member at each eligible rank (associate and full professor).
- No department shall have more than two representatives on the Committee at the same time; nor shall there be more than two Committee members with a current appointment in Extension.
- Members of the College Committee shall **not** participate in deliberations, votes, and recommendations at the department level for candidates for indefinite tenure and/or promotion in their department.
- Any Committee member who applies for promotion shall vacate his/her seat on the Committee.
- College administrators (dean, assistant and associate deans, department chairs) are not eligible to serve on the Committee.

Elections

- In the first week of fall term, the Dean's Office will notify those departments and Extension Program whose Committee representative's term is to expire to initiate the process to elect a successor.
- Any faculty member in a position that has a tenure and/or a promotion track (i.e., instructors, faculty research assistants, clinical track, and professorial rank faculty), on at least a 9-month contract, and with at least 0.5 FTE in the College are eligible to vote in their respective

department or Extension program elections and in elections for at-large members.

- The at-large election will follow the department elections. The current Committee chairperson will oversee the election, with support from the Dean's Office. If the chairperson is eligible to be on the ballot, then another Committee member, selected by the Committee, will oversee the election process. When necessary, the

*"resident" includes all on-campus faculty in the department including all faculty with teaching, research, and Extension appointments and responsibilities.

balloting will be conducted to ensure that there is at least one Committee member of each eligible rank.

- Once the department and at-large elections are completed, the continuing and incoming Committee members shall elect the chairperson for the next academic year.
- Faculty are eligible to be elected to successive terms.
- When a vacancy occurs on the Committee, an election shall be held to select a representative to complete the term. The election shall be conducted at the department, Extension program, or College level in accordance with the seat that is vacated. If the vacancy occurs during the academic year, the election will be held at that time. If the vacancy occurs between academic years, the election will be held in the fall in conjunction with the other elections.

Term

- Department and Extension representatives will be elected for terms of 3 years, the College at-large representatives will be for 2 year terms. Terms begin on January 1. The terms of Committee members shall be staggered.

Review

- Before the end of each academic year, the Committee shall review the functions, procedures and composition of the CHHS Promotion and Tenure Committee and forward to the Dean any recommendations for change.

12/04 HHS P&T Guidelines/HHS P&T Guideline Folder
10/05 revised

From College of Liberal Arts Bylaws:

Section 4. Personnel Committee.

1. Functions and responsibilities. The Personnel Committee shall be responsible for the development and review of policy relating to promotion, tenure, and salary. It shall advise the Dean on promotion and tenure actions; it shall report to the Council on matters of policy, including salary.
2. Membership. The Personnel Committee shall consist of seven faculty members elected by the CLA faculty to serve two-year terms staggered so that at least two members shall be elected every year. Only tenured faculty may serve, and faculty may not serve any part of the two-year term during which they are being reviewed for promotion.
3. Selection. To ensure that there are sufficient numbers of full professors as well as representatives of the arts, humanities, and social sciences, the College of Liberal Arts will use the following process of electing members to the college personnel committee.

The number of committee members shall be seven (7) associate or full professors, chosen in the following manner:

- The first three members will consist of full professors who received the most votes in each of the three areas of arts, humanities, and social sciences.
- The next member will be an additional full professor who has received the most votes in any of the three areas.
- The remaining number (3) will consist of either associate or full professors college-wide who have received the most votes.

All committee members will review assistant professors, and only the full professors will review associate professors.

College of Oceanic and Atmospheric Sciences Promotion & Tenure Guidelines

Purpose

The responsibility of the COAS P&T committee is to evaluate the dossiers of candidates going forward for promotion and/or indefinite tenure. After an in-depth four-month review of teaching, service and scholarship, the committee members provide written recommendation to the Dean. At any point during the process, the committee advises the Dean on policies or procedures that require review.

Membership

COAS is unique in two main respects: 1) There are six disciplines in the College (Physical Oceanography, Marine Geology and Geophysics, Chemical Oceanography, Biological Oceanography, Atmospheric Science, and Marine Resource Management); there are no departments and no department heads. All tenure-track and tenured faculty report directly to the Dean. 2) Tenure is granted at the full professor level not at the associate professor level.

Selection:

- Candidates for P&T are determined in the summer. The number of candidates, the discipline of the candidates, and the level of promotion impact the membership of the committee.
- The committee is comprised of voting (tenured) members, non-voting (tenure-track) and students. The average number of members is 12, but varies depending upon how many candidates go forward. A draft of committee membership is distributed to the College in late September requesting input/review from the College faculty. Selection is finalized after discipline approval, Dean's Advisory Council (DAC) approval, and consensus from the faculty.
- Selection ensures that there are discipline representatives on the committee for candidates from a particular discipline who are going forward, and ensures that there are members from other disciplines to offer diverse perspectives.

Process

Committee members prepare three individual reports for each candidate in the following areas: teaching, scholarship, and service. These reports, along with student evaluation letters and a letter from the chair, are presented to the Dean and become part of the dossier for OSU's P&T committee. Tenured and non-tenured faculty vote on individual areas of teaching, scholarship, and service, however, only tenured faculty participate in the final vote for promotion and tenure.

Students participate only in the teaching evaluation portion of the dossier review. Once completed, they are excused and do not participate in the scholarship or service reviews.

College of Pharmacy Oregon State University Guidelines for Review of Faculty

Review for Tenure and Promotion

Following University and American Association of University Professors Guidelines, this review will take place no later than the fall of the faculty member's sixth year as an assistant professor. Earlier reviews may take place for assistant professors who have an outstanding record.

This review will follow University procedures for the preparation of dossiers and will be coordinated by the Faculty Development and Promotions Committee. It is the joint responsibility of the candidate, the committee chair, chair of the candidate's department and the dean to review the most recent university procedures for conducting this intensive review that includes formal student input and review by colleagues and outside reviewers from comparable or peer institutions. The Faculty Development and Promotions Committee and the department chair will write independent letters of evaluation based on the contents of the dossier addressed to the dean.

Dossier preparation: Candidates prepare dossiers according to university guidelines (<http://oregonstate.edu/facultystaff/handbook/dosguide.html>).

The supervisor of the tenure unit and a Faculty Development and Promotions Committee formed from among the faculty within the unit independently evaluate the materials in the candidate's dossier. The duties of each are described in the following two sections.

Committee role: The College Faculty Development and Promotions Committee is an independent voice of evaluation that is identified within the college whose membership is determined by a transparent process approved by the tenured and tenure-track faculty. The committee is comprised of a subset of tenured faculty and clinical-track faculty, appointed by the Dean and approved by a vote of the entire faculty. The committee has equal representation from the two departments. The composition of the committee provides representation to evaluate effectively the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. The committee includes at least three voting members; ad hoc members of the committee who are external to the College are added by faculty vote when necessary. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may

vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level. The college faculty committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college.

The letter from the College Faculty Development and Promotions Committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

Supervisor's Role: In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Peer Evaluations: Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process. Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines <http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Student Input: As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines <http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Unit Letters of Evaluation of the Candidate: The letters from the supervisor and the Faculty Development and Promotions Committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and summarize all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate: The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit reviews to add a written statement regarding these reviews, to be included in the dossier. In addition, at any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College of Science Promotion, Tenure, and Personnel Committee

The College of Science has established a Promotion, Tenure, and Personnel Committee. The principal duties of this group will be to review promotion and tenure cases from the College in January and February of each year, in accordance with Faculty Senate guidelines (see appendix). At the request of the Dean, the Committee may also be asked to provide advice on issues of faculty compensation, raises, and other personnel issues.

The Committee will include 9 members. A minimum of five members must hold the rank of Full Professor. Six members will be from the broad disciplinary groups in the College, representing fields of chemistry; mathematics or statistics; physics; earth sciences; ecological, organismal and evolutionary life sciences; and molecular and cellular life sciences. The other three members will represent the College at-large. The senior member of the committee will serve as chair. Members will serve for three year terms, with the terms staggered so about 1/3 of the committee rotates off in any given year.

All tenured faculty members who hold at least a 0.50 FTE appointment in the College will be eligible to serve, including Department Chairs. Members may serve two consecutive terms. Participation in the committee is an expected duty for tenured members of the faculty.

Members may not serve any part of a three-year term in which they will be considered for promotion or tenure. Members will recuse themselves from discussion and voting on any case in which they are a signatory on a unit-level letter of evaluation or if they have any other reasonable conflict-of-interest.

All tenure and tenure-track faculty with any COS FTE will be invited to vote in elections for the committee. The elections will ideally be held in Spring of each academic year; if not held in the Spring, they will be held during the Fall term. The membership of the committee will be selected as:

- The first five members will consist of full professors who received the most votes in five of the six core disciplinary areas
- The other members of the committee will be associate or full professors who receive the most votes and who provide missing expertise on the committee.
- All committee members will review assistant professors, and only the full professors will review associate professors. All members of the committee will review instructors and faculty research associates.
- Members may be excused for travel or sabbatical schedules in a given year and need not be replaced, if the committee maintains a minimum of seven members and all disciplinary areas are represented. Or they may be replaced for the year in question by the professor receiving the most votes who is of the same rank as the excused member and who provides the needed expertise.

The expectation is that the College committee will review the candidate's dossier, make an independent evaluation, provide a discussion of strengths and weaknesses of the case, and recommend for or against promotion and/or tenure.

Appendix A: Faculty Senate Revised Guidelines College Review and Recommendation.

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is intended to be an independent voice of evaluation that is elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college.

The college faculty committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college. The reviewers at the college level are to determine whether the departmental-level letters of evaluation fairly assess the merits of the candidate's performance as documented in the dossier. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines. The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier."

College Promotion and Tenure Committee						
Members are elected by the faculty, with requirements for distribution of expertise and that at least five members hold the rank of Professor						
Area:	June, 2010	June, 2011	June, 2012	June, 2013	June, 2014	June, 2015
Chemistry	Rich Carter	Rich Carter	Rich Carter			
Mathematics and Statistics	Adel Faridani	Adel Faridani	Adel Faridani			
Physics	Henri Jansen	Henri Jansen	Henri Jansen			
Earth Sciences	Dawn Wright	Dawn Wright				
Ecological, organismal and evolutionary biology	Steve Arnold					
Molecular and cellular biology	Andy Karplus					
At large	Robert Higdon					
At large	Larry Flick	Larry Flick				
At large	none this year					

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I. PREAMBLE:

Mission of the College

The College of Veterinary Medicine and Oregon State University serve the people of Oregon, the Nation, and the world through education, research and service.

- **Education** – The College is committed to providing excellent educational programs which lead to students attaining an undergraduate background in animal health, an advanced degree (Masters or PhD), or a Doctor of Veterinary Medicine degree. Through both didactic and clinical settings, the College provides students with opportunities in a wide variety of species that provide the skills and knowledge to enter veterinary practice or other veterinary fields, to enter advanced training in a discipline or species specialty, and to be accepted in advanced graduate programs.
- **Research** – Through clinical and basic research, the College advances human and animal health and welfare in areas of particular importance to the State of Oregon and the Nation and supports graduate degree programs and scholarly activity of the Faculty. The College communicates new research outcomes to the scientific community, veterinary profession and others who may benefit from the information.
- **Service** – The College provides services to the people of Oregon and the Nation through three unique programs: Extension, the Veterinary Teaching Hospital, and the Veterinary Diagnostic Laboratory.
 - Extension The College provides services to the people of Oregon through Extension programs which provide continuing education and expertise to practicing veterinarians, livestock producers, animal owners and Extension agents regarding issues of production medicine, food safety, and animal health and welfare.
 - Veterinary Teaching Hospital The Veterinary Teaching Hospital provides primary health care for animals locally and referral care for animals in Oregon and the region, participates in the education of veterinary students through clinical training, develops new diagnostic and therapeutic techniques for veterinary care, and provides consultation service to practitioners and clients.
 - Veterinary Diagnostic Laboratory The Veterinary Diagnostic Laboratory provides a wide range of animal disease diagnostic services to veterinarians, livestock producers, pet owners and biomedical researchers in the state of Oregon and the region. The Veterinary Diagnostic Laboratory is committed to providing accurate results in a timely fashion to its clientele and sharing in the education of future veterinarians by providing instruction in the techniques of laboratory diagnostic medicine to students of the College.

II. THE DEAN

- A. The Dean is the chief executive officer of the College and is responsible to the Provost for its administration. The Dean is the agent of the College Faculty for the execution of College educational policy.
- B. In the discharge of the duties of this office, the Dean shall:

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1. Call meetings of the College Faculty at such times as the Dean or the Faculty Advisory Committee may deem necessary but not less frequently than once in the fall, winter, and spring quarters, and preside at such meetings.
2. Formulate and present policies to the Faculty for its consideration.
3. Report to the Faculty on the work of the College.
4. Oversee the registration and progress of the students in the College.
5. Be responsible for the use and assignment to College units of space allocated to the College.
6. Serve as the medium of communication (i.e., in person or by proxy) for all official business of the College with other campus authorities, the students and the public.
7. Represent the College in conferences, except that additional representatives may be designated by the Dean for specific conferences.
8. Recommend the appointment, reappointment, non-reappointment, and promotion of Faculty.
9. Consult with Department Heads, the Cabinet and the Faculty Advisory Committee in the preparation of the budget of the College and in proposing numbers of students to be admitted.
10. Appoint and utilize such advisory committees as he/she may wish.
11. Have signatory authority for all funds within the College, including Education and General, Foundation, and other State funds.
12. Serve as Unit Director of AES Funds and determine distribution and use.

III. THE FACULTY ADVISORY COMMITTEE

A. Composition and Election of the Faculty Advisory Committee

1. The Faculty Advisory Committee shall consist of four Faculty of the College, plus the Dean of the College as an *ex officio* member. Two of the faculty members will be from the Department of Clinical Sciences, and two from the Department of Biomedical Sciences. One member from each department shall be elected on odd years and the other on even numbered years of the calendar. The committee will elect a faculty member to serve as chair. In addition to the two elected departmental representatives, each Department will have an alternate representative for the Faculty Advisory Committee. This alternate will attend meetings as a voting member when his/her departmental representative(s) are not able to attend. The alternate will be the most recent ex-representative from each Department, providing the person is affirmed in a Departmental election held annually for this purpose. If the most recent ex-representative is not affirmed, a separate election will be held by the department to name the alternate.
2. Elections shall be held each year for two-year terms, effective at the beginning of the fall academic quarter. Voting Faculty with the rank of assistant professor, associate professor or professor are eligible for election and may serve no more than two successive terms at a time.

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3. Election of the Faculty Advisory Committee of the College shall be by secret written ballot, which may be administered electronically. Departmental primary elections will be held to select two nominees each from Clinical Sciences and Biomedical Sciences. Those nominated and willing to serve will be placed on a final ballot. The nominee from each department who receives the greatest number of votes in a departmental election will fill the vacant position(s) in the Faculty Advisory Committee assigned to that department.

B. Functions of the Faculty Advisory Committee

1. The Faculty Advisory Committee shall be advisory to the Dean on formulation and execution of College policies and transacting such business as may be delegated to it by the Faculty.
2. The Faculty Advisory Committee will serve as the “committee on committees” by:
 - a. In June of the succeeding calendar year, submit to the faculty calls for nominations and present slates of candidates for all elections of persons to those standing committees of the College listed in Section VI.B.1.
 - b. Nominate candidates to fill temporary vacancies; also, the Committee may be consulted by the Dean about the appointments of other committees. It is the responsibility of the respective committee chairpersons to notify the chairperson of the Faculty Advisory Committee immediately when a vacancy on his/her committee arises.
 - c. Periodically review the size, composition, terms of members, and charge of College committees and recommend changes to the Faculty. In order to optimize and facilitate communication between departmental and College committees, it is recommended that, in cases where a departmental committee has a charge that is similar to that of a College committee, at least one member of the respective departmental committee also serve on the College committee.
3. The Faculty Advisory Committee members shall keep their respective departmental faculties informed of activities of the Committee.
4. The Faculty Advisory Committee and Cabinet are encouraged to meet jointly at least once a year to advise the Dean on policy, budgetary and general personnel matters.

IV. THE CABINET

- A. The Cabinet is composed of the Department Heads, the Director of the Diagnostic Laboratory, the Director of the Veterinary Teaching Hospital, the Associate Dean(s), the Chair of the Faculty Advisory Committee, the business manager, the Executive Assistant to the Dean, and others appointed by the Dean to advise and assist in the general management of the College. The Cabinet also serves as a channel for unit reports to the Dean and for dissemination of information from the University Administration. It is the Dean’s prerogative to establish and determine the membership of the Cabinet.
- B. Either the Faculty Advisory Committee or the Cabinet can request further joint meetings to advise the Dean.
- C. With the exception of bylaws and policies relating directly to curriculum, admissions, and academic standards, all policies will be subject to review and approval by the Cabinet.

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V. THE FACULTY

A. Membership and Voting Rights

1. The voting Faculty of the College shall include the following: Those who hold an academic appointment within the College, with at least a 0.5 FTE for 9 months of the year, with the rank of instructor, assistant professor, associate professor, or professor.
2. Visiting, courtesy, adjunct and *emeritus* faculty members of the College shall be accorded voice but no vote in Faculty meetings or elections.

B. Powers and Responsibilities

1. To establish rules for the conduct of its business.
2. To assist in the internal governance of the College and the establishment of procedures and policies as stated in these bylaws.
3. To review and approve policies relating to curriculum, admissions, and academic standards. Such approval may occur by electronic ballot, in which case at least one third of voting Faculty must submit valid ballots and a simple majority of these must be in favor of approval.
4. To elect the Secretary of the Faculty.
5. To determine the composition of committees except as herein specified for the conduct of Faculty business and to assign functions and responsibilities to them.
6. To assign additional functions and responsibilities to the Faculty Advisory Committee of the College.
7. To establish the academic and admissions policy of the College falling within the scope of its programs, including the determination of its curricula and making recommendations on matters of educational policy relevant to the College but which fall under the jurisdiction of other bodies

C. Meetings

1. Presiding officer - The Dean or his designee shall be the presiding officer of meetings of the Faculty.
2. Secretary - The Secretary of the Faculty shall be elected annually by and from its voting members, and may serve successive terms. The announcement for the last regular meeting of the Faculty in the academic year shall include a nomination by the Faculty Advisory Committee for the position; additional nominations may be received from the floor.
3. Regular meetings - The regular meetings of the Faculty shall be held at least once during each of the fall, winter, and spring quarters during the academic year, with the dates to be fixed by the Dean and announced at the beginning of each quarter. At least ten calendar days prior to each regular meeting the Secretary shall issue a call for agenda items.
4. Special meetings - Special meetings of the Faculty may be called by the Dean, by the Faculty Advisory Committee or by resolution adopted in a regular meeting of the

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Faculty. Also upon receipt of a written petition of ten or more voting members of the Faculty, the Dean shall call a special meeting within ten calendar days. The discussion and action at a special meeting shall be confined to the items listed in the call.

5. Emergency meetings - The Dean and the Faculty Advisory Committee may call an emergency meeting without written notice.
6. Notice of meetings - At least three working days prior to a meeting, the Secretary shall provide to the academic staff written notice and agenda of each regular and special meeting.
7. Agenda and order of business - Items may be placed on the agenda of a meeting by the Dean, by the Faculty Advisory Committee, or by petition of a person or persons entitled to vote. The order of business shall be determined by the Dean.
8. Minutes - The Secretary shall record and preserve minutes of all meetings, and distribute them to the Faculty.
9. Quorum - A quorum of the Faculty shall consist of one-third of the people entitled to vote.
10. Attendance at meetings - All academic employees of the College are encouraged to attend all meetings of the Faculty. Visiting, courtesy, adjunct and *emeritus* Faculty members are invited to attend. All in attendance shall feel free to discuss all matters brought before the group.
11. Visitors - Except as limited below, persons who are not academic employees of the College may attend meetings as observers to the extent that physical facilities permit.
 - a. Observers may, with the consent of a majority vote of the assembly in attendance, be given the right to speak on any matter before the body for no more than five minutes.
 - b. The Faculty, by a majority vote of those present at any meeting, may determine that any item on the agenda shall be considered in executive session. Only voting members shall be present in executive session.
12. Parliamentary aspects - *Robert's Rules of Order, Newly Revised*, shall govern meetings of the Faculty, when not in conflict with these Bylaws or the University Statutes. The Dean may appoint a parliamentarian to advise him and the Faculty on questions of procedure.

VI. STANDING COMMITTEES

- A. Committee Membership: Membership on standing committees is considered a duty of all professorial faculty, irrespective of rank and tenure status. Concurrent membership on more than two committees or concurrent service as chair on more than one committee is discouraged.
- B. Committee Reports: Committees are expected to report their activities at least once a year to the Faculty. If this does not occur in the normal course of a committee's activities, it should present an oral report at the spring meeting of the Faculty and submit a written report before September 30, to the Secretary of the Faculty. These reports shall

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be distributed from the Dean's Office, under the supervision of the Secretary of the Faculty, and acted on by the Faculty at its fall meeting.

C. Standing Committees:

1. Standing committees nominated by the Faculty Advisory Committee:

- a. Honors, Awards and Scholarships (D)
- b. Courses and Curriculum (E)
- c. Animal Welfare and Ethics (F)
- d. Admissions (G)
- e. Library and Instructional Technology Committee (H)
- f. Graduate (I)

2. Other Standing Committees:

- a. Promotion and Tenure (J)
- b. Research (K)
- c. Student Progress (L)
- d. Occupational Safety (M)

D. Honors, Awards and Scholarships Committee

1. Committee Membership: The Faculty Advisory Committee will nominate two members from each Department for approval by the Faculty of the College for two-year (staggered) terms. Members of the committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. The Associate Dean for Student and Academic Affairs and Executive Assistant to the Dean will serve as *ex officio* members of the committee. The Associate Dean for Student and Academic Affairs will also be a voting member of this committee in the event of a tie. The committee shall elect a chairperson from among the Faculty members serving on the committee.
2. Committee Charge: The committee is charged with selecting recipients of honors, scholarships, awards and prizes from the College's students, staff and faculty, after reviewing the established criteria for each award and nominations from appropriate persons or units within the College. The committee also will be advisory to the Dean regarding the institution and acceptance of new awards, scholarships and prizes.

E. Courses and Curriculum Committee

1. Committee Membership: The committee shall consist of six faculty members, three from each department with staggered terms; four veterinary medical students, one elected from each class; and the Associate Dean for Student and Academic Affairs (*ex officio*). The Department Heads, other Associate Dean(s) and the Dean are not eligible to serve.
 - a. Faculty members are nominated each year by the Faculty Advisory Committee and approved by the Faculty to serve three-year staggered terms. Thus, two are to be elected each year. Committee members may serve multiple terms, but will be limited to a maximum of two consecutive terms.
 - b. Student members and alternate members are elected by the students of each class and approved by the Dean. The non-voting student members are advisory to the committee.

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- c. The first meeting of each new academic year shall be called by the Associate Dean for Student and Academic Affairs, at which time the committee shall elect a chairperson from among the faculty members serving on the committee.
 2. Committee Charge: The Courses and Curriculum Committee shall examine and make recommendations to the Faculty concerning appropriate action on educational policy matters including:
 - a. Requirements for award of the DVM degree.
 - b. Ongoing revision of the structure and content of the professional curriculum.
 - c. Initiation or discontinuation of courses included in the curriculum.
 - d. Grading and examinations.
 - e. Review and evaluation of experimental educational programs, before and after implementation.
 - f. Review and approval of all courses offered by the College.
 - g. Outcomes assessment of the DVM educational program.
- F. Animal Welfare and Ethics Committee
1. Committee Membership: Membership on the Committee will consist of two faculty members from each department nominated by the Faculty Advisory Committee and approved by the Faculty for two-year staggered terms, and a veterinary student member, elected by the student body for a two-year term. Department Heads, Associate Dean(s) and the Dean are not eligible to serve. The Associate Dean for Research and Graduate Education and the Associate Dean for Student and Academic Affairs will serve as *ex officio* members. Members of the committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. The committee shall elect a chairperson from among the faculty members serving on the committee. An initial meeting is required within the first month of the academic year to plan and set the agenda for the year.
 2. Committee Charge: The committee will be responsible for advising the Dean, Faculty Advisory Committee and Faculty on issues and policies regarding matters of animal welfare, ethical conduct related to all animal welfare issues that fall under the College's jurisdiction, and compliance with Federal, State, and other regulations pertaining to animal care and use.
 3. The Committee reviews and develops policies and procedures to help insure that animals owned by the College, and those under the College's care, are treated humanely and that the College is in compliance with the Animal Welfare Act and the Public Health Service policy on Humane Care and Use of Laboratory Animals. The committee also encourages the ongoing evaluation of the use of alternatives for live animals in teaching and research and will encourage changes which are to the best benefit of the College. All such matters pertaining to animal welfare and ethics, including concerns raised by faculty, staff, students or the public, should be brought to the attention of the Committee for review and recommendation.

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G. Admissions Committee

1. **Committee Membership:** The committee shall consist of six faculty members, three from each department with staggered terms. Faculty members will be nominated each year by the Faculty Advisory Committee and approved by the Faculty to serve a three-year term. The Associate Dean for Student and Academic Affairs also will serve on the committee (*ex officio*). The committee shall elect a chairperson from among the faculty members serving on the committee. Members of the Committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. Department Heads, Directors, other Associate Dean(s) and the Dean are not eligible to serve.
2. **Committee Charge:** The Admissions Committee shall review and select Oregon, WICHE, and non-resident applicants for recommendation to the Dean for admission to the DVM program. An alternate list of applicants shall also be selected.
3. When requested, the Admissions Committee shall advise the Office of Admissions and the Office of the Registrar on the Corvallis campus of Oregon State University regarding applicants for admission to the veterinary curriculum.

H. Library and Instructional Technology Committee

1. **Committee Membership:** Membership on the committee will consist of two faculty members from each department nominated by the Faculty Advisory Committee and approved by the faculty for staggered two-year terms, and one student member elected by the student body for a two-year term. Also included in the membership as *ex officio* members will be the College's Associate Dean of Student and Academic Affairs, Librarian, and the Information Services Administrator. Members of the committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. The committee will elect its chair from the faculty members annually. An initial meeting is required within the first month of the academic year to plan and set the agenda for the year.
2. **Committee Charge:** The committee will be responsible for advising the CVM librarian on library acquisitions, management of current holdings, and circulation policies. The committee will also be responsible for reviewing the information technology for the instructional mission for the College. This would include recommendations for technology associated with student instruction. The chair of the committee will forward recommendations to the Dean.

I. Graduate Committee:

1. **Committee Membership:** Membership on the Committee will consist of two faculty members from each department, nominated by the Faculty Advisory Committee and approved by the respective departmental faculty for two-year staggered terms. Members of the Committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. The Associate Dean for Research and Graduate Education will serve *ex officio* on the Committee.
2. **Committee Charge:** The Committee will review applications for admission into departmental graduate programs and conduct annual reviews of the progress of enrolled graduate students. The Committee is advisory to the academic department

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heads, the Associate Dean for Research and Graduate Education, and the student advisory committees.

J. Promotion and Tenure Committee

1. Committee membership: Each department shall elect a maximum of two faculty members with the rank of tenured full professor to two-year staggered terms on this committee. In each subsequent year, one full professor will be elected to a two-year term on this committee. If needed, tenured associate professors may serve on the committee and vote on assistant to associate professor candidates. Any vacancy on this committee due to resignation or retirement will be filled for the unexpired length of that term of membership by departmental election. Vacancies by members who are on disability or sabbatical leave shall be filled by departmental election until such time as the missing member returns. The election process in each department shall be determined by the Faculty of that department.
2. Each full professor will be considered for membership on this committee only in the department in which he or she is granted tenure. Department Heads, Acting Department Heads, Associate Dean(s), and the Dean are not eligible to serve. Eligible faculty members may serve consecutive terms on this committee. The committee shall elect a chairperson of the Promotion and Tenure Committee.
3. This committee shall be responsible for the review of promotion and tenure documents submitted to the Dean's office by each of the departments in the College and for making recommendations to the Dean on the disposition of each of the individuals being considered for promotion and/or tenure. The recommendations shall be in writing and shall include voting results. The College Promotion and Tenure Committee letter of recommendation shall be included in the dossier.
4. This committee will review all faculty recruitments being considered at or above the rank of associate professor, irrespective of tenure status, and will make recommendations to the Dean concerning the appropriate appointment rank of candidates.

K. Research Committee

1. Committee membership: The Research Committee shall consist of six faculty members, three each from the Department of Clinical Sciences and the Department of Biomedical Sciences, with the Associate Dean for Research and Graduate Education as an *ex officio* voting member. Members of this committee shall be appointed by each department head with the concurrence of the Dean of the College for two-year staggered terms. Annually, each department head of the College shall provide the Dean with a panel of three names from which a replacement for the retiring departmental member will be appointed. Members of the committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. The committee shall elect a chairperson of the Research Committee. It is the Dean's prerogative to establish and determine the membership and duties of the Research Committee consistent with the stated missions of the College.
2. The Research Committee shall advise the Dean concerning the research facilities and programs of the College. Additionally, this committee shall provide peer review and recommendations for prioritization of applications for research grants in which the

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funds to be allocated are exclusively from monetary resources available within the College.

3. The Research Committee shall report its activities at least once a year to the Faculty. Such reports will include the disposition of research funds, utilization of research facilities and progress in the development of College programs.

L. Student Progress Committee:

1. **Committee Membership:** The Dean of the College will appoint six members to the committee, each of whom will serve staggered two-year terms. Two new members will be appointed annually. Members of the committee may serve multiple terms, but will be limited to a maximum of two consecutive terms. Annually, the Committee will elect a chair. The Associate Dean for Student and Academic Affairs will serve as *ex officio* member of the committee and cast a vote in case of a tie.
2. **Committee Charge:** The committee will make recommendations or decisions on issues relating to the progress of veterinary students including but not limited to: progression, remediation, dismissal, reinstatement and graduation. The committee works with the Associate Dean for Academic Affairs to identify and aid students whose performance is marginal or unsatisfactory. Specific tasks may include the following:
 - a. Provide counseling and recommend remediation for all students who receive a grade lower than a C- in a didactic, clinical, or elective course, consistent with the Academic Standards policy.
 - b. Meet with the instructor of any student performing at an unacceptable level and devise a plan for remediation.
 - c. Identify any non-academic factors or extenuating circumstances, which may be influencing the performance of a student.
 - d. Make decisions concerning academically deficient students as to remediation, dismissal, or reinstatement.
 - e. Review plans for remediation submitted by academically deficient students, meet with each student and discuss the plan, explain the reason for dismissal or actions that are to be taken.
 - f. Provide counseling to other students with academic problems identified by the instructor, the Associate Dean, or the students themselves.

M. Occupational Safety Committee:

1. **Committee Membership:** Membership of the Committee will consist of the College Safety Officer, Director of the Veterinary Teaching Hospital, and four additional faculty or staff members. The OSU Biological Safety Officer will be invited to serve on the Committee *ex officio*. The College Safety Officer and four additional members will be appointed annually by the Dean and hospital director, respectively.
2. **Committee Charge:** The Committee will monitor compliance with laboratory and other safety regulations and confirm that College personnel receive required training in occupational safety. The Committee will tour the teaching hospital as necessary and make recommendations concerning compliance with relevant occupational safety standards. Annual research laboratory inspections will be carried out by the OSU

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Biological Safety Officer and the College Safety Officer. When necessary, the Committee will consult with other College standing committees.

VII. THE HEAD OF THE DEPARTMENT

- A. The head is the chief executive officer of the department and is responsible for its administration.
- B. In the discharge of his/her duties, the head of the department shall:
 1. Be responsible for the execution of departmental, College and University policies and shall have general direction of the departmental activities.
 2. Consult with the departmental faculty in the formation of departmental policies.
 3. Regularly call meetings of the departmental faculty and staff for explanation and discussion of educational procedures, research programs and policies and activities of the department, College and University.
 4. Report on the teaching and research of the department, and have general supervision of departmental courses, instructional assignments, and interns, clinical fellows, and residents in the department.
 5. Be responsible for maintaining high standards of scholarship in the department and efficient progress in departmental programs.
 6. Conduct annual evaluations of faculty and oversee annual evaluations of staff, consistent with College and University policy.
 7. Consult annually with the appropriate departmental committee regarding faculty promotion and tenure matters.
 8. Be responsible for initiating and supervising the departmental recruiting activities in consultation with properly appointed search committees and with the Dean of the College.
 9. Prepare the departmental budget.
 10. Be responsible for the distribution and expenditure of departmental funds and for the care of departmental property.

VIII. UNIT BYLAWS

- A. The academic departments and service units (teaching hospital and diagnostic laboratory) each shall establish a set of bylaws for its internal governance.
- B. Departmental bylaws shall include procedures and criteria for appointment or promotion of faculty members at the rank of instructor or higher.
- C. Adoption of departmental bylaws and of amendments thereto shall be by vote of the faculty in the respective departments and will be subject to review and approval by the Faculty Advisory Committee and the Dean.

College of Veterinary Medicine POLICIES AND PROCEDURES	Subject: College Bylaws	Date: 5/19/10 No: CVM 1.1 Page 12 of 12
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IX. INTERPRETATION AND AMENDMENT OF BYLAWS


- A. These Bylaws are intended to supplement and be in accord with the University Statutes. In the case of conflicts, the University Statutes as interpreted with the advice of Campus Legal Counsel must prevail.
- B. Any person entitled to vote at a faculty meeting may propose the amendment of these Bylaws. No final action shall be taken on a proposed amendment without an opportunity for review and discussion during a Faculty meeting. A two-thirds vote of eligible faculty is required for passage. Voting may be conducted electronically.

Adopted by the Faculty on January 9, 2002

Amendments added: 7/03; 9/04; 11/06; 2/07.

Amendments approved by the faculty on May 19, 2010.

Approved:



 Cyril R. Clarke, Dean

Promotion, Tenure, Three-year Pre-tenure and Post-tenure Review: Procedural Guidelines for OSU Libraries Faculty

Revised December 2010

Preliminary Remarks

These guidelines document the structure of the Libraries Promotion and Tenure process. It outlines the work of the Promotion & Tenure Committee and Senior Librarian Panel for the following:

- Promotion & Tenure (Section III-A)
- Three-year Pre-Tenure (Section III-B)
- Post-tenure (Section III-C) reviews.

They guide the Library faculty members through their relevant review processes.

Sections I and II introduce the structure and Committee processes.

Section III can be used when going through the actual process.

There are checklists for the three reviews.

The various appendices provide supplemental information. For example, Appendix 1 is a simple overview of the process for OSU-Cascades library faculty members and Appendix 7 has a comprehensive timeline for all reviews

These guidelines are reviewed periodically for compliance with the University Guidelines.

Please contact a member of the Promotion & Tenure Committee if you need clarification on anything in this document.

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Tenure Track Faculty Reviews: Procedural Guidelines for OSU Libraries Faculty

I. Introduction

The Libraries' guidelines for all reviews are based on the University guidelines found in the Oregon State University Faculty Handbook:

<http://oregonstate.edu/facultystaff/handbook/>¹

All reviews use the Dossier Preparation Guidelines. The most current version with links to appropriate forms is available in the Oregon State University Faculty Handbook

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>

Three-year pre-tenure review guidelines begin at:

<http://oregonstate.edu/facultystaff/handbook/3yrreview.html>

OSU Promotion and Tenure Guidelines in the OSU Faculty Handbook begin at:

<http://oregonstate.edu/facultystaff/handbook/promo.html>

Post-tenure Review Guidelines begin at:

<http://oregonstate.edu/facultystaff/handbook/postten.html>

II. Reviewing Groups and Support

A. Libraries' Promotion and Tenure Committee (Peer Level Review)

1. Description

The Libraries' Promotion and Tenure Committee is a peer review group that ensures a critical, objective, and fair evaluation of each person being considered for three-year pre-tenure review, promotion, tenure, or (if necessary) post-tenure review. The Committee works with the candidate in accordance with OSU Promotion and Tenure Guidelines to ensure that the strongest dossier possible is presented to the OSU Promotion and Tenure committee for review.

Additionally, the Committee serves in an advisory capacity to the University Librarian, and coordinates an independent review of each candidate. For the three-year pre-tenure review, promotion review, and tenure review the Committee forwards its work to the Senior Librarian Review Panel along with its recommendation to the University Librarian.

For the Post-tenure review the Committee forwards its work to the candidate's supervisor along with its recommendation to the University Librarian.

¹ See [Appendix 1](#) for tips on locating promotion and tenure information at the above links.

2. Composition and Service

The Committee shall consist of all tenured faculty members with the following exceptions:

- University Librarian
- Faculty undergoing reviews
- Faculty members elected to serve on the Senior Librarian Review Panel (see B.2. below)
- Past Chair, Libraries Promotion and Tenure Committee

Approval must be sought from the University Librarian if faculty members are unable to serve for other reasons.

Tenured faculty members who have an ethical conflict of interest in any particular dossier review are expected to recuse themselves in a written letter detailing the conflict. They will continue to serve on the Committee for reviewing other dossiers that year.

3. Special Committee Members

There are certain circumstances where peers may be recruited from outside the library.
(<http://oregonstate.edu/facultystaff/handbook/procguide.html> Section: *Tenure Unit Review and Recommendation*)

- An Associate University Librarian is being reviewed.
- A Department Head is being reviewed and there is an insufficient number of eligible tenured library faculty to conduct the review.
- A candidate is being reviewed for promotion and there is an insufficient number of eligible tenured library faculty at the appropriate rank to conduct the review.
- Conflicts of interest (e.g. a committee member is the direct supervisor, a direct report, or has some other valid reason to recuse themselves for the review of the candidate) leads to an insufficient number of eligible tenure library faculty.
(<http://oregonstate.edu/facultystaff/handbook/procguide.html> Section: *Declaration and Management of Conflicts of Interest*)

In these instances, the University Librarian must be consulted for input regarding the composition of a special review committee.

4. Chair

After the Senior Librarian Review panel has been elected (June 10)), the current OSUL Promotion and Tenure Committee Chair will initiate the election by the Committee members for the new Chair using a ballot. Selection should be completed by June 15. In the event of no plurality, successive run-off elections shall be conducted until a Chair is selected. Ideally the Chair should be a continuing member of the Committee rather than someone newly tenured. The ballot for Chair should exclude those with conflicts of interest for any faculty being reviewed that year. The Chair shall normally serve a one-year term.

5. Peer Review of Teaching Coordinator

After the Chair has been elected (June 15), a Peer Review of Teaching Coordinator is selected from the Promotion & Tenure Committee to coordinate the process peer reviews for the

following year's candidates. The new Chair initiates this process, which should be completed by June 20. See Appendix 5 for information on the peer review of teaching process.

B. Senior Librarian Review Panel (College Level Review)

1. Description

The Senior Librarian Review Panel reviews every candidate for promotion or tenure. The Senior Review Panel is intended to be an independent voice of evaluation that is elected by tenured and tenure track library faculty.

The Panel reviews the work of the Libraries' Promotion and Tenure Committee for consistency throughout all reviews in a given year. They conduct an independent evaluation of each candidate, determining whether the letters of evaluation accurately assess the candidate's performance as documented in the dossier. They add their letter of evaluation to the dossier, and submit it to the University Librarian.

2. Composition and Selection

The Senior Librarian Review Panel consists of two tenured librarians and the immediate past chair of the Libraries' Promotion and Tenure Committee. The two tenured librarians are elected by a vote of all library tenured and tenure-track faculty members from a ballot listing those eligible for service. This election initiated by June 1 shall be administered by the current Chair, Libraries' Promotion and Tenure Committee and completed by June 10. In the event of no plurality, successive run-off elections shall be conducted until the Senior Librarians are selected.

3. Panel Service

University guidelines require that all members of the Senior Review Panel be elected. The Current Chair of the Libraries' Promotion and Tenure Committee, having been elected by the Committee to that position, provides continuity to the Panel. Ideally members of the Review Panel should have served a year on the Libraries' Promotion and Tenure Committee. All members must be at or above the rank sought by candidates under consideration for promotion in order to vote on these decisions.

If any Senior Librarian representative serving on the Panel becomes unable to complete his or her term of service he or she will be replaced in a special election conducted by the current Chair, Libraries' Promotion and Tenure Committee.

The term of service for the Senior Librarian representatives is one year beginning July 1.

In normal circumstances the Senior Librarians shall not serve on the Panel in consecutive years. All tenured library faculty members are eligible for election to the Panel with the following exceptions:

- University Librarian and Associate University Librarians
- Current Chair, Libraries' Promotion and Tenure Committee (becomes Past Chair and is a designated member)
- Faculty under review in the upcoming year
- Faculty with conflicts of interest for any candidate under review in the upcoming year

4. Chair

By October 1, the Review Panel shall meet to select the Chair and notify the Libraries' Promotion and Tenure Committee Chair of their decision.

C. Support Services for the Libraries' Promotion and Tenure Committee and the Senior Librarian Review Panel

The Libraries Administration shall provide support services for both groups, working through the Chairs.²

Timeline for Selection of Committees, Chairs and Coordinators

June 1	Ballot to elect Senior Librarians to Senior Review Panel (SRP) prepared/sent out by Current P&T Chair
June 10	Election of Senior Librarians to Review Panel completed.
June 10	Ballot to elect next P&T Committee Chair prepared/sent out by Current Chair
June 15	Election of next P&T Committee Chair completed
June 16	Ballot to elect Peer Review Coordinator election prepared/sent by new Chair
June 20	Election of Peer Review Coordinator completed
Oct. 1	Senior Review Panel meets to select Chair & Committee Chair

² See Appendix 3 for details concerning Libraries administrative support for the Committee and the Panel.

III. Types of Review

A. Promotion and/or Tenure Review

1. General

The promotion and/or tenure review does not replace the Periodic Review Of Faculty (PROF), i.e. the Libraries' annual evaluation. The two reviews serve different purposes and occur at different times of the year. A PROF letter must be prepared in addition to the promotion and/or tenure review

All library faculty members eligible for promotion and/or tenure will have two levels of review. For Associate University Librarians and Department Heads, the process is adapted.

An Associate University Librarian will be reviewed in the same manner as for other faculty, except that the University Librarian appoints a senior faculty member to assume the supervisor's responsibilities. As a supervisor, this appointee recuses themselves from the Promotion and Tenure Committee or the Senior Librarian Review Panel.

For both Associate University Librarians and Department Heads, the University Librarian and the Committee Chair reviews the composition of the Promotion and Tenure Committee to ensure that all members who have conflicts of interest have recused themselves from these special reviews. Criteria to be considered include professorial rank and the reporting structure between the Committee members and the administrator under review as well as any close professional relationship (i.e. co-authorship).

The University Librarian may consider the option to contact faculty external to the Libraries and request that they serve on the peer level Promotion and Tenure Committee. At least one member of the Libraries' Promotion and Tenure Committee for that year will serve on this special committee and act as a liaison between the two committees. The rationale for this exception to the usual process is twofold:

- Administrators often interact to a greater extent with faculty outside the Libraries
- It resolves the awkward situation implicit in committee members providing a peer review for those administrators to whom they report.

2. Eligibility for Review

Faculty in the last probationary year toward tenure must compile and forward a complete dossier to the Committee unless they have elected to leave the University.

Faculty who wish to go up for tenure or promotion and tenure before their last probationary year should confer with their direct supervisor and the appropriate Associate University Librarian. If there is support, the candidate shall compile and forward a dossier to the Committee. If the Associate University Librarian does not recommend promotion and/or tenure at that time, the faculty member may request a review by the Committee.

Tenured faculty who wish to go up for promotion should confer with their direct supervisor and the appropriate Associate University Librarian. If there is support, the candidate shall compile and forward a dossier to the Committee. If the Associate University Librarian does not recommend promotion at that time, the faculty member may request a review by the Committee.

If both the supervisor's and the Committee's recommendations are negative, the dossier will not be forwarded to the next level of review unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

3. Criteria for Review

Members of the library faculty are evaluated according to the OSU Promotion and Tenure Guidelines established for all University faculty members and published in the Oregon State University Faculty Handbook: <http://oregonstate.edu/facultystaff/handbook/promo.html>³

The guidelines call for evaluation in three areas as outlined in the candidate's position description:

- Teaching, Advising, or Other Professional Assignment⁴
- Research, Creative Work, and Other Scholarly Accomplishments
- Service

4. Dossier Preparation

Faculty members should read and become familiar with the current University guidelines found in the Oregon State University Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/>)⁵ before beginning work on their dossier. Final responsibility for the completion of the dossier lies with the appropriate Associate University Librarian, although the candidate and his or her supervisor provide much of the material for the dossier. Dossier Preparation Guidelines with links to appropriate forms are available at: <http://oregonstate.edu/facultystaff/handbook/dosguide.html>

Initial dossier materials are prepared by the candidate working with mentor (if applicable) and his/her direct supervisor. It includes:

- Position Description(s) – all position descriptions since hiring or the last promotion review
- Candidate's Statement – maximum of 3 pages (see University guidelines for specifications – there are required margin settings and a font size)
- Curriculum Vita – publications In Press may be included if identified as such
- Supporting Materials – publications & presentations should be submitted in electronic format or scanned; includes peer review of teaching summary letter

The faculty member's Candidate Statement should discuss significant accomplishments in each of the three areas (professional assignment, scholarship, and service) that benefited the faculty member and the library. The statement should also include a description of the faculty member's future professional goals.

5. Review Process, Procedural Guidelines Outline, and Timeline

The timeline provides a framework to meet University reporting requirements. Dates are somewhat flexible depending on the year's academic calendar.

³ See Appendix 2 for tips on locating promotion and tenure information at the above links.

⁴ See [Appendix 5](#) for samples of the structure to be used for evaluating teaching/instruction in this section.

⁵ See Appendix 2 for tips on locating promotion and tenure information at the above links.

Library faculty members serving at the OSU- Cascades Campus prepare their dossiers following the steps outlined in the OUS Libraries Guidelines. The dossiers are reviewed by both the OSU Libraries and the Cascades Promotion and Tenure Committees. See the Cascades Guidelines available at **S:\Shared\P-&-T\OSU-&-Library-guidelines/Cascades Tenure Process.doc**

By April 1 Supervisor asks candidates for names of potential student reviewers (**and July 15 if summer session is relevant**). Supervisor asks the candidate to either sign or not sign the [Waiver of Access](#).⁶ (needed to solicit student letters).

By April 15 Supervisor solicits letters from student reviewers and can solicit members for student review panel (**and August 1, if summer session is relevant**)

By May 15 Supervisors forward in writing the names of those candidates who wish to be considered or who are in their last probationary year toward tenure to the appropriate Associate University Librarian and Cascades Associate Dean of Academic Programs.

By May 31 The appropriate Associate University Librarian provides written notification to the current P & T Committee Chair of faculty to be considered.

Over the summer the initial dossier materials are prepared by the candidate working with mentor (if applicable) and his/her direct supervisor.

By June 1 The ballot for electing the Senior Librarian to the Review Panel is prepared by the Current Committee Chair.

By June 7 Election of the Senior Librarian to the Panel is completed. The ballot for electing the next Committee Chair is prepared by the Current Chair

By June 10 Ballot to elect next P&T Committee Chair prepared/sent out by Current Chair to the OSUL P & T Committee.

By June 15 Election of the next Committee Chair is complete.

By June 16 New P&T Committee Chair prepares and sends out ballot for the Peer Review of Teaching Coordinator to the OSUL Promotion and Tenure Committee.

By June 20 Selection of the Peer Review of Teaching Coordinator is complete.

By June 30

- Letters from student reviewers due (**OR September 1** if summer session is relevant)
- Peer review of teaching is completed for upcoming candidates. (**OR September 1** if summer session is relevant)

⁶The waiver, if signed, indicates that the candidate waives access to the letters from external reviewers; it does not apply to letters from the Department Head, the Libraries Promotion & Tenure Committee, the Senior Librarian/AUL Review Panel, the University Librarian, or the Provost and Executive Vice-President. A copy of the waiver goes with the candidate's dossier to external reviewers letting them know that the candidate has chosen to waive access to external letters.

By Sept 1

- Candidates for promotion and/or tenure submit required dossier materials to their supervisor for inclusion in the final dossier. The candidate is encouraged to also submit the complete dossier in electronic format – preferably PDF.
- The supervisor submits the candidate’s list of suggested external reviewers and a copy of the dossier to the appropriate Associate University Librarian.

By Sept 15

- The Promotion & Tenure Committee reviews all promotion and/or tenure dossiers for obvious omissions or problems. The Committee meets with the candidate to provide written recommendations and discussion pertaining to strengthening the Candidate Statement and vita.
- The appropriate Associate University Librarian identifies additional potential external reviewers.

By Sept 20

- The candidate may implement the OSU Libraries P & T Committees suggestions for strengthening the dossier and resubmits the updated dossier to the Committee.

While every effort should be made to ensure the dossier is finalized before it is sent to external reviewers, changes to the dossier can be made any time up to the submission to the Office of Academic Affairs in February. Substantive changes (e.g., publications accepted after the dossier was sent to external reviewers) should be discussed in an administrative letter.

- Prior to the dossier receiving its first formal review, the candidate should sign a statement that he or she has reviewed the open part of the dossier and that it is complete and current.
- The Chair gives an original copy of the dossier to the Libraries’ Administrative Office staff to create a PDF of all materials (including publications if the candidate did not submit a PDF in addition to the printed original).⁷ All original materials are kept in a master file in the Library Administration Office.

By Sept 25

- The appropriate Associate University Librarian solicits external letters of evaluation.
- The AUL will request 5-8 letters of evaluation from national leaders in the field (at least 3 should be from the candidate’s suggested list). Only in rare cases should letters be solicited from co-authors, co-principal investigators, former professors, or former students. Letters should generally be from faculty at a tenure-track institution who have achieved tenure and are at or above the professorial level to which the candidate aspires or individuals of equivalent stature outside of academe who are widely recognized in the field.
- The Libraries’ Administration Office staff assists in the preparation and sending of packets to these reviewers.⁸ The packets should include a table of contents, the candidate’s vita, position description(s), candidate statement, and copies of (or links to) his/her publications.

⁷

See [Appendix 2](#) for details concerning Libraries administrative support for the Committee and the Panel.

⁸

See [Appendix 2](#) details concerning Libraries administrative support for the Committee and the Panel.

The Libraries' guidelines are not an official document and should not be sent to external reviewers; however, the web address for the University's Promotion and Tenure Guidelines should be made available to external reviewers.

Library Administration Office staff shall maintain a log of contacts with the reviewers, including letters and telephone calls to be included in the dossier with the evaluative letters.⁹ External Review Letters are due by November 15.

By October 1

- Supervisor forms a student committee to write a summary letter from student evaluation letters. Student Summary Letters are due by November 15.
- The student committee reviews the student referee letters, the instruction, reference and advising portions of the dossier and any additional available information pertinent to their review. The Libraries' Administration Office staff assists in the preparation of this packet.

By October 1 The Senior Librarian Review Panel chooses a Chair and notifies the Promotion & Tenure Committee Chair.

By November 16

- **(or as letters are received)** The Associate University Librarian submits the external reviewers' letters to the Libraries' Promotion and Tenure Committee. These should be available to the Committee prior to initiating the final review of the dossier.
- The student review summary letter is added to the open portion of the dossier.
- Peer review of teaching summary letter completed and submitted to supervisor; to be added to candidate/faculty member dossier.
- The Library Administrative Office staff sends five copies of the dossier and the external review letters to the Cascades Associate Dean of Academic Programs for distribution to the Cascades Promotion and Tenure Committee.

By December 10

- The Committee(s) prepare independent written recommendation(s) that include an evaluation containing summaries of the external letters. Letter(s) must include a description of the process that was used to constitute the committee. (Becky Warner, Vice Provost, Oct. 21, 2010) References to external reviewers should be by a number assigned to the reviewer and not by name. The Committee(s)' letter(s) of evaluation and summary shall review the candidate's performance in his/her professional assignment, scholarly accomplishment, and service. The OSU Libraries Committee Chair notifies the candidate that the Committee(s)' letter(s) has been added to the open portion of the dossier.

The Cascade Promotion and Tenure Committee addresses its letter to the University Librarian. However, it is signed by the Associate Dean of Academic Programs and the Dean of the Cascades Campus. It is added to the dossier in the section of the dossier titled "Letters from Other Supervisory Administrators."

⁹

See [Appendix 2](#) for details concerning Libraries administrative support for the Committee and the Panel.

- The candidate's direct supervisor writes an evaluative letter addressed to the University Librarian and submits it to the Library Administrative Office staff for inclusion in the dossier.

By five working days after Dec 10

- The supervisor meets with the candidate to discuss the outcome of the peer review and the supervisor's letter.
- The candidate may request a meeting with the Committee if clarification is needed.
- The candidate reviews her/his file with the exception of waived letters and signs the statement that she/he has read the file. If the candidate did not sign the letter of waiver, she/he may also review the external letters.
- The candidate may add a written statement regarding the review.

By December 15 The Dossier along with letter(s) from the Committee(s) and any candidate comments are forwarded to the Senior Librarian Review Panel.

By Jan 7

- The Panel reviews the Committee(s)' and supervisor's letters for consistency, adherence to the guidelines, and to ensure that the Committee's evaluation is supported by evidence from the dossier.
- The Review Panel also prepares an independent written recommendation including an evaluation containing summaries of the supervisor's letter, the peer review, and the external letters. The letter of evaluation and summary shall review the candidate's performance in his/her professional assignment primarily based on the supervisor's letter. They will also evaluate scholarly accomplishment and service based on materials from the dossier. Letters must include a description of the process that was used to constitute the committee. (Becky Warner, Vice Provost, Oct. 21, 2010)
- The Panel Chair notifies the candidate that the Panel's and supervisor's letters have been added to the open portion of the dossier.

By three working days after Jan 7: The candidate may add written comments to the file and signs an acknowledgement that he/she has read the Panel letter.

By Jan 10 The dossier along with any candidate comments is forwarded to the University Librarian.

By Jan 25 The University Librarian writes a letter that provides an assessment of the candidate based upon the evaluations and evidence submitted by the supervisor, the Committee, and the Review Panel. The University Librarian notifies the candidate that this letter has been added to the open portion of the dossier.

By three working days after Jan 25

- The candidate reviews the open portion of the dossier and may sign the form indicating her/his final review.
- He/she may request, in writing, a meeting with the University Librarian within the three days indicated above. (i.e. January 25 – 28)

Delete line?

- The University Librarian will arrange a meeting with the candidate within three working days following the written request (i.e. latest date for meeting January 31). The candidate may present any information or evidence he or she believes may be germane to the recommendation of the University Librarian.
- The University Librarian may revise the letter of evaluation within three working days of the date of the meeting (i.e. latest date Feb. 3)

During this period, the original documents comprising the dossier remain in the Library Administration Office. The candidate may prepare a written statement to be included in the dossier supporting or refuting anything the dossier contains.

By Feb 7

- The University Librarian's revised letter is added to the dossier.
- The candidate is notified if the letter was revised and has the opportunity to review it. If the candidate did not previously sign an acknowledgement that he/she has reviewed the open parts of the final dossier – this is done now.
- Following this, Library Administration has 2-3 days to prepare the completed dossier to be submitted to the Office of Academic Affairs.

By Feb 10 The University Librarian submits the completed dossier to the Office of Academic Affairs to be reviewed by the University Promotion and Tenure Committee. In addition, a copy of the completed dossier is placed in the Libraries' personnel files.

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision.

Spring The University Librarian is notified of the outcome of the University level review and informs the candidate of the result. She/he may also make a congratulatory announcement to the staff when the outcome is successful.

By June 30 The Candidate receives written notification of the review outcome.

In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal. Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal. When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and stating the facts that support the appeal. No other supporting letters will be considered. The President has the right to request additional information.

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the University Librarian, typically at the start of the next academic year. After confidential letters have been removed, the dossier is retained as part of the faculty member's personnel file.

6. Promotion and/or Tenure Dossier Content Checklist:

	Item	Due Date
	Waiver of Access (sign or do not sign)	April 1
	Individual Student Evaluation of Teaching Letters (Summer session if relevant) Note: not added to dossier	June 30 (Sept. 1)
	Individual Peer Review of Teaching letters complete(Summer session if relevant) Note: not added to dossier	August 31
	*Position Description(s)	Sept. 1
	*Candidate's Statement	Sept. 1
	*Curriculum Vita	Sept. 1
	*Supporting Materials	Sept.1
	Candidate's Acknowledgement that Dossier is Complete & Current	Sept. 15
	External Reviewers' Letters of Evaluation	Nov. 16 (or as received)
	Peer Review of Teaching Summary Letter	Nov. 16
	Student Review of Teaching Summary Letter	Nov. 16
	OSUL Promotion & Tenure Committee Letter & Cascades Promotion & Tenure Committee Letter	Dec. 10
	Candidate's Acknowledgement that the Committee Letter & Supervisor's Letter have been added to the Dossier	Dec. 10 - 15
	Candidate may submit written statement in response to these letters	Dec. 10 - 15
	Dossier submitted for the Senior Panel review	Dec. 15
	Senior Review Panel added to Dossier	Jan. 7
	Candidate's Acknowledgement that the Panel Letter have been added to the Dossier	Jan. 7 - 10
	Candidate may submit written statement in response to Panel letter	Jan. 7 - 10
	University Librarian Letter of Evaluation ((if revised)	Jan. 25 (Feb 7)
	Candidate may submit written statement concerning dossier	Jan. 28 (or Feb 7)
	Candidate's Acknowledgement of Review of open parts of the Final Dossier (if reviewing UL revised letter)	Jan. 28 (or Feb 7)
	Dossier is sent to Office of Academic Affairs	Feb. 10 (can varied)

* The candidate provides these materials in the initial dossier. The other materials are added to complete the dossier. When complete, Libraries Administration formats the dossier packet for submission.¹⁰

¹⁰

See [Appendix 2](#) details concerning Libraries administrative support for the Committee and the Panel.

B. Three-year Pre-tenure Review

1. General

The primary intent of the Three-year Pre-tenure Review is to examine each library faculty member's progress towards indefinite tenure and assure that he/she has a clear picture of what, if any, action should be taken to ensure success when the time comes to go through the promotion and tenure process. This review does not replace the annual review (PROF) for the year. The two serve different purposes and both are important to the faculty member's success and productivity.

The Libraries' three-year pre-tenure review guidelines are based on University guidelines at: <http://oregonstate.edu/facultystaff/handbook/3yrreview.html>

The three-year pre-tenure review will follow similar procedures to the tenure review, with the exception that external or student review letters will not be required or solicited, the full dossier is open to the candidate for review, the Senior Review Panel does not review the dossier, and the dossier is not forwarded to the Office of Academic Affairs for review. Faculty undergoing pre-tenure review will submit dossiers to the Committee(s) by the dates specified in the Procedural Guidelines below.

Associate University Librarians or Department Heads will be reviewed in the same manner as other faculty with the following exception:

- In the case of a Department Head review the Associate University Librarian (AUL) to whom the Department Head reports will retain the supervisor's usual responsibilities in the promotion and tenure process.

2. Eligibility for Review

An intensive pre-tenure review will be undertaken for all faculty members on annual tenure appointment. This review will be conducted during the faculty member's third probationary year toward tenure and is intended to review the progress toward indefinite tenure. These faculty members must compile and forward a complete dossier to the Committee.

3. Criteria for Review

Members of the library faculty are evaluated according to the OSU Promotion and Tenure Guidelines established for all University faculty members and published in the Oregon State University Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/>).¹¹

The guidelines call for evaluation in three areas as outlined in the candidate's position description:

- Teaching, Advising, or Other Professional Assignment¹²
- Research, Creative Work, and Other Scholarly Accomplishments
- Service

OSU Promotion and Tenure Guidelines begin at this URL: <http://oregonstate.edu/facultystaff/handbook/promo.html>

¹¹ See [Appendix 1](#) for tips on locating promotion and tenure information at the above links.

¹² See (Appendix 5) for samples of the structure to be used for evaluating teaching/instruction in this section.

4. Dossier Preparation

Faculty members should read and become familiar with the current University guidelines found in the Oregon State University Faculty Handbook:

(<http://oregonstate.edu/facultystaff/handbook/promo.html>)¹³ before beginning work on their dossier. Final responsibility for the completion of the dossier lies with the appropriate Associate University Librarian, although the candidate and his or her supervisor provide much of the material for the dossier. Dossier Preparation Guidelines with links to appropriate forms are available at: <http://oregonstate.edu/facultystaff/handbook/dosguide.html>

Initial dossier materials are prepared by the candidate working with mentor (if applicable) and his/her direct supervisor. It includes:

- Position Description(s) – all position descriptions since hiring
- Candidate's Statement – maximum of 3 pages (see University guidelines for specifications – there are required margin settings and a font size)
- Curriculum Vita – publications In Press may be included if identified as such
- Supporting Materials – publications & presentations should be submitted in electronic format or scanned

The faculty member's Candidate Statement should discuss significant accomplishments in each of the three areas (professional assignment, scholarship, and service) that benefited the faculty member and the library. The statement should also include a description of the faculty member's future professional goals.

5. Review Process, Procedural Guidelines Outline, and Timeline (see Dossier checklist below)

The timeline provides a framework to meet University reporting requirements. Dates are somewhat flexible depending on the year's academic calendar.

In the academic year prior to going up for tenure: Peer review of teaching is completed for each candidate – see [Peer Review of Teaching Guidelines](#)

By May 15 Supervisors forward in writing the names of those candidates who are eligible for the three-year pre-tenure review to the appropriate Associate University Librarian *and if appropriate to the Associate Dean of Academic Programs for Cascades faculty*. (See [S:\Shared\P-&T\Tenure Timeline Document](#) on the Shared Drive in the P & T folder.)

By May 31 The appropriate Associate University Librarian provides written notification to the Current P & T Committee Chair of faculty to be considered.

Over the summer and during fall term Candidates are encouraged to begin gathering the initial dossier materials over the summer and fall working with his/her direct supervisor and/or mentor so that the dossier will be complete by the end of December.

December 30 Peer review of teaching summary letter completed and submitted to supervisor; added to candidate/faculty member dossier

By Dec 31

¹³ See [Appendix 1](#) for tips on locating promotion and tenure information at the above links.

- Candidates submit the initial dossier to the supervisor. The candidate is encouraged to also submit the complete dossier in electronic format – preferably PDF.

December 31 –January 10 Library Admin. works with supervisor & AUL to process dossier and ensure completeness. Admin. creates a PDF of all materials (including publications) if the candidate did not submit a PDF in addition to the printed original. All original materials are kept in a master file in the Library Administration Office. The supervisor submits the finalized initial dossier to the appropriate Associate University Librarian *and the Associate Dean of Academic Programs if pertinent* who review it and forward it on to the OSU Libraries Promotion and Tenure Committee *and the Cascades Committee* for Cascades faculty.

By Jan 10 AUL *and Associate Dean of Academic Programs* forward dossier to the P&T Committees.

By Jan 31 The P & T Committees review all three-year pre-tenure dossiers for obvious omissions or problems. The Committees meets with the candidate to provide written recommendations and discussion pertaining to strengthening the Candidate Statement and vita.

By Feb 10 The candidate has the opportunity to implement the Committees suggestions for strengthening the dossier and resubmits the updated dossier to the supervisor.

Feb 10-13 Supervisor and Associate University Librarian review dossier for completeness. Library Administration then creates a pdf of the final dossier to be submitted to the Committee(s).

- Prior to the dossier receiving its first formal review, the candidate should sign a statement that he or she has reviewed the dossier and that it is complete and current.

Feb. 14-24 The Committee(s) review dossier that include any changes from the candidate and prepares the final independent written recommendation and evaluation of the candidate's scholarly accomplishments and service

By Feb 24 The Committees complete the three-year pre-tenure reviews. The Committee Chair notifies the candidate and the supervisor that the Committees letters has been added to the dossier.

By five working days after Feb 24

- The supervisor meets with the candidate to discuss the outcome of the review.
- The candidate may request a meeting with the Committees if clarification is needed.
- The candidate may add a written statement regarding the review.
- The candidate signs the statement that she/he has read the Committee's letter.

February 24 -March 15 Supervisor reviews dossier and all letters and writes evaluative letter.

By March 15 Supervisor's Letter of Evaluation added to dossier

By March 20 The supervisor and the appropriate Associate University Librarian *and the Cascades Associate Dean of Academic Programs (If pertinent)* meet with candidate to discuss the supervisor's evaluation and the Committees' evaluation.

By March 25 The candidate reviews his/her entire dossier and may add comments. The candidate signs a statement indicating that he/she has reviewed the completed dossier.

By March 30 The appropriate Associate University Librarian forwards a copy of the dossier and a summary of recommendations together with the review letters to the University Librarian. The original complete dossier is placed in the personnel files in the Libraries' and retained separately from the faculty member's personnel file. These pre-tenure review dossiers are not forwarded to the Office of Academic Affairs.

6. Three-Year Pre-Tenure Dossier Content Checklist:

	Item	Due Date
	*Position Description(s)	Dec. 31
	*Candidate's Statement	Dec. 31
	*Curriculum Vita	Dec. 31
	*Supporting Materials	Dec. 31
	Peer Review of Teaching Summary Letter	Dec. 30
	Candidate's Acknowledgement that Dossier is Complete & Current	Feb. 14
	Promotion & Tenure Committee Letter	Feb. 24
	Cascades Promotion & Tenure Committee Letter	Feb. 24
	Candidate's Acknowledgement that the Committee Letter has been added to the Dossier	Feb. 24
	Candidate may add written statement to Dossier	Feb. 24-March 1
	Supervisor's Letter of Evaluation added to Dossier	March 15
	Candidate's Acknowledgement that the Supervisor's Letter have been added to the Dossier	March 25
	Candidate may add written statement to Dossier	March 25
	AUL adds summary of recommendations to dossier and review letters & forwards to the University Librarian	March 30
	Dossier filed in Library Personnel File (separate from Candidate's Personnel File)	March 30

* These materials are provided by the candidate in the initial dossier, working with his/her direct supervisor and the appropriate Associate University Librarian. The other materials will be added to complete the dossier.

C. Post-tenure Review

1. General

From OSU Faculty Handbook: <http://oregonstate.edu/facultystaff/handbook/postten.html>

The University recognizes that faculty renewal, development and improvement are of critical importance in its pursuit of excellence. To that end, the University provides for post-tenure review of its faculty to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed upon the award of tenure. If the review process identifies areas in which a faculty member is not fulfilling the expectations of his or her position, a professional development plan will be drafted and implemented. Thus, the process provides effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member maintains a record of professional development and accomplishment during the various phases of his or her career.

The review and evaluation process must uphold the highest standards of academic freedom. Faculty must be encouraged to take risks, to ask inconvenient questions, and to challenge prevailing views, in research and scholarly pursuits as well as in teaching, without the fear of suffering the consequences of failure in the review process. It is the responsibility of administrators to promote and secure the academic freedom of all faculty in their units, as well it is the responsibility of senior and tenured faculty to protect the academic freedom of junior and untenured faculty.

The University Librarian assigns responsibility for the post-tenure review (PTR) to the Libraries' Promotion and Tenure Committee. Members of the PTR committees shall be elected by the unit faculty who are at or above the rank of the faculty member being reviewed. In addition, an external committee member shall be selected by the OSUL PTR committee from a list of at least three tenured faculty members at or above the rank of the faculty being reviewed provided by the faculty member being reviewed.

2. Initiation of Post-tenure Review

A post-tenure review (PTR) is to be performed when:

- requested by a faculty member
- requested by the unit head or supervisor after one negative review
- a faculty member receives two consecutive negative periodic reviews of faculty (PROF). A negative PROF is defined as receiving unsatisfactory assessment of one or more areas identified in the position description (e.g., teaching, scholarship, service, outreach).

A negative PROF must always be followed by either a PTR in the same or following year, or a PROF in the following year to determine if sufficient progress has been made to overcome the deficiencies identified in the first PROF.

For the full initiation of Post-tenure review and guidelines for the process see:

<http://oregonstate.edu/facultystaff/handbook/postten.html>

3 Criteria for Review

Members of the library faculty are evaluated according to the OSU Promotion and Tenure Guidelines established for all University faculty members and published in the Oregon State University Faculty Handbook: <http://oregonstate.edu/facultystaff/handbook/>¹⁴

Post-tenure review see: <http://oregonstate.edu/facultystaff/handbook/postten.html>

The guidelines call for evaluation in three areas as outlined in the faculty member's position description:

- Teaching, Advising, or Other Professional Assignment¹⁵
- Research, Creative Work, and Other Scholarly Accomplishments
- Service

4. Dossier Preparation

Faculty members should read and become familiar with the current University guidelines found in the Oregon State University Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/>)¹⁶ before beginning work on their dossier. Final responsibility for the completion of the dossier lies with the appropriate Associate University Librarian, although the candidate and the supervisor provide much of the material for the dossier. Dossier Preparation Guidelines with links to appropriate forms are available at: <http://oregonstate.edu/facultystaff/handbook/dosguide.html>

Initial dossier materials are prepared by the candidate working with mentor (if applicable) and his/her direct supervisor. It includes:

- Position Description(s) – all position descriptions since hiring
- Candidate's Statement – maximum of 3 pages (see University guidelines for specifications – there are required margin settings and a font size)
- Curriculum Vita – publications In Press may be included if identified as such
- Supporting Materials – publications & presentations should be submitted in electronic format or scanned

The faculty member's Candidate Statement should discuss significant accomplishments in each of the three areas (professional assignment, scholarship, and service) that benefited the faculty member and the library. The statement should also include a description of the faculty member's future professional goals.

5. Review Process, Procedural Guidelines Outline, and Timeline (see Dossier checklist below)

The timeline provides a framework to meet University reporting requirements. Dates are somewhat flexible depending on the year's academic calendar. For the Post-tenure review, the faculty member should be given a minimum of four months to prepare the dossier; all dates will be adjusted accordingly.

¹⁴ See [Appendix 1](#) for tips on locating promotion and tenure information at the above links.

¹⁵ See [Appendix 3 \(Appendix 5?\)](#) for samples of the structure to be used for evaluating teaching/instruction in this section.

¹⁶ See [Appendix 1](#) for tips on locating promotion and tenure information at the above links.

Library faculty members serving at the OSU Cascades Campus prepare their dossiers following the steps outlined in the OSU Libraries Guidelines. The PTR Committee for Cascades faculty members should include minimally one Cascades faculty at the rank at or above the faculty member being reviewed.

By October 1 The appropriate Associate University Librarian or the appropriate supervisor will discuss the post-tenure review process with the faculty member receiving a second negative PROF.

By October 1 Supervisors forward in writing the names of those faculty members who will undergo post-tenure review to the appropriate Associate University Librarian *and Cascades Associate Dean of Academic Programs if pertinent*.

By October 5 The appropriate Associate University Librarian provides written notification to the Libraries Promotion and Tenure Committee Chair of faculty members to be considered.

By October 10 Peer Review Coordinator arranges for peer review of instruction (where relevant) during Fall and Winter term (up to submission of dossier).

Between October 1 and January 31 The faculty member prepares initial dossier materials working with a mentor (if desired) and his/her direct supervisor. (See the dossier checklist below).

Faculty Member Statement

The faculty member's Candidate Statement should discuss significant accomplishments in each of the three areas (professional assignment, scholarship, and service) that benefited the faculty member and the library. The statement should also include a description of the faculty member's future professional goals.

External Reviewers: If the faculty member or unit head request external review, faculty member identifies a suggested list of four to six external reviewers as a part of this process.

By January 5 The PRT Committee is formed and a chair elected.

By January 30 Peer review of teaching summary letter completed and submitted to supervisor; added to candidate/faculty member dossier.

By January 31

- Faculty member submit s required dossier materials to their supervisor for inclusion in the final dossier. The faculty member is encouraged to also submit the complete dossier in electronic format – preferably PDF.
- The Supervisor submits a copy of the dossier to the appropriate Associate University Librarian.
- **If external review is sought** the supervisor submits the candidate's list of suggested external reviewers

By January 25 **If external review is sought**, the appropriate Associate University Librarian identifies additional potential external reviewers.

By February 10 The PTR Committee reviews the post-tenure dossier for obvious omissions or problems.

By February 15 The PTR Committee meets with the faculty member to provide written recommendations and to discuss strengthening the dossier.

By February 10-15 The faculty member may implement the PTR Committee's suggestions for strengthening the dossier and resubmits the updated dossier to the Committee.

By February 20-25: The Chair gives an original copy of the completed dossier to the Libraries' Administrative Office staff member who creates a PDF of all materials (including publications) if the candidate did not submit a PDF in addition to the printed original.¹⁷ All original materials are kept in a master file in the Library Administration Office.

By February 25 Prior to the dossier receiving its first formal review, the candidate should sign a statement that he or she has reviewed the open part of the dossier and that it is complete and current.

Note: the dates differ from this point on if external review is sought. External review dates are given in parentheses.

By February 25 If external review is requested, the appropriate Associate University Librarian solicits external letters of evaluation.

The AUL will request 5-8 letters of evaluation from national leaders in the field (at least 3 should be from the faculty members suggested list). Only in rare cases should letters be solicited from co-authors, co-principal investigators, former professors, or former students. Letters should generally be from faculty at a tenure-track institution who have achieved tenure and are at or above the professorial level of the faculty member under review individuals of equivalent stature outside of academe who are widely recognized in the field.

The Libraries' Administration Office staff assists in the preparation and sending of packets to these reviewers.¹⁸ The packets should include a copy of the candidate's vita, position description(s), candidate statement, peer review of instruction summary letter and copies of (or links to) his/her publications. The Libraries' guidelines are not an official document and should not be sent to external reviewers; however, the web address for the University's Guidelines for Post-tenure Review of Faculty should be made available to external reviewers.

By March 20 (or as letters are received) The Associate University Librarian submits the outside letters to the PTR Committee. Letters from external reviewers should be available to the Committee prior to initiating the final review of the dossier.

By March 15 (By April 5) The PTR Committee reviews the dossier, peer review of teaching (and all letters of input from external review) and writes a report, addressed to the unit head or supervisor.

References to external reviewers should be by a number assigned to the reviewer and not by name. The Committee's letter of evaluation and summary shall review the candidate's

¹⁷ See [Appendix 2](#) for details concerning Libraries administrative support for the Committee and the Panel.

¹⁸ See [Appendix 2](#) details concerning Libraries administrative support for the Committee and the Panel.

performance in his/her professional assignment, scholarly accomplishment, and service. The Committee Chair notifies the faculty member that the Committee letter has been added to the open portion of the dossier.

This report will be included in the personnel file of the faculty being reviewed. If the PTR is initiated by a negative PROF, the report will address both the positive and the negative aspects of the PROF and assess their validity. Letters must include a description of the process that was used to constitute the committee. (Becky Warner, Vice Provost, October 21, 2010)

By March 20 (April 10)

- Supervisor meets with faculty member to discuss the outcome
- Faculty member acknowledges he/she has read the report

By March 30 (by April 15)

- If the PTR Committee confirms unsatisfactory performance in any aspect of the position description, a plan for improvement shall be developed jointly by the faculty being reviewed and the unit head in consultation with the PTR committee.

The plan should provide detailed actions, sufficient resources as are available and measureable goals to achieve satisfactory performance within a maximum of three years. Such resources might include support for scholarly professional activities (travel, time released from teaching, equipment, clerical or technical support, graduate assistants, laboratory or other workspace, etc.) or a program for the improvement of teaching.

- The candidate may add a written statement regarding the review.

7. Post-tenure Review Dossier Content Checklist:

	Item	Due Dates	Due Dates w/External Review
	*Position Description(s)(all position descriptions since last promotion review)	Jan. 31	Jan. 31
	*Faculty Member's Statement	Jan. 31	Jan. 31
	*Curriculum Vita	Jan. 31	Jan. 31
	*Supporting Materials	Jan. 31	Jan. 31
	*Waiver of Access (sign or do not sign)		Jan. 31
	Faculty Members List of External Reviewers		Jan. 31
	Peer Review of Teaching Summary Letter	Jan. 30	Jan. 30
	Faculty Member's Acknowledgement that Dossier is Complete & Current	Feb. 5	Feb. 5
	External Reviewers Letters added to dossier		March 20
	Post-Tenure Review Committee Report added to dossier	March 15	April 5
	Faculty Member's Acknowledgement of Review of open parts of the Final Dossier	March 20	April 10
	If report is negative, Plan for improvement developed jointly by the faculty being reviewed and the unit head in consultation with the PTR committee.	March 30	April 20
	The candidate may add a written statement	March 30	April 20

	regarding the review.		
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* These materials are provided by the candidate in the initial dossier, working with his/her direct supervisor and the appropriate Associate University Librarian. The other materials will be added to complete the dossier.

Appendix 1: Additional Considerations in the Promotion and Tenure Process for OSU-Cascades Library Faculty Members

Library faculty members serving at the OSU- Cascades Campus prepare their dossiers following the steps outlined in the OUS Libraries Guidelines. The dossiers are reviewed by both the OSU Libraries and the Cascades Promotion and Tenure Committees. See the Cascades Guidelines available at **S:\Shared\P-&-T\OSU-&-Library-guidelines/Cascades Tenure Process.doc**

The following steps are in addition to the regular OSU Libraries Promotion and Tenure Process.

Three-year Pre-tenure Review:

By December 31 The candidate submits the dossier to the OSU Libraries and the Cascades P&T Committees for review.

Prior to February 24 The chairs of both committees confer to ensure consistency in evaluation and emphasis in the letters they are drafting.

By March 1 Letters from both committees are included in the dossier. The Cascade's letter is addressed to the University Librarian, signed by the Associate Dean of Academic Programs and the Dean of the Cascades Campus, and placed in the section of the dossier titled "Letters from Other Supervisory Administrators."

By March 20 Supervisor, AUL and Cascades Associate Dean of Academic Programs meet with the candidate to discuss the review.

Promotion and Tenure Review:

By September 1 The candidate submits the dossier to the OSU Libraries and the Cascades P&T Committees for review.

By November 15 (or as letters are received) The AUL forwards the outside evaluation letters to both committees.

By November 30 The chairs of both committees confer to ensure consistency in evaluation and emphasis in the letters they are drafting.

By December 10 Letters from both committees are included in the dossier. The Cascade's letter is addressed to the University Librarians, signed by the Associate Dean of Academic Programs and the Dean of the Cascades Campus, and placed in the section of the dossier titled "Letters from Other Supervisory Administrators."

Appendix 2: Tips on Locating Information on the Levels of Review in the Faculty Handbook and on the University Academic Affairs Web Site (as of 3/26/04)

The Oregon State University Faculty Handbook:

<http://oregonstate.edu/facultystaff/handbook/> is the official source of information concerning promotion and tenure related reviews. This link takes you to the main page where you can do a search or click on the General Table of Contents. Clicking on the Table of Contents is the most direct route.

After clicking, select the appropriate section – Promotion and tenure guidelines is one of the Chapter Headings listed in the TOC. Click on this chapter – in addition to the guidelines for promotion and tenure it also includes a link for Post-Tenure guidelines that indicates you should contact Sara Ecklund for further information.

Faculty records and periodic reviews is another Chapter Heading. Click on this chapter to locate the University Three-year Pre-tenure Review Policy and Guidelines – it's the last listing in this chapter.

The Academic Affairs web site: <http://oregonstate.edu/admin/aa/> is a little easier to navigate, but may not be as current as the information in the faculty handbook. The direct link is <http://oregonstate.edu/admin/aa/faculty/facultyreview.html> All three types of reviews in addition to information on the Periodic Review of Faculty (PROF) are listed here:

[Faculty Review & Evaluation Process \(Flowchart:DOC\)](http://oregonstate.edu/admin/aa/documents/EvaProcess.rtf)

(<http://oregonstate.edu/admin/aa/documents/EvaProcess.rtf>)

[Promotion and Tenure Process \(Flowchart: DOC\)](http://oregonstate.edu/admin/aa/documents/pandT.rtf)

(<http://oregonstate.edu/admin/aa/documents/pandT.rtf>)

Promotion & Tenure Guidelines

Professional Faculty Evaluation Guidelines and Form

Periodic Review of Faculty

Clinical Faculty Review [does not apply to any Library faculty]

3-Year-Pre Tenure

Post Tenure Review

Faculty Dossiers

Commonly Asked Questions

Guidelines for Position Descriptions for Academic Employees

The flow charts and Commonly Asked Questions are very useful. It's not currently possible to link directly to flow charts on the Academic Affairs page so the links above and the one to [Form A](#)¹⁹ (S:\Shared\P-&-T\Form A, Waivers, and Signoff Forms\Form-A.doc) are to copies in the Libraries shared Promotion and Tenure folder. The Commonly Asked Questions hopefully changes frequently enough that we chose not to put a copy in the Libraries' P & T folder.

¹⁹The cover form used to summarize everything in the Dossier – includes the recommendation and official signatures

The Dossier guidelines are listed on the Academic Affairs page, but it's important to check the academic year date as it may not be the most current version. The most current Dossier Preparation Guidelines with links to appropriate forms are also available in the Oregon State University Faculty Handbook at this specific URL:

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>

OSU Promotion and Tenure Guidelines in the OSU Faculty Handbook begin at this URL:

<http://oregonstate.edu/facultystaff/handbook/promo.html>

Appendix 3: Administrative Support Available for the Libraries' Promotion and Tenure Committee and the Senior Librarian Review Panel (as of 5/7/10)

1. The Executive Assistant to the University Librarian receives original material for dossiers and makes the appropriate number of copies for the review process depending on the level of review. The appropriate Associate University Librarian may also receive a copy of the dossier early in the process.

Promotion and/or Tenure Review

- 5-8 copies of full dossier – to be sent to the selected number of external reviewers
- PDF of full dossier to be created and maintained on the Restricted Shared Drive for Library Promotion & Tenure Committee and Senior Review Panel
- PDF of open version of dossier to be maintained for review by candidate
- PDF of Instruction section of dossier to be created for Student Review Panel

Three-year Pre-tenure Review

- PDF of dossier to be created and maintained on the Restricted Shared Drive for Library Promotion & Tenure Committee

2. The Executive Assistant to the University Librarian maintains a log of contacts for promotion and tenure reviews as required by University guidelines and is responsible for the final format of the dossiers to be submitted to the University Promotion and Tenure Committee. . Either he/she or the Committee will maintain files containing current procedures, guidelines, and other files intended to assist faculty during the review process. The Executive Assistant will maintain archival copies each dossier at each stage of the P&T process.

Appendix 4: Procedural Guidelines for Student Letter of Evaluation are located on the shared drive:

\\Cn-share\library\Shared\P-&-T\Student_review_of_teaching

Shared drive folder contains:

The procedural document: [Appendix 4: Student Letter of Evaluation](#)
and a folder with [sample letters](#)

Appendix 5: Instructions on the Structure for the Review of Teaching/Instruction

\\Cn-share\library\Shared\P-&-T\Peer-Review-of-teaching (as of 12/23/10)

There are two documents:

Peer Review of Teaching Guidelinesfor PT 2010.doc

Peer-review-observation-checklist.docx

Sample of Teaching and Instruction documented in a vita

Summary of Instruction Sample.doc

The actual summary of student evaluations document as an Appendix to the Dossier

Summary of Instruction Evaluation.doc

Appendix 6: Samples of Past Successful Dossiers

Several faculty members have offered to make copies of their dossiers available to candidates. Electronic copies have been requested and a link to the folder will be added to a Shared drive Promotion and Tenure subfolder called “Sample Dossiers” as they are received.

Please note – any WordPerfect files have also been saved as Word files since not everyone has access to WordPerfect any longer. If both versions are in the subfolder and you can view the file in WordPerfect you’ll see a more accurate view of the original formatting of the dossier. The full path of this directory is:

\\Cn-share\library\Shared\P & T\Tips and Samples\Sample Dossiers

Hyperlink to the above folder (please let the Committee know if this link no longer works):

[../Tips and Samples\Sample Dossiers](#)

Appendix 7: Complete Timeline (for Committee and Panel Members)

Specific dates are flexible within a few days as to the current academic calendar for that year and may also be adjusted in the event of an unusually large number of dossiers to be reviewed as long as the final deadline for University reporting requirements is met. Other extenuating circumstances must be approved by the University Librarian (e.g. changes to the tenure clock for a faculty member).

P&T = Promotion and Tenure

PTR = Post-tenure Review

SRP = Senior Review Panel

All Cascade references are italicized.

ACTIVITIES	DUE DATES by TYPE of REVIEW			
	Promotion & Tenure	3-Yr Pre- Tenure	Post-tenure	Post-tenure w/ External Review
Peer review of teaching of candidates	Preceding Academic Year (includes Summer Term if appropriate)	Preceding Academic Year and Fall Term Current Year	Fall Term current year; Winter term up to submission of Dossier	Fall Term current year; Winter term up to submission of Dossier
Submission by candidate of student reviewer names	April 1 (& July 1 if summer session is relevant)			
Candidate either does or does not sign the <u>Waiver of Access</u> ;	April 1			Oct 1
Supervisors solicits letters from student reviewers	April 15 (& July 15 if summer session is relevant)			
Supervisor alerts AUL in writing of Candidates/Faculty Member up for review	May 15	May 15	Oct. 1	Oct. 1
AUL sends names to Current P&T Committee Chair	May 31	May 31	Oct. 1	Oct. 1
Candidate or PTR faculty member prepare initial dossier	Over summer	Over summer/fall	Oct. 1 – Jan. 31	Oct. 1 – Jan. 31
Ballot to elect Senior Librarians to Senior Review Panel (SRP) prepared/sent out by Current P&T Chair	June 1			
Election of Senior Librarians to Review Panel completed.	June 7			
Ballot to elect next P&T Committee Chair prepared/sent out by Current Chair	June 10	June 10	June 10	June 10
Election of next P&T Committee Chair	June 15	June 15	June 15	June 15

ACTIVITIES	DUE DATES by TYPE of REVIEW			
	Promotion & Tenure	3-Yr Pre- Tenure	Post-tenure	Post-tenure w/ External Review
completed				
Ballot to elect Peer Review Coordinator election prepared/sent by new Chair	June 16	June 16	June 16	June 16
Election of Peer Review Coordinator completed	June 20	June 20	June 20	June 20
Student review letters due to Supervisor	June 30 (& Sept. 1 if Summer Term relevant)			
P&T Committee elects Post-tenure Review Committee from within P&T Committee (can include SRP members) and selects 1 outside faculty member at or above the rank of the faculty member.			Jan. 5	Jan. 5
Peer review of teaching summary letter completed and submitted to supervisor; added to candidate/faculty member dossier	Aug. 31	Dec. 30	Jan. 30	Jan. 30
Candidate/faculty member submits dossier submitted to supervisor for review	Sept. 1	Dec. 31	Jan. 31	Jan. 31
Candidate/faculty member submits suggested list of external reviewers to supervisor	Sept. 1			Jan. 31
Supervisor submits dossier to AUL and to <i>Cascades Associate Dean of Academic Programs if pertinent</i>	Sept. 1	Dec. 31	Jan. 31	Jan.31
Supervisor submits list of external reviewers to AUL	Sept. 1			Jan. 31
Admin. works with supervisor & AUL to process dossier and ensure completeness	Sept. 1-10	Dec. 31 – Jan. 5	Jan. 31 – Feb. 5	Jan. 31 – Feb. 5
Candidate/faculty member acknowledges that initial dossier is complete and current	Sept. 10	Jan. 5	Feb. 5	Feb. 5
AUL reviews and sends to Committee Chair..	Sept. 10	Jan. 10	Feb. 5	Feb. 5
<i>Dossier also sent to Cascades if pertinent</i>	Sept. 10	Jan. 10		
P&T Committee completes preliminary review of dossier	Sept. 15	Jan. 31	Feb. 10	Feb. 10
Committee meets with candidate to strengthen statement & vita	Sept. 15	Jan. 31	Feb. 15	Feb. 15
AUL identifies additional potential external reviewers	Sept. 15			Feb. 15.
Candidate /faculty member may implement Committee suggestions & resubmit dossier to supervisor	Sept. 20	Feb. 10	Feb. 20	Feb. 20
Candidate signs –Dossier Complete & Current	Sept. 20	Feb. 13	Feb. 20	Feb. 20
Admin modifies/amends/adds to dossier in collaboration with candidate/faculty member and supervisor to create final PDF	Sept. 25	Feb. 13	Feb. 20 - 25	Feb. 20 - 25

ACTIVITIES	DUE DATES by TYPE of REVIEW			
	Promotion & Tenure	3-Yr Pre- Tenure	Post-tenure	Post-tenure w/ External Review
(All original materials are kept in a master file in the Library Administration Office.)				
AUL solicits 5 – 8 external letters of evaluation (incl. 2-3 on cand. list).	Sept. 25			Feb. 25
Supervisor forms Student Review Committee	Oct. 1			
Senior Review Panel meets to select Chair and notifies P & T Chairs of selection	Oct. 1			
External Reviewers' Letters of Evaluation due & added to dossier. P&T (<i>and Cascades P&T if pertinent</i>) or PTR Committee notified.	Nov. 15 (or as letters are received)			March 20 (or as letters are received)
Student Review Committee summary letter due & added to dossier P&T Committee(s) notified	Nov. 15			
Committee reviews dossier and all signed letters of input . <i>Same process for Cascades Committee</i>	Nov. 16 – Dec. 10	Feb. 14-24	Feb. 25 – March 15	March 20 – April 5
Supervisor reviews dossier and all signed letters of input	Nov. 16 – Dec. 10	Feb. 14-24		
P&T (<i>and Cascades P&T if pertinent</i>) completes letter, adds to dossier & notifies candidate.	Dec. 10	Feb. 24		
Supervisor completes letter, adds to dossier & notifies candidate.	Dec. 10-15	March 15		
Post-tenure Review Committee completes report & sends to unit head or supervisor. (Report is included in OSUL <i>or Cascades if pertinent</i> faculty member's personnel file)			March 15	April 5
P & T Candidate or PTR faculty member acknowledges reading Committee and Supervisor letters. <i>Cascades Candidates indicate both Committees letters read.</i>	Dec. 10		March 20	April 10
Supervisor meets with Candidate/ PTR faculty member to discuss outcome	Dec. 10 -15		March 20	April 10
If PTR Report is negative, faculty member, unit head and PTR committee meet to develop a plan for improvement.			March 30	April 20
Candidate reviews the open part of her/his file if waiver was signed (If the waiver was not signed – external letters are also open)	Dec. 15	Feb.24 – March 1		
Candidate may request meeting with Committee. <i>Cascades candidates can request meetings with both P&T Committees</i>	Dec. 15	Feb.24 – March 1		
Candidate may add a written statement regarding the review.	Dec. 15	Feb.24 – March 1	March 30	April 20
Dossier w/ Committee letter & candidate comments sent to Senior Review Panel	Dec. 16			

ACTIVITIES	DUE DATES by TYPE of REVIEW			
	Promotion & Tenure	3-Yr Pre- Tenure	Post-tenure	Post-tenure w/ External Review
Senior Review Panel letter completed and added to Dossier	Jan. 7			
Panel notifies candidate that Panel's letter has been added.	Jan. 7			
Candidate may add written comments to file and signs acknowledgement that he/she has read Panel's letter	Jan. 10 (or 3 working days from Jan. 7)			
University Librarian reviews dossier & all letters and candidate's comments	Jan. 10-25			
University Librarian completes letter	Jan. 25			
Candidate reviews open portion of dossier and signs form acknowledging final review. Candidate may request in writing meeting with University Librarian.	Jan. 28 (or 3 working days from Jan. 25)			
University Librarian may meet with Candidate within 3 days of request of the meeting.	No later than Feb. 3			
University Librarian may revise evaluation letter within 3 days of meeting.	No later than Feb. 6			
Candidate may read revised letter. May prepare written statement to be included in dossier.	No later than Feb. 6			
University Librarian revised letter added to dossier	Feb. 7			
Admin prepares final dossier	Feb. 7-10			
University Librarian submits dossier to Office of Academic Affairs	Feb. 10			
3 Year Candidate acknowledges reading Committee letter <i>Cascades Candidates indicate both Committees letters read.</i>		Feb. 24- March 1		
3 Year Candidate meets with supervisor to discuss outcome		Feb.24 – March 1		
3 rd year supervisor letter added to dossier		March 15		
3 year Candidate meets with AUL and supervisor.		March 20		
3 year Candidate reviews his/her entire dossier and may add comments. The candidate signs a statement indicating that he/she has reviewed the completed dossier		March 25		
AUL forwards 3 year dossier, review letters and AUL's summary of recommendations to the University Librarian.		March 30		
UL notified of outcome of University level review, informs candidate	Late spring			
UL announces successful outcomes to all staff	Late Spring			
Candidate receives written notification of	June 30			

ACTIVITIES	DUE DATES by TYPE of REVIEW			
	Promotion &Tenure	3-Yr Pre- Tenure	Post-tenure	Post-tenure w/ External Review
review outcome				
P&T Committee follows up on faculty members progress on Post-tenure Review plan				Max. 3 years from plan creation

| Document revised: ~~February~~Feb. 13, 2006

2nd revision: August, 2006

3rd revision: December 9, 2008

4th revision (Senior Review Panel): June 23, 2009

5th revision (removal of references to AUL in Senior Review Panel and Penny Montgomery's support; reflection of Becky Johnson's comments on dossier changes): August 26, 2009

6th Revision (tenured AULs eligible for P&T Committee; addition of student review process; peer review of teaching process modified; Senior Review Panel removed from 3rd year review): May 2010

7th revision (Post tenure review guidelines reinstated; inclusion of statement concerning constitution of committees in P&T Committee and Senior Review Committee letters per Becky Warner email;

CRITERIA FOR PROMOTION AND TENURE

Candidates for promotion and tenure will be evaluated objectively for evidence of excellence in their performance of assigned duties and in their scholarship or creative activity. Each of these responsibilities will be documented in the dossier.

Oregon State University is committed to educating, both on and off campus, the citizens of Oregon, the nation, and the international community, and in expanding and applying knowledge. The responsibilities of individual faculty in relation to these fundamental commitments will vary and will be specified in his or her individualized position description. Whatever the assignment, faculty in the professorial ranks will engage in appropriate scholarship and other creative activity, with a minimum of 15% FTE allocated to this.

All faculty are expected to be collegial members of their units, and to perform appropriate service that contributes to the effectiveness of their departments, colleges, and the University, and of their professions. Relative contributions expected in the various areas of responsibility will depend on the faculty member's assignment.

ADD HERE, BASED ON UC BERKELEY:

Oregon State University aspires to be a collaborative, inclusive, and caring community that strives for equity and equal opportunity. In the process of promotion and tenure these aspirations are recognized in the following ways. Direct contributions to equity, inclusion, and diversity can take several forms. Such contributions can be part of teaching, advising, research, extension, and service. They can be, but do not have to be, part of scholarly work. In order for such contributions to be evaluated for promotion and tenure it is important that they are formalized in a position description. Oregon State University's aspirations go further, however. They require that collegiality implies acceptance of diversity of opinion. Collegiality is a two-way street. Efforts by faculty members to promote equity, inclusion, and diversity should be considered positively in promotion and tenure.

CRITERIA FOR PROMOTION AND TENURE

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All faculty are expected to be collegial members of their units, and to perform appropriate service that contributes to the effectiveness of their departments, colleges, and the University, and of their professions. Relative contributions expected in the various areas of responsibility will depend on the faculty member's assignment. [Collegiality also implies acceptance of diversity of opinion.](#)

ADD HERE, BASED ON UC BERKELEY:

Oregon State University aspires to be a collaborative, inclusive, and caring community that strives for equity and equal opportunity. [This aspiration should be recognized in the process of promotion and tenure for all faculty.](#) ~~these aspirations are recognized in the following ways.~~ ~~Direct contributions~~ Contributions to equity, inclusion, and diversity can take several forms. ~~They~~ ~~Such contributions~~ Such contributions can be part of teaching, advising, research, extension, and service. They can be, but do not have to be, part of scholarly work. In order for [exceptional levels of equity and inclusion](#) ~~such work contributions~~ to be evaluated for promotion and tenure, ~~it is important this expectation be at they are~~ it is important that this expectation be formalized in a position description. ~~Oregon State University's aspirations go further, however. They require that collegiality implies acceptance of diversity of opinion. Collegiality is a two-way street.~~ Efforts by faculty members to promote equity, inclusion, and diversity should be considered positively in promotion and tenure.

Scholarship of Administration

15% of the assigned duties for this position are expected to result in scholarly outcomes. Scholarly and creative work is intellectual work whose significance is validated by peers and that is communicated. Emphasis is placed on peer recognition as a professional practitioner. Honorary degrees, awards recognizing community, professional and/or scientific achievements, and fellowships in national professional and/or scientific organizations are considered as evidence of peer recognition.

To achieve promotion, scholarship for this position must include peer reviewed materials that are durable in and findable in the web environment. These are typically of the two types shown below but as our communication worlds change, other types of scholarship may fit these durability and findable criteria:

- Publications in peer-reviewed journals that encompass outcomes of research activities, outcomes of administrative activities, outcomes of innovative programs and/or services, or case reports, among others.
- Authorship of extension publications, local or regional "practice" publications, book chapters, videotapes, other educational materials and electronic information delivery media if it is either peer reviewed before dissemination or if there is evidence of its adoption and use by peers and/or specific documentation of impact.

To achieve promotion, there must be an on-going record that both of these types of scholarship are being done though each does not need to be present in every year of record.

These durable, web-findable materials may be augmented by other forms of peer validation such as the following:

- Invited presentations, poster and podium presentations, and published abstracts at state and national levels, provided that evidence of peer validation is provided.
- Development of policies, procedures and practices that address assigned leadership duties for improved operations and are shared with other administrative peers within and outside of OSU. "Outside" includes state, regional, national or international university peers as well as administrators in other governmental and private organizations. Documentation of adoption or adaptation of such policies, procedures and practices by other administrators is required.
- Advising government agencies, industry, or professional groups.
- Authorship of a patent in the faculty member's field

Service – conversation about expectations (02-02-14 – Karow)

1. *Current Faculty Handbook Language*

- a. **Service:** Faculty service is essential to the University's success in serving its central missions, and is a responsibility of all faculty. Faculty will be held accountable for that responsibility, and rewarded for their contribution according to specific expectations laid out in their position descriptions. As with other duties, the FTE ascribed to service in the position description should be an accurate representation of the time assigned to the activity.
Faculty members perform a broad array of services that are vital to supporting and sustaining the quality and effectiveness of the University and its programs (institutional service), and to their disciplines (professional service). *Faculty members are expected to provide service to the University, its students, clients, and programs, as collegial and constructive members of the University and the broader community.* Examples include service in faculty governance; in academic and student-support units; in international development; in community and state programs; in mentoring students and student groups; and on department, college, and university committees. *Service to professional organizations contributes to the national and international intellectual communities of which OSU is a part.* The part of faculty members' service duties that draw upon their professional expertise and/or are relevant to their assignment, may be considered as a component of a faculty member's scholarship or creative activity, if the work meets the standard criteria of peer validation and dissemination. The appropriate designation of each service duty should be discussed with the individual's supervisor prior to taking on the duty.
Many faculty make important *service contributions to university relations or to the community* that are not directly related to their appointments. Though valuable in their own right, and ideally a responsibility of all citizens, *these efforts are considered in promotion and tenure decisions only to the extent that they contribute to the mission of the University.*

b. **Criteria for Promotion**

- i. Promotion to the rank of Associate Professor is based upon evidence of the candidate's: appropriate balance of institutional and professional service.
 - ii. Promotion to the rank of Professor is based upon evidence of the candidate's: exemplary institutional and professional service, and an appropriate balance between the two.
2. The concern - there is circumstantial evidence that we have created or narrowed our definition of what it means to demonstrate exemplary service for the associate to full promotion
 - a. University governance participation seems to be an expectation rather than just one of the types of institutional service that can be used to meet promotion metrics
 - b. Leadership of professional organizations seems to be the metric for promotion

- c. Is this indeed the case? If so, do we need to specifically state that full professor promotions require leadership at both in both institutional and professional settings, in appropriate balance? Or can being an exceptional “work horse” be enough?
- d. Does significant leadership on departmental or university committees qualify as distinction for some positions, i.e. off-campus based faculty, versus Faculty Senate participation? While remote participation in FS is possible, full participation is still challenging.
- e. Should we/can we create different exemplary service expectations for faculty depending on the known circumstances of their position?
- f. Note From Faculty Senate Executive Committee Fall 2013 Retreat – We now have two promotional steps in all positions types. Step one is being a good citizen. Step two is providing leadership and demonstrating leadership capacity. The level will vary with position. The types of activity can vary with positions but the difference between the two steps must be obvious so that one can distinguish one from the other. Better articulate expectations.

GUIDELINES FOR PROFESSOR OF PRACTICE APPOINTMENTS AND PROMOTION (1/29/13 DRAFT)

I. GENERAL PURPOSE

The purpose of these guidelines is to provide criteria and procedures for evaluation and promotion of professor of practice faculty at Oregon State University. These guidelines serve to define and differentiate practice-track faculty appointments from the traditional academic (tenure) track. These guidelines are consistent with the Promotion and Tenure Guidelines of Oregon State University, particularly as they relate to promotion, and will be implemented in conjunction with those guidelines. These guidelines should not be interpreted to alter the provisions of Board rules on fixed term appointments.

II. ACADEMIC POSITIONS

This document defines the responsibilities of professor of practice faculty at Oregon State University and serves to provide guidance to such faculty in assessing the appropriateness of their activities. The scope of responsibilities outlined in the mission statement of Oregon State University dictates that the faculty be comprised of individuals with widely varying activities and responsibilities to fulfill the mission of the University.

In recognition of this, Oregon State University recognizes several faculty categories. Each category is created to be unique to the responsibilities and expectations of faculty within, but nothing in this document is to imply a hierarchy of importance between tenure-track and practice-track faculty.

Professor of Practice Track Faculty

As a Land Grant university, Oregon State University has as part of its mission the conduct of locally/regionally meaningful education, research, and community outreach and engagement. OSU's deep collaboration with the communities it serves has earned it the *Community Engagement* designation by the Carnegie Foundation for the Advancement of Teaching. Achieving the land-grant mission requires that some faculty be excellent educators and practitioners who can also effectively translate research for application in or with communities. Faculty with significant responsibility for non-formal education or community outcomes may be defined as professors of practice, and position titles include Assistant Professor of Practice, Associate Professor of Practice, and Professor of Practice. The practice-track classification is not limited to faculty with an Extension assignment, nor should all Extension assignments be in this track. It is to be used only for faculty whose primary work assignments are in professionally related community education and service, though scholarship and university service are also expected. Development of an independent research program is not essential, and most scholarship activities are expected to contribute to effective educational program delivery and research application. Professor of Practice faculty are not eligible for tenure, but are eligible for multi-year, rolling contracts at the Associate and Full Professor ranks.

III. PROCEDURES FOR INITIAL APPOINTMENT OF PROFESSOR OF PRACTICE FACULTY

The process for identifying and evaluating candidates for initial appointment to Professor of Practice positions will follow the same faculty search committee procedures as for traditional

academic (tenure) track appointments. Announcements and position descriptions will clearly state the nature of the position.

Professor of Practice faculty appointments are fixed term at the assistant rank but are eligible for multi-year, rolling contracts at Associate and Full Professor levels. Position announcements must clearly state such eligibility, if to be offered. Reappointment is at the discretion of the department head, dean or equivalent.

Candidates for appointment or promotion to the rank of Assistant Professor of Practice and above are expected to demonstrate a balance of accomplishment and competence in community-related practice, teaching and educational development, scholarship, and service to the institution and profession. They should be knowledgeable in their field and establish a local, regional or national reputation as making significant contributions appropriate to the rank and discipline.

IV. ANNUAL EVALUATION, MID-TERM REVIEW AND PROMOTION OF PROFESSORS OF PRACTICE

Faculty members in the Professor of Practice ranks will be evaluated annually by their academic unit leader and their immediate supervisor, if the latter is other than the academic unit leader. The evaluation will include an assessment of the individual's involvement in educational programs, research programs, student advising, scholarly activities, service contributions and other duties as defined in their position description. Mid-term reviews shall be conducted following the procedures outlined for tenure-track faculty. When a faculty member wishes to be considered for promotion, he or she will submit a dossier, and the department head (or equivalent) will make a recommendation to the unit Personnel Committee (Promotion and Review Committee) and ask for its evaluation of the faculty member's progress. The Personnel Committee (Promotion and Review Committee) will recommend whether or not to promote. Reviews and recommendations at the college and university levels will follow procedures established by the Oregon State University Promotion and Tenure Guidelines as applicable to promotions. The Provost will make the final decision on whether or not to promote.

V. PROFESSOR OF PRACTICE SCHOLARSHIP AND CREATIVE ACTIVITY

All Oregon State University faculty in the professorial ranks have a responsibility to engage in scholarship and creative activity. Scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated. In general, scholarly expectations for Professor of Practice faculty will be between 5 and 15% of the individual's total position expectations. This level of scholarly expectation differs from tenure track faculty who have relatively larger scholarly expectations.

The appropriateness and importance of the type of scholarship will vary with the expectations of the position. The principle of peer review and recognition becomes increasingly important as the faculty member progresses through academic ranks. In the case of Professor of Practice faculty, emphasis is placed on peer recognition as a professional practitioner in community settings. Peer recognition results from scholarly accomplishments that can take many forms. The order of examples is not intended to rank importance. While publication in peer-reviewed journals is the most traditional form of scholarship, professor of practice-track publications might more commonly encompass description and evaluation of novel community-based professional practice or research application, program development and innovation, outcomes of innovative programs and/or services, definitive professional practice reviews, or case reports among

others. Authorship of extension publications, local or regional “practice” publications, book chapters, videotapes, other educational materials and electronic information delivery media is considered scholarly if it is either peer reviewed before dissemination or if there is evidence of its adoption and use by peers. Invited presentations, poster and podium presentations, and published abstracts at state and national levels are other examples of scholarship, provided that evidence of peer validation is provided. Documented impact due to local or regional adoption of practices developed through research activities is considered scholarship. Advising government agencies, industry, or professional groups are all considered evidence of scholarship. Authorship of a patent in the faculty member’s field is considered as evidence of creative scholarship.

Honorary degrees, awards recognizing community, professional and/or scientific achievements, and fellowship in national professional and/or scientific organizations are considered as evidence of peer recognition.

Proposed criteria for Promotion of Senior Instructors or FRAs to Senior II

Criteria for Promotion of Instructors (<http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#criteria>)

Promotion from the rank of Instructor to Senior Instructor may be considered after four years of full-time service, calculated from the hire date to December 31 of the calendar year prior to the promotion decision (promotion decisions are made in June of the following year). For part-time instructors at 0.50 FTE or greater, promotion to Senior Instructor may be considered after accumulating the equivalent of four academic years of full-time service. For fixed-term instructors with extended prior service, promotion to the rank of Senior Instructor cannot be made effective before the end of the third year of full-time service, or the accumulation of its equivalent for part-time instructors at 0.50 FTE or greater.

To be promoted, a candidate must:

- have a graduate degree appropriate to the assigned duties, or comparable educational or professional experience;
- have special skills or experience needed in the unit;
- have an exceptional record of achievement in the assigned duties.

Promotion to the rank of Senior II Instructor may be considered after four years of full-time service at the rank of Senior Instructor, or the accumulation of its equivalent for part-time Senior Instructors at 0.50 FTE or greater. To be promoted, a candidate must have a sustained record of exceptional achievement and evidence of professional growth and innovation in assigned duties.

The criteria for Teaching, Advising, and Other Assignments in this document can provide guidelines for documenting and evaluating the level of achievement. Promotions cannot be made from non-professorial to professorial ranks.

Criteria for Promotion of Faculty Research Assistants

Faculty with non-professorial rank are hired in positions to meet units' specific needs. Criteria for promotion will therefore be specific to the candidate's position description.

Promotion from Faculty Research Assistant to Senior Faculty Research Assistant may be considered after four years of full-time service, calculated from the hire date to December 31 of the calendar year prior to the promotion decision (promotion decisions are made in June of the following year). For part-time Faculty Research Assistants at 0.50 FTE or greater, promotion to Senior Faculty Research Assistant may be considered after accumulating the equivalent of four years of full-time service. For Faculty Research Assistants with extended prior service, promotion to the rank of Senior Faculty Research Assistant cannot be made effective before the end of the third year of full-time service, or the accumulation of its equivalent for part-time Faculty Research Assistants at 0.50 FTE or greater.

To be promoted, a candidate must:

- have a graduate degree appropriate to the field in which the research activities are performed, or comparable educational or professional experience;
- demonstrate a high level of competence, achievement, and potential in research, or serve effectively in a position requiring high individual responsibility or special professional expertise;
- demonstrate a high degree of initiative in research and leadership among research colleagues in the department, as documented in authorship, management responsibilities, and creative approaches to research.

Promotion to the rank of Senior II Faculty Research Assistant may be considered after four years of full-time service at the rank of Senior Faculty Research Assistant, or the accumulation of its equivalent for part-time Senior Faculty Research Assistants at 0.50 FTE or greater. To be promoted, a candidate must have a sustained record of exceptional achievement and innovation in assigned duties.

FACULTY RANKS (<http://oregonstate.edu/admin/aa/faculty-handbook-academic-freedom-and-faculty-appointments>)

Employees of the Oregon University System are faculty, (academic or professional), and classified (support staff). OSU has adopted "Guidelines for Academic Appointments" that specify how faculty ranks are assigned. Copies of these guidelines can be accessed at the following website <http://oregonstate.edu/admin/hr/policies.html>.

Professorial Rank. Professorial ranks (Professor, Associate Professor, Assistant Professor) are reserved for faculty whose responsibilities and positions carry the expectation of scholarly accomplishments. Expectations for each rank are given in Promotion and Tenure Guidelines (Chapter 8). Faculty with professorial rank include:

1. Regular faculty (paid all or in part by state accounts).
2. Senior Research faculty (fixed-term faculty paid entirely or primarily from research grants or contracts). Titles for these faculty are listed either as Professor (Senior Research) or Senior Research Professor; Associate Professor (Senior Research) or Research Associate Professor; and Assistant Professor (Senior Research) or Research Assistant Professor.
3. Clinical faculty and Professor of Practice faculty. Titles for these faculty are listed as Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor; or Professor of Practice, Associate Professor of Practice, Assistant Professor of Practice.
4. Courtesy faculty — faculty not paid by OSU accounts, but who contribute to the mission of the University through teaching, research, or service.
5. Visiting faculty — visitors on leave from other institutions of higher education or the private sector and paid by OSU accounts.
6. Adjunct faculty — the term adjunct is used when a department chooses to recognize the contribution of an OSU faculty member who is employed by another unit within the University.

Professional Position Titles without Rank. Faculty in academic support, administrative support, and student support units are assigned professional titles when, in the view of the unit administrator and the appropriate vice provost, a professional position title most adequately describes the responsibilities of the position and qualifications of the individuals holding those positions.

Research Associate. The rank of Research Associate requires the highest degree appropriate to the field in which the research is being conducted. Research Associates are generally not principal investigators. Two uses of this rank are made at Oregon State University:

- for career doctoral-level researchers, and
- for postdoctoral trainees.

Instructor, Senior Instructor, and Senior II Instructor. These ranks are used for faculty with primary responsibilities in instruction who hold positions that do not carry a substantial expectation for scholarly accomplishments. All faculty members with the rank of Instructor must be on fixed-term (non-tenure-track) appointments. Senior Instructors and Senior II Instructors may be granted tenure.

Faculty Research Assistant, Senior Faculty Research Assistant, and Senior II Faculty Research Assistant. These ranks are used for key support faculty members engaged in research. The positions require bachelor's degrees but not the doctoral degree or other terminal degree appropriate to the field in which the research is being conducted.

Proposed criteria for Promotion of Senior Instructors or FRAs to Senior II

Criteria for Promotion of Instructors (<http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#criteria>)

Promotion from the rank of Instructor to Senior Instructor may be considered after four years of full-time service, calculated from the hire date to December 31 of the calendar year prior to the promotion decision (promotion decisions are made in June of the following year). For part-time instructors at 0.50 FTE or greater, promotion to Senior Instructor may be considered after accumulating the equivalent of four years of full-time service in relation to their appointment type – (9 or 12 month.) For fixed-term instructors with extended prior service, promotion to the rank of Senior Instructor cannot be made effective before the end of the third year of full-time service, or the accumulation of its equivalent for part-time instructors at 0.50 FTE or greater.

To be promoted, a candidate must:

- have a graduate degree appropriate to the assigned duties, or comparable educational or professional experience;
- have special skills or experience needed in the unit;
- have an exceptional record of achievement in the assigned duties.

Promotion to the rank of Senior II Instructor may be considered after four years of full-time service at the rank of Senior Instructor, or the accumulation of its equivalent for part-time Senior Instructors at 0.50 FTE or greater in relation their appointment type (9 or 12-month.) To be promoted, a candidate must have a sustained record of exceptional achievement and evidence of professional growth and innovation in assigned duties.

The criteria for Teaching, Advising, and Other Assignments in this document can provide guidelines for documenting and evaluating the level of achievement. Promotions cannot be made from non-professorial to professorial ranks. Senior Instructors and Senior II Instructors are eligible for multi-year, rolling contracts, provided the possibility for such was listed in the position announcement under which they were hired.

Criteria for Promotion of Faculty Research Assistants

Faculty members with non-professorial rank are hired in positions to meet units' specific needs. Criteria for promotion will therefore be specific to the candidate's position description.

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To be promoted, a candidate must:

- have a graduate degree appropriate to the field in which the research activities are performed, or comparable educational or professional experience;
- demonstrate a high level of competence, achievement, and potential in research, or serve effectively in a position requiring high individual responsibility or special professional expertise;
- demonstrate a high degree of initiative in research and leadership among research colleagues in the department, as documented in authorship, management responsibilities, and creative approaches to research.

Promotion to the rank of Senior II Faculty Research Assistant may be considered after four years of full-time service at the rank of Senior Faculty Research Assistant, or the accumulation of its equivalent for part-time Senior Faculty Research Assistants at 0.50 FTE or greater in relation to their appointment type (9 or 12-month.) To be promoted, a candidate must have a sustained record of exceptional achievement and innovation in assigned duties. Senior Faculty Research Assistants and Senior II Faculty Research Assistants are eligible for multi-year, rolling contracts provided the possibility for such was listed in the position announcement under which they were hired.

GUIDELINES FOR PROFESSOR OF PRACTICE APPOINTMENTS AND PROMOTION

I. GENERAL PURPOSE

The purpose of these guidelines is to provide criteria and procedures for evaluation and promotion of professor of practice faculty at Oregon State University. These guidelines serve to define and differentiate practice-track faculty appointments from the traditional academic (tenure) track. These guidelines are consistent with the Promotion and Tenure Guidelines of Oregon State University, particularly as they relate to promotion, and will be implemented in conjunction with those guidelines. These guidelines should not be interpreted to alter the provisions of Board rules on fixed term appointments.

II. ACADEMIC POSITIONS

This document defines the responsibilities of professor of practice faculty at Oregon State University and serves to provide guidance to such faculty in assessing the appropriateness of their activities. The scope of responsibilities outlined in the mission statement of Oregon State University dictates that the faculty be comprised of individuals with widely varying activities and responsibilities to fulfill the mission of the University.

In recognition of this, Oregon State University recognizes several faculty categories. Each category is created to be unique to the responsibilities and expectations of faculty within, but nothing in this document is to imply a hierarchy of importance between tenure-track and practice-track faculty.

Professor of Practice Track Faculty

As a Land Grant university, Oregon State University has as part of its mission the conduct of locally/regionally meaningful education, research, and community outreach and engagement. OSU's deep collaboration with the communities it serves has earned it the *Community Engagement* designation by the Carnegie Foundation for the Advancement of Teaching. Achieving the land-grant mission requires that some faculty be excellent educators and practitioners who can also effectively translate research to application in or with communities. Faculty members with significant responsibility for non-formal education or community outcomes may be defined as professors of practice, and position titles include Assistant Professor of Practice, Associate Professor of Practice, and Professor of Practice. The practice-track classification is not limited to faculty members with an Extension assignment, nor should all Extension assignments be in this track. It is to be used only for faculty members whose primary work assignments are in professionally related community education and service, though scholarship and university service are also expected. Development of an independent research program is not essential though this may be appropriate in some instances, and most scholarship activities are expected to contribute to effective educational program delivery and research application at local or regional levels. Professor of Practice faculty members are not eligible for tenure, but are eligible for multi-year, rolling contracts at the Associate and Full Professor ranks.

III. PROCEDURES FOR INITIAL APPOINTMENT OF PROFESSOR OF PRACTICE FACULTY

The process for identifying and evaluating candidates for initial appointment to Professor of Practice positions will follow the same faculty search committee procedures as for traditional academic (tenure) track appointments. Announcements and position descriptions will clearly state the nature of the position.

Professor of Practice faculty appointments are fixed term at the assistant rank but are eligible for multi-year, rolling contracts at Associate and Full Professor levels. Position announcements must clearly state such eligibility, if to be offered. Reappointment is at the discretion of the department head, dean, or equivalent.

Candidates for appointment or promotion to the rank of Assistant Professor of Practice and above are expected to demonstrate a balance of accomplishment and competence in community-related practice, teaching and educational development, scholarship, and service to the institution and profession. They should be knowledgeable in their field and establish a local, regional or national reputation as making significant contributions appropriate to the rank and discipline.

IV. ANNUAL EVALUATION, MID-TERM REVIEW AND PROMOTION OF PROFESSORS OF PRACTICE

Faculty members in the Professor of Practice ranks will be evaluated annually by their academic unit leader and their immediate supervisor, unless the latter is the academic unit leader. The evaluation will include an assessment of the individual's involvement in educational programs, research programs, student advising, scholarly activities, service contributions and other duties as defined in their position description. Mid-term (three-year) reviews shall be conducted following the procedures outlined for tenure-track faculty. When a faculty member wishes to be considered for promotion (typically at the five year mark for those entering the system as assistant professors), he or she will submit a dossier, and the department head (or equivalent) will forward the request to the unit Promotion and Review Committee and ask for its evaluation of the faculty member's progress. The Promotion and Review Committee will recommend whether or not to promote. Reviews and recommendations at the college and university levels will follow procedures established by the Oregon State University Promotion and Tenure Guidelines as applicable to promotions. The Provost will make the final decision on whether or not to promote.

It is expected that promotion from associate to professorial rank will follow the same general timeframes as for regular faculty. Promotion to the rank of Professor is based upon evidence of the candidate's distinction in performance of assigned duties, documentable impact of educational programs and/or applied research findings; and exemplary service in the activity areas defined in their position description (local, regional, university, professional, etc.)

V. PROFESSOR OF PRACTICE SCHOLARSHIP AND CREATIVE ACTIVITY

All Oregon State University faculty members in the professorial ranks have a responsibility to engage in scholarly and creative work. Scholarly and creative work are understood to be intellectual work whose significance is validated by peers and which is communicated. In general, scholarly expectations for Professor of Practice faculty will be between 5 and 15% of

the individual's total position expectations. This level of scholarly expectation differs from tenure track faculty positions which have relatively larger scholarly expectations.

The appropriateness and importance of the type of scholarship will vary with the expectations of the position. The principle of peer review and recognition becomes increasingly important as the faculty member progresses through academic ranks. In the case of Professor of Practice faculty, emphasis is placed on peer recognition as a professional practitioner in community settings. Peer recognition results from scholarly accomplishments can take many forms. The order of examples is not intended to rank importance. Publication in peer-reviewed journals is the most traditional form of scholarship, but professor of practice-track publications might more commonly encompass description and evaluation of novel community-based professional practice or research application, program development and innovation, outcomes of innovative programs and/or services, definitive professional practice reviews, or case reports among others. Authorship of extension publications, local or regional "practice" publications, book chapters, videotapes, other educational materials and electronic information delivery media is considered scholarly if it is either peer reviewed before dissemination or if there is evidence of its adoption and use by peers. Invited presentations, poster and podium presentations, and published abstracts at state and national levels are other examples of scholarship, provided that evidence of peer validation is provided. Documented impact due to local or regional adoption of practices developed through research activities is considered scholarship. Advising government agencies, industry, or professional groups are all considered evidence of scholarship. Authorship of a patent in the faculty member's field is considered as evidence of creative scholarship.

Honorary degrees, awards recognizing community, professional and/or scientific achievements, and fellowship in national professional and/or scientific organizations are considered as evidence of peer recognition.



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Materials linked from the February 21, 2013 Promotion & Tenure Committee agenda.

October 29, 2012

To: Henri Jansen, Chair of the Faculty Senate P&T Committee
From: Dudley Chelton, Chair of the 2012 CEOAS P&T Committee

A handwritten signature in black ink, appearing to read "D. Chelton", with a stylized flourish at the end.

Subject: External Letters for P&T

I am following up on the question about Conflict of Interest (COI) on external letters for P&T that I asked at the October 26 P&T Forum held by you and Rebecca Warner.

To reiterate, the present OSU policy for external letters as stated in Section IX Letters of Evaluation in the Faculty Handbook for Promotion and tenure guidelines states the following:

Letters should generally be from leaders in the candidate's field, chosen for their ability to evaluate the candidate's scholarly work. Letters should not be solicited from co-authors, co-principal investigators, former professors, or former students. If such letters are necessary, include an explanation and state why the evaluator can be objective.

The 2012 CEOAS P&T Committee appreciates that the intent of this policy is to avoid conflict of interest. However, coauthors and co-PIs are sometimes precisely the leaders in the candidate's field whose input is most valuable to the P&T review. Indeed, a P&T candidate who is coauthoring papers with the leaders in their field is likely to be doing cutting edge research. Moreover, coauthors and co-PIs can provide a perspective that could be valuable to the P&T review process about the candidate's role in a collaboration and the candidate's ability to work with a group on a coauthored paper. There is no guarantee whatsoever that evaluations from coauthors and co-PIs will be positive. It is very conceivable that they will be the opposite.

We would like to propose changing the OSU policy for disallowing external reviews by anyone who has ever been a coauthor or co-PI by adopting the same definition of Conflict of Interest that the National Science Foundation uses for proposal reviews. As per the text highlighted in yellow on pages 12-13 of the attached Chapter II from the NSF Grant Proposal Guide, NSF defines potential conflicts of interest or bias in the selection of reviewers as:

... all persons ... who are currently, or who have been collaborators or co-authors with the individual on a project, book, article, report, abstract or paper during the 48 months preceding the submission of the proposal. Also ... those individuals who are currently or have been co-editors of a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal.

With this definition, the P&T Committee would be able to use coauthors as external reviewers, as long as the coauthorship was more than 4 years prior to the initiation of the P&T review.



Grant Proposal Guide

NSF 08-1 January 2008

CHAPTER II - PROPOSAL PREPARATION INSTRUCTIONS

Each proposing organization that is new to NSF or has not received an NSF grant within the previous two years should be prepared to submit basic organization and management information and certifications, when requested, to the applicable award making division within BFA. The requisite information is described in the **Prospective New Awardee Guide**. The information contained in this Guide will assist the organization in preparing documents which the National Science Foundation requires to conduct administrative and financial reviews of the organization. This Guide also serves as a means of highlighting the accountability requirements associated with Federal awards.

To facilitate proposal preparation, Frequently Asked Questions (FAQs) regarding proposal preparation and submission are available electronically on the NSF website.⁸

A. Conformance with Instructions for Proposal Preparation

It is important that all proposals conform to the instructions provided in the GPG. Conformance is required and will be strictly enforced unless an authorization to deviate from standard proposal preparation requirements has been approved. NSF may return without review proposals that are not consistent with these instructions. See **GPG Chapter IV.B** for additional information. NSF must authorize any deviations from these instructions in advance of proposal submission. Deviations may be authorized in one of two ways:

1. through specification of different requirements in an NSF program solicitation; or
2. by the written approval of the cognizant NSF Assistant Director/Office Head or designee. These approvals to deviate from NSF proposal preparation instructions may cover a particular program or programs or, in rare instances, an “individual” deviation for a particular proposal.

Proposers may deviate from these instructions only to the extent authorized. Proposals must include an authorization to deviate from standard NSF proposal preparation instructions has been received in one of the following ways, as appropriate: (a) by identifying the solicitation number that authorized the deviation in the appropriate block on the proposal Cover Sheet; or (b) for individual deviations, by identifying the name, date and title of the NSF official authorizing the deviation.⁹ Further instructions are available on

the FastLane website.

B. Format of the Proposal

Prior to electronic submission, it is strongly recommended that proposers conduct an administrative review to ensure that proposals comply with the proposal preparation guidelines established in the GPG. **GPG Exhibit II-1** contains a proposal preparation checklist that may be used to assist in this review. This checklist is not intended to be an all-inclusive repetition of the required proposal contents and associated proposal preparation guidelines. It is, however, meant to highlight certain critical items so they will not be overlooked when the proposal is prepared.

1. Proposal Pagination Instructions

Proposers are advised that FastLane does not automatically paginate a proposal. Each section of the proposal that is uploaded as a file must be individually paginated prior to upload to the electronic system.

2. Proposal Margin and Spacing Requirements

The proposal must be clear, readily legible, and conform to the following requirements:

a. Use one of the following typefaces identified below:

- Arial¹⁰, Courier New, or Palatino Linotype at a font size of 10 points or larger
- Times New Roman at a font size of 11 points or larger
- Computer Modern family of fonts at a font size of 11 points or larger

A font size of less than 10 points may be used for mathematical formulas or equations, figure, table or diagram captions and when using a Symbol font to insert Greek letters or special characters. PIs are cautioned, however, that the text must still be readable;

b. No more than 6 lines of text within a vertical space of 1 inch; and

c. Margins, in all directions, must be at least an inch.

These requirements apply to all uploaded sections of a proposal, including supplementary documentation.

3. Page Formatting

Since many reviewers will be reviewing proposals electronically, proposers are strongly encouraged to use only a standard, single-column format for the text. Avoid using a two-column format since it can cause difficulties when reviewing the document electronically.

While line spacing (single-spaced, double-spaced, etc.) is at the discretion of the proposer, established page limits must be followed. (Individual program solicitations, however, may eliminate this proposer option by requiring other type size, margin or line spacing requirements.)

The guidelines specified above establish the **minimum** type size requirements; however, PIs are advised that readability is of paramount importance and should take precedence in selection of an appropriate font for use in the proposal. **Small type size makes it difficult for reviewers to read the proposal; consequently, the use of small type not in compliance with the above guidelines may be grounds for NSF to return the proposal without review.** Adherence to type size and line spacing requirements also is necessary to ensure that no proposer will have an unfair advantage, by using smaller type or line spacing to provide more text in the proposal.

C. Proposal Contents

NSF utilizes a variety of mechanisms to generate proposals. A brief description of each category of funding opportunity follows:

1. Single-Copy Documents

Certain categories of information that are submitted in conjunction with a proposal are for "NSF Use Only." As such, the information is not provided to reviewers for use in the review of the proposal. With the exception of proposal certifications (which are submitted via the Authorized Organizational Representative function¹¹), these documents should be submitted electronically via the Proposal Preparation Module in the FastLane System. A summary of each of these categories follows:

a. Information About Principal Investigators/Project Directors and co-Principal Investigators/co-Project Directors

NSF is committed to providing equal opportunities for participation in its programs and promoting the full use of the Nation's research and engineering resources. To aid in meeting these objectives, NSF requests information on the gender, race, ethnicity and disability status of individuals named as PIs/co-PIs on proposals and awards. Except for the required information about current or previous Federal research support and the name(s) of the PI/co-PI, submission of the information is voluntary, and individuals who do not wish to provide the personal information should check the box(es) provided for that purpose.

b. Authorization to Deviate from NSF Proposal Preparation Requirements (if applicable)

Instructions for obtaining authorization to deviate from NSF proposal preparation instructions are provided in **GPG Chapter II.A.**

c. List of Suggested Reviewers or Reviewers Not to Include (optional)

Proposers may include a list of suggested reviewers who they believe are especially well qualified to review the proposal. Proposers also may designate persons they would prefer not review the proposal, indicating why. These suggestions are optional. **GPG Exhibit II-2** contains information on conflicts of interest that may be useful in preparation of this list.

The cognizant Program Officer handling the proposal considers the suggestions and may

contact the proposer for further information. However, the decision whether or not to use the suggestions remains with the Program Officer.

d. Proprietary or Privileged Information (if applicable)

Instructions for submission of proprietary or privileged information are provided in **GPG Chapter I.D.3.**

e. Proposal Certifications

With the exception of the **Disclosure of Lobbying Activities (SF LLL)** identified below, the procedures for submission of the proposal certifications differ from those used with other single-copy documents. The AOR must use the "Authorized Organizational Representative function" in the FastLane System to electronically sign and submit the proposal certifications. It is the proposing organization's responsibility to assure that only properly authorized individuals sign in this capacity.¹²

The required proposal certifications are as follows:

- **Certification for Authorized Organizational Representative or Individual Proposer:** The AOR is required to complete certifications regarding the accuracy and completeness of statements contained in the proposal, as well as to certify that the organization (or individual) agrees to accept the obligation to comply with award terms and conditions.
- **Certification Regarding Conflict of Interest:** The AOR is required to complete certifications stating that the institution¹³ has implemented and is enforcing a written policy on conflicts of interest, consistent with the provisions of **AAG Chapter IV.A.**; that, to the best of his/her knowledge, all financial disclosures required by the conflict of interest policy were made; and that conflicts of interest, if any, were, or prior to the institution's expenditure of any funds under the award, will be, satisfactorily managed, reduced or eliminated in accordance with the institution's conflict of interest policy. Conflicts that cannot be satisfactorily managed, reduced or eliminated must be disclosed to NSF via use of the Notifications and Requests Module in the NSF FastLane System.
- **Drug-Free Workplace:** The AOR is required to complete a certification regarding the Drug-Free Workplace Act. See **GPG Exhibit II-3** for the full text of the Drug-Free Workplace Certification.
- **Debarment and Suspension:** The AOR is required to complete a certification regarding Debarment and Suspension. See **GPG Exhibit II-4** for the full text of the Debarment and Suspension Certification.
- **Certification Regarding Lobbying:** When the proposal exceeds \$100,000, the AOR is required to complete a certification regarding lobbying restrictions. The Certification for Contracts, Grants, Loans and Cooperative Agreements is included in full text on the FastLane submission screen as well as in **GPG Exhibit II-5**. The box

for "Disclosure of Lobbying Activities" must be checked on the proposal Cover Sheet only if, pursuant to paragraph 2 of the certification, submission of the SF LLL is required.¹⁴

- **Certification Regarding Nondiscrimination:** The AOR is required to complete a certification regarding compliance with NSF Nondiscrimination regulations and policies. See **GPG Exhibit II-6** for the full text of the Nondiscrimination Certification.
- **Certification Regarding Flood Hazard Insurance:** Two sections of the **National Flood Insurance Act of 1968** (42 USC §4012a and §4106) bar Federal agencies from giving financial assistance for acquisition or construction purposes in any area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless the:

(1) community in which that area is located participates in the national flood insurance program; and

(2) building (and any related equipment) is covered by adequate flood insurance.

By electronically signing the proposal Cover Sheet, AORs for prospective grantees located in FEMA-designated special flood hazard areas are certifying that adequate flood insurance has been or will be obtained in the following situations:

(1) for NSF grants for the construction of a building or facility, regardless of the dollar amount of the grant; and

(2) for other NSF grants when more than \$25,000 has been budgeted in the proposal for repair, alteration or improvement (construction) of a building or facility.¹⁵

Prospective grantees should contact their local government or a federally-insured financial institution to determine what areas are identified as having special flood hazards and the availability of flood insurance in their community.

2. Sections of the Proposal

The sections described below represent the body of a proposal submitted to NSF. With the exception of "Special Information and Supplementary Documentation" and "Appendices," all sections are required parts of the proposal. These documents must be submitted electronically via the Proposal Preparation Module in the FastLane System.¹⁶

a. Cover Sheet

There are four major components of the proposal Cover Sheet. A number of the boxes contained on the Cover Sheet are electronically prefilled as part of the FastLane login process. The information requested on the Cover Sheet is as follows:

(1) Awardee and Performing/Research Organization:

This information is pre-filled on the Cover Sheet based on the login information entered.

(2) Program Announcement/Solicitation/Description Number:

Proposers are required to select the applicable program announcement, solicitation or program description. If the proposal is not submitted in response to a specific program announcement, solicitation, or program description, proposers should select "Grant Proposal Guide." Compliance with this requirement is critical in determining the relevant proposal processing guidelines.

Proposals submitted with "Grant Proposal Guide" selected that are directed to Division/Program combinations with active program descriptions will default to the nearest target date for that program. Proposers are advised to select "No Closing Date" when the proposal is not submitted in response to any relevant NSF funding opportunity (which includes program announcements, solicitations or program descriptions).

(3) NSF Unit of Consideration:

Proposers must follow instructions for selection of an applicable NSF Division/Office and Program(s) to which the proposal should be directed.

(4) Remainder of the Cover Sheet:

(a) Title of Proposed Project

The title of the project must be brief, scientifically or technically valid, intelligible to a scientifically or technically literate reader, and suitable for use in the public press. NSF may edit the title of a project prior to making an award.

(b) Budget and Duration Information

The proposed duration for which support is requested must be consistent with the nature and complexity of the proposed activity. Grants are normally awarded for up to three years but may be awarded for periods of up to five years. The Foundation encourages PIs to request awards for durations of three to five years when such durations are necessary for completion of the proposed work and are technically and managerially advantageous. Specification of a desired starting date for the project is important and helpful to NSF staff; however, requests for specific effective dates may not be met. Except in special situations, requested effective dates must allow at least six months for NSF review, processing and decision. Should unusual situations (e.g., a long lead time for procurement) create problems regarding the proposed effective date, the PI should consult his/her organization's sponsored projects office.

(c) PI Information and co-PI Information

Information (including address information) regarding the PI is derived from login information and is not entered when preparing the Cover Sheet. The proposal also may identify up to four additional co-Principal Investigators. Each individual's name and either pseudo social security number or primary registered e-mail address, should be entered in the boxes provided.

(d) Previous NSF Award

If the proposal is a renewal proposal, or an accomplishment-based renewal proposal, the applicable box must be checked. If yes, the proposer will be requested to select the applicable previous award number.

Some NSF program solicitations require submission of both a preliminary and full proposal as part of the proposal process. In such cases, the following instructions apply:

- (i) During the preliminary proposal stage, the proposing organization should identify the submission as a preliminary proposal by checking the block entitled, "Preliminary Proposal" on the proposal Cover Sheet;
- (ii) During the full proposal submission stage, the proposing organization should identify in the block entitled, "Show Related Preliminary Proposal Number", the related preliminary proposal number assigned by NSF.

(e) Other Federal Agencies

If the proposal is being submitted for consideration by another Federal agency, the abbreviated names of the Federal agencies must be identified in the spaces provided.

(f) Awardee Organization Information

The awardee organization name, address, DUNS number and Employer Identification Number/Taxpayer Identification Number are derived from the login information and are not entered when preparing the Cover Sheet via FastLane.

Profit making organizations must identify their status by checking the appropriate boxes on the Cover Sheet, using the following guidelines:

- A small business must be organized for profit, independently owned and operated (not a subsidiary of or controlled by another firm), have no more than 500 employees, and not be dominant in its field. The appropriate box also must be checked when the proposal involves a cooperative effort between an academic institution and a small business.
- A minority business must be: (i) at least 51 percent owned by one or more minority or disadvantaged individuals or, in the case of a publicly owned business, have at least 51 percent of the voting stock owned by one or more minority or disadvantaged individuals; and (ii) one whose management and daily business operations are controlled by one or more such individuals.
- A woman-owned business must be at least 51 percent owned by a woman or women, who also control and operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

(g) Performing/Research Organization

Should the project be performed at a place other than where the award is to be made, that should be identified in the block entitled, "Name of Performing Organization."

Examples are as follows:

Grantee Organization

Performing Organization

Northern Virginia University

Northern Virginia University Health Center

Southern Virginia University
Research Foundation

Southern Virginia University

(h) Other Information

Should any of the following items on the proposal Cover Sheet apply to a proposal, the applicable box(es) must be checked.

- Beginning Investigator (See GPG **I.G.2**)
- Disclosure of Lobbying Activities (See GPG **II.C.1.e**)
- Proprietary or Privileged Information (See GPG **I.D.3** & **II.C.1.d**)
- Historic Places (See GPG **II.C.2.j**)
- Small Grants for Exploratory Research (SGER) (See GPG **II.D.1**)
- Vertebrate Animals¹⁷ (See GPG **II.D.5**)
- Human Subjects¹⁸ (See GPG **II.D.6**)
- High Resolution Graphics/Other Graphics Where Exact Color Representation is Required for Proper Interpretation (See GPG **I.G.1**)
- International Cooperative Activities Country Name(s) (See GPG **II.C.2j**)

b. Project Summary

The proposal must contain a summary of the proposed activity suitable for publication, not more than one page in length. It should not be an abstract of the proposal, but rather a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include a statement of objectives and methods to be employed. It must clearly address in separate statements (within the one-page summary):

- the intellectual merit of the proposed activity; and
- the broader impacts resulting from the proposed activity.

It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. Proposals that do not separately address both merit review criteria within the one-page Project Summary will be returned without review.

c. Table of Contents

A Table of Contents is automatically generated for the proposal by the FastLane system. The proposer cannot edit this form.

d. Project Description (including Results from Prior NSF Support)

(i) Content

All proposals to NSF will be reviewed utilizing the two merit review criteria described in greater length in **GPG Chapter III**.

The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to longer-term goals of the PI's project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere.

The Project Description should outline the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a clear description of experimental methods and procedures and plans for preservation, documentation, and sharing of data, samples, physical collections, curriculum materials and other related research and education products. It must describe as an integral part of the narrative, the broader impacts resulting from the proposed activities, addressing one or more of the following as appropriate for the project: how the project will integrate research and education by advancing discovery and understanding while at the same time promoting teaching, training, and learning; ways in which the proposed activity will broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); how the project will enhance the infrastructure for research and/or education, such as facilities, instrumentation, networks, and partnerships; how the results of the project will be disseminated broadly to enhance scientific and technological understanding; and potential benefits of the proposed activity to society at large. Examples illustrating activities likely to demonstrate **broader impacts** are available electronically on the NSF website.

A Table of Contents is automatically generated for the proposal by the FastLane system. The proposer cannot edit this form.

(ii) Page Limitations and Inclusion of Universal Resource Locators (URLs) within the Project Description

Brevity will assist reviewers and Foundation staff in dealing effectively with proposals. Therefore, the Project Description (including Results from Prior NSF Support, which is limited to five pages) **may not exceed 15 pages**. Visual materials, including charts, graphs, maps, photographs and other pictorial presentations are included in the 15-page limitation. PIs are cautioned that the project description must be self-contained and that URLs that provide information related to the proposal should not be used because 1) the information could circumvent page limitations, 2) the reviewers are under no obligation to view the sites, and 3) the sites could be altered or abolished between the time of

submission and the time of review.

Conformance to the 15-page limitation will be strictly enforced and may not be exceeded unless a deviation has been specifically authorized. (**GPG Chapter II.A** contains information on deviations.)

(iii) Results from Prior NSF Support

If any PI or co-PI identified on the project has received NSF funding in the past five years, information on the award(s) is required. Each PI and co-PI who has received more than one award (excluding amendments) must report on the award most closely related to the proposal. The following information must be provided:

- (a) the NSF award number, amount and period of support;
- (b) the title of the project;
- (c) a summary of the results of the completed work, including, for a research project, any contribution to the development of human resources in science and engineering;
- (d) publications resulting from the NSF award;
- (e) a brief description of available data, samples, physical collections and other related research products not described elsewhere; and
- (f) if the proposal is for renewed support, a description of the relation of the completed work to the proposed work.

Reviewers will be asked to comment on the quality of the prior work described in this section of the proposal. Please note that the proposal may contain up to five pages to describe the results. Results may be summarized in fewer than five pages, which would give the balance of the 15 pages for the Project Description.

(iv) Unfunded Collaborations

Any substantial collaboration with individuals not included in the budget should be described and documented with a letter from each collaborator, which should be provided in the supplementary documentation section of the FastLane Proposal Preparation Module. Collaborative activities that are identified in the budget should follow the instructions in **GPG Chapter II.D.3**.

(v) Group Proposals

NSF encourages submission of proposals by groups of investigators; often these are submitted to carry out interdisciplinary projects. Unless stipulated in a specific program solicitation, however, such proposals will be subject to the 15-page Project Description limitation established in Section (ii) above. PIs who wish to exceed the established page limitations for the Project Description must request and receive a deviation in advance of proposal submission. (**GPG Chapter II.A** contains information on deviations.)

(vi) Proposals for Renewed Support

A proposal for renewed support may be either a “traditional” proposal in which the proposed work is documented and described as fully as though the proposer were applying for the first time; or, an “Accomplishment-Based Renewal” (ABR) proposal, in which the project description is replaced by copies of no more than six reprints of publications resulting from the research supported by NSF during the preceding three to five year period, plus a brief summary of plans for the proposed support period. (See **GPG Chapter V** for additional information on preparation of Renewal Proposals.)

e. References Cited

Reference information is required. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address also should be identified.¹⁹ Proposers must be especially careful to follow accepted scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. While there is no established page limitation for the references, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 15-page project description.

f. Biographical Sketch(es)

(i) Senior Personnel

A biographical sketch (limited to two pages) is required for each individual identified as senior project personnel. (See **GPG Exhibit II-7** for the definitions of Senior Personnel.) The following information must be provided in the order and format specified below.

Do not submit personal information such as **home** address; **home** telephone, fax, or cell phone numbers; home e-mail address; date of birth; citizenship; drivers’ license numbers; marital status; personal hobbies; and the like. Such personal information is irrelevant to the merits of the proposal. If such information is included, NSF will make every effort to prevent unauthorized access to such material, but the Foundation is not responsible or in any way liable for the release of such material. (See also **GPG Chapter III.G**).

(a) Professional Preparation

A list of the individual's undergraduate and graduate education and postdoctoral training as indicated below:

Undergraduate Institution(s)	Major	Degree & Year
Graduate Institution(s)	Major	Degree & Year

Postdoctoral Institution(s)	Area	Inclusive Dates (years)
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(b) Appointments

A list, in reverse chronological order, of all the individual's academic/professional appointments beginning with the current appointment.

(c) Publications

A list of: (i) up to 5 publications most closely related to the proposed project; and (ii) up to 5 other significant publications, whether or not related to the proposed project. Each publication identified must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address also should be identified.

For unpublished manuscripts, list only those submitted or accepted for publication (along with most likely date of publication). Patents, copyrights and software systems developed may be substituted for publications. Additional lists of publications, invited lectures, etc., must not be included. Only the list of 10 will be used in the review of the proposal.

(d) Synergistic Activities

A list of up to five examples that demonstrate the broader impact of the individual's professional and scholarly activities that focuses on the integration and transfer of knowledge as well as its creation. Examples could include, among others: innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups underrepresented in science, mathematics, engineering and technology; and service to the scientific and engineering community outside of the individual's immediate organization.

(e) Collaborators & Other Affiliations

- **Collaborators and Co-Editors.** A list of all persons in alphabetical order (including their current organizational affiliations) who are currently, or who have been collaborators or co-authors with the individual on a project, book, article, report, abstract or paper during the 48 months preceding the submission of the proposal. Also include those individuals who are currently or have been co-editors of a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal. If there are no collaborators or co-editors to report, this should be so indicated.
- **Graduate Advisors and Postdoctoral Sponsors.** A list of the names of the individual's own graduate advisor(s) and principal postdoctoral sponsor(s), and their current organizational affiliations.

- Thesis Advisor and Postgraduate-Scholar Sponsor. A list of all persons (including their organizational affiliations), with whom the individual has had an association as thesis advisor, or with whom the individual has had an association within the last five years as a postgraduate-scholar sponsor. The total number of graduate students advised and postdoctoral scholars sponsored also must be identified.

The information in section (e) above of the biographical sketch is used to help identify potential conflicts or bias in the selection of reviewers. See **GPG Exhibit II-2** for additional information on potential reviewer conflicts.

(ii) Other Personnel

For the personnel categories listed below, the proposal also may include information on exceptional qualifications that merit consideration in the evaluation of the proposal.

- (a) Postdoctoral associates
- (b) Other professionals
- (c) Students (research assistants)

(iii) Equipment Proposals

For equipment proposals, the following must be provided for each auxiliary user:

- (a) Short biographical sketch; and
- (b) List of up to five publications most closely related to the proposed acquisition.

g. Budget

Each proposal must contain a budget for each year of support requested, unless a particular program solicitation stipulates otherwise. The amounts requested for each budget line item should be documented and justified in the budget justification as specified below. The budget justification should be no more than three pages.

The proposal may request funds under any of the categories listed so long as the item and amount are considered necessary, reasonable, allocable, and allowable under the applicable cost principles, NSF policy, and/or the program solicitation. Amounts and expenses budgeted also must be consistent with the proposing organization's policies and procedures and cost accounting practices used in accumulating and reporting costs.

A discussion of the budget and the allowability of selected items of cost is contained in both the GPG (from a budget preparation perspective) and in the Award & Administration Guide (AAG) (from an allowability and administration perspective), as well as NSF program solicitations. In preparation of the budget, however, proposers are encouraged to consult the AAG to determine whether a certain category of cost is allowable under an NSF award.

Cost principles governing the allowability of costs are contained in OMB Circulars A-21 (Colleges & Universities), A-87 (State, Local, & Indian Tribal Governments), and A-122 (Non-Profit Organizations) and are available at <http://www.whitehouse.gov/omb/circulars/index.html>. Cost Principles applicable to for-profit organizations can be found in the **Federal Acquisition Regulations (FAR), Part 31**.

(i) Salaries and Wages (Lines A and B on the Proposal Budget)

(a) Policies

As a general policy, NSF recognizes that salaries of faculty members and other personnel associated directly with the project constitute appropriate direct costs and may be requested in proportion to the effort devoted to the project. Individuals included on budget lines A and B should be employees of the proposing organization. Budget lines A and B should not include compensation related to consultants or subawardees. Salaries and wages for consultants and subawardees should be budgeted on Lines G.3. and G.5 of the proposal budget, respectively.

NSF regards research as one of the normal functions of faculty members at institutions of higher education. Compensation for time normally spent on research within the term of appointment is deemed to be included within the faculty member's regular organizational salary.

Grant funds may not be used to augment the total salary or salary rate of faculty members during the period covered by the term of faculty appointment or to reimburse faculty members for consulting or other time in addition to a regular full-time organizational salary covering the same general period of employment. Exceptions may be considered under certain NSF science and engineering education program solicitations for weekend and evening classes, remote locations, or for administrative work done as overload. If anticipated, any intent to provide salary compensation above the base salary should be disclosed in the grant proposal budget justification and must be specifically approved by NSF in the award notice.

Summer salary for faculty members at colleges and universities on academic-year appointments is limited to no more than two-ninths of their regular academic-year salary. This limit includes summer salary received from all NSF-funded grants.

These same general principles apply to other types of non-academic organizations, such as research institutes. Since their employment periods are usually annual, salary must be shown under "calendar months."

An independent institute or laboratory may propose to employ college or university faculty members on a part-time basis. In such cases, it is the general intent of the above policies to limit an individual's total compensation to what would be earned under a grant to the home academic institution.

In most circumstances, particularly for institutions of higher education, salaries of administrative or clerical staff are included as part of indirect costs (also known as Facilities and Administrative Costs (F&A) for Colleges and Universities). Salaries of

administrative or clerical staff may be requested as direct costs for a project requiring an extensive amount of administrative or clerical support and where these costs can be readily and specifically identified with the project with a high degree of accuracy. Salaries for administrative or clerical staff shall be budgeted as a direct cost only if this type of cost is consistently treated as a direct cost in like circumstances for all other projects and cost objectives. The circumstances for requiring direct charging of these services must be clearly described in the budget justification. Such costs, if not clearly justified, may be deleted by NSF. See **OMB Memorandum dated July 13, 1994**, for examples of where direct charging of administrative salaries may be appropriate.

Additional information on the charging of salaries and wages to an NSF award is available in **AAG Chapter V.B.1**.

(b) Procedures

The names of the PI(s), faculty, and other senior personnel and the estimated number of full-time-equivalent academic-year, summer, or calendar-year person-months for which NSF funding is requested and the total amount of salaries requested per year must be listed. For postdoctoral associates and other professionals, the total number of persons for each position must be listed, with the number of full-time-equivalent person-months and total amount of salaries requested per year. For graduate and undergraduate students, secretarial, clerical, technical, etc., whose time will be charged directly to the project, only the total number of persons and total amount of salaries requested per year in each category is required. Salaries requested must be consistent with the organization's regular practices. The budget justification should detail the rates of pay by individual for senior personnel, postdoctoral associates, and other professionals.

The budget may request funds for support of graduate or undergraduate research assistants to help carry out the proposed research. Compensation classified as salary payments must be requested in the salaries and wages category.

(c) Confidential Budgetary Information

The proposing organization may request that salary data on senior personnel not be released to persons outside the Government during the review process. In such cases, the item for senior personnel salaries in the proposal may appear as a single figure and the person-months represented by that amount omitted. If this option is exercised, senior personnel salaries and person-months must be itemized in a separate statement, and forwarded to NSF in accordance with the instructions specified in **GPG Chapter I.D.3**. This statement must include all of the information requested on the proposal budget for each person involved. NSF will not forward the detailed information to reviewers and will hold it privileged to the extent permitted by law. The information on senior personnel salaries will be used as the basis for determining the salary amounts shown in the grant budget. The box for "Proprietary or Privileged Information" must be checked on the proposal Cover Sheet when the proposal contains confidential budgetary information.²⁰

(ii) Fringe Benefits (Line C on the Proposal Budget)

If the proposer's usual accounting practices provide that its contributions to employee

benefits (social security, retirement, other payroll-related taxes and time off including vacation, sick, and other leave, etc.) be treated as direct costs, NSF grant funds may be requested to fund fringe benefits as a direct cost. These are typically determined by application of a calculated fringe benefit rate for a particular class of employee (full time or part-time) applied to the salaries and wages requested. Although, they also may be paid based on actual costs for individual employees, if that institutional policy has been approved by the cognizant federal agency.

(iii) Equipment (Line D on the Proposal Budget)

Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. It is important to note that the acquisition cost of equipment includes modifications, attachments, and accessories necessary to make the property usable for the purpose for which it was purchased. Items of needed equipment must be adequately justified, listed individually by description and estimated cost.

Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer and office furnishings, are not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.

Additional information on the charging of equipment to an NSF award is available in **AAG Chapter V.B.2.**

(iv) Travel (Line E on the Proposal Budget)

(a) General

Travel and its relation to the proposed activities must be specified and itemized by destination and cost. Funds may be requested for field work, attendance at meetings and conferences, and other travel associated with the proposed work, including subsistence. In order to qualify for support, however, attendance at meetings or conferences must be necessary to accomplish proposal objectives, or disseminate its results.

Allowance for air travel normally will not exceed the cost of round-trip, economy airfares. Persons traveling under NSF grants must travel by US-Flag Air carriers, if available.²¹

Additional information on the charging of travel costs to an NSF award is available in **AAG Chapter V.B.4.**

(b) Domestic Travel

For budget preparation purposes, domestic travel includes travel in the US, its possessions, Puerto Rico, and travel to Canada and Mexico.

(c) Foreign Travel

For budget purposes, travel outside the areas specified above is considered foreign. The proposal must include relevant information, including countries to be visited (also enter

names of countries on the proposal budget), dates of visit, if known, and justification for any foreign travel planned in connection with the project. Travel support for dependents of key project personnel may be requested only when all of the following conditions apply:

- (i) the individual is a key person who is essential to the research on a full-time basis;
- (ii) the individual's residence away from home and in a foreign country is for a continuous period of six months or more and is essential to the effective performance of the project; and
- (iii) the dependent's travel allowance is consistent with the policies of the organization administering the grant.

(v) Participant Support (Line F on the Proposal Budget)

This budget category refers to costs of transportation, per diem, stipends and other related costs for participants or trainees (but not employees) in connection with NSF-sponsored conferences, meetings, symposia, training activities and workshops.²² (See **GPG Chapter II.D.7**) For some educational projects conducted at local school districts, however, the participants being trained are employees. In such cases, the costs must be classified as participant support if payment is made through a stipend or training allowance method. The school district must have an accounting mechanism in place (i.e., sub-account code) to differentiate between regular salary and stipend payments.

Generally, indirect costs (F&A) are not allowed on participant support costs. The number of participants to be supported must be entered in the parentheses on the proposal budget. These costs also must be justified in the budget justification section of the proposal. Some programs, such as Research Experiences for Undergraduates, have special instructions for treatment of participant support.

Additional information on the charging of participant support costs to an NSF award is available in **AAG Chapter V.B.8**.

(vi) Other Direct Costs (Lines G1 through G6 on the Proposal Budget)

Any costs proposed to an NSF grant must be allowable, reasonable and directly allocable to the supported activity. The budget must identify and itemize other anticipated direct costs not included under the headings above, including materials and supplies, publication costs, computer services and consultant services. Examples include aircraft rental, space rental at research establishments away from the grantee organization, minor building alterations, payments to human subjects, service charges, and construction of equipment or systems not available off the shelf. Reference books and periodicals may be charged to the grant only if they are specifically allocable to the project being supported by NSF.

(a) Materials and Supplies (Line G1 on the Proposal Budget)

The proposal budget justification should indicate the general types of expendable materials and supplies required. Materials and supplies are defined as tangible personal property, other than equipment, costing less than \$5,000, or other lower threshold

consistent with the policy established by the proposing organization. Cost estimates must be included for items that represent a substantial amount of the proposed line item cost.

(b) Publication/Documentation/Dissemination (Line G2 on the Proposal Budget)

The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the grant. This generally includes the following types of activities: reports, reprints, page charges or other journal costs (except costs for prior or early publication); necessary illustrations; cleanup, documentation, storage and indexing of data and databases; development, documentation and debugging of software; and storage, preservation, documentation, indexing, etc., of physical specimens, collections or fabricated items.

Additional information on the charging of publication/documentation/dissemination costs to an NSF award is available in **AAG Chapter V.B.7**.

(c) Consultant Services (Line G3 on the Proposal Budget)

Anticipated consultant services must be justified and information furnished on each individual's expertise, primary organizational affiliation, normal daily compensation rate, and number of days of expected service. Consultants' travel costs, including subsistence, may be included. If requested, the proposer must be able to justify that the proposed rate of pay is reasonable.²³

Additional information on the charging of consultant costs to an NSF award is available in **AAG Chapter V.B.6**.

(d) Computer Services (Line G4 on the Proposal Budget)

The cost of computer services, including computer-based retrieval of scientific, technical and educational information, may be requested only where it is institutional policy to charge such costs as direct charges. A justification based on the established computer service rates at the proposing organization must be included. The proposal budget also may request costs for leasing of computer equipment. General purpose (word processing, spreadsheets, communication) computer equipment should not be requested. Special purpose or scientific use computers or associated hardware and software, however, may be requested as items of equipment when necessary to accomplish the project objectives and not otherwise reasonably available.

Additional information on the charging of computer services to an NSF award is available in **AAG Chapter V.B.5**.

(e) Subawards²⁴ (Line G5 on the Proposal Budget)

Except for the procurement of such items as commercially available supplies, materials, equipment or general support services allowable under the grant, no significant part of the research or substantive effort under an NSF grant may be contracted or otherwise transferred to another organization without prior NSF authorization. The intent to enter into

such arrangements must be disclosed in the proposal, and a separate budget should be provided for each subawardee, if already identified, along with a description of the work to be performed. Otherwise, the disclosure should include a clear description of the work to be performed, and the basis for selection of the subawardee (except for collaborative/joint arrangements).

(f) Other (Line G6 on the Proposal Budget)

Any other direct costs not specified in Lines G1 through G5 must be identified on Line G6. Such costs must be itemized and detailed in the budget justification.²⁵

(vii) Total Direct Costs (Line H on the Proposal Budget)

The total amount of direct costs requested in the budget, to include Lines A through G, must be entered on Line H.

(viii) Indirect Costs (also known as Facilities and Administrative Costs (F&A) for Colleges and Universities) (Line I on the Proposal Budget)

The applicable indirect cost rate(s) negotiated by the organization with the cognizant negotiating agency must be used in computing indirect costs (F&A) for a proposal. The amount for indirect costs should be calculated by applying the current negotiated indirect cost rate(s) to the approved base(s). Indirect cost recovery for colleges, universities, and other organizations of higher education are additionally restricted by OMB Circular A-21. The Circular stipulates in section G.7.a. that Federal agencies are required to use the negotiated F&A rates that are in effect at the time of the initial award throughout the life of the sponsored agreement. Additional information on the charging of indirect costs to an NSF award is available in **AAG Chapter V.D.**

For proposing organizations that do not have a current negotiated rate agreement with a cognizant Federal agency, its business officer should prepare an indirect cost proposal based on expenditures for its most recently ended fiscal year. If the proposal is recommended for funding, the proposing organization will be required to provide its indirect cost proposal to support the budgeted indirect rate. The contents and financial data included in indirect cost proposals vary according to the make-up of the proposing organization. A sample indirect cost proposal is available at: <http://www.nsf.gov/bfa/dias/caar/indirect.htm>. Proposing organizations submitting a proposal to NSF for the first time are encouraged to request guidance from the Cost Analysis & Audit Resolution Branch of NSF's Division of Institution & Award Support at (703) 292-8244.

Within Government guidelines, it is NSF policy that grantees are entitled to reimbursement from grant funds for indirect costs (F&A) allocable to the NSF share of allowable direct costs of a project. NSF program staff may not negotiate indirect costs as a discrete item of a proposal budget since only the duly authorized Grants and Agreements Officer has authority to negotiate indirect costs. NSF program staff are not authorized to suggest or request that PI/PDs seek reductions or waivers of indirect costs except as explicitly specified in applicable NSF program solicitations.

Exceptions to Basic Policy

No Indirect or Limited Reimbursement. In some cases, however, NSF program solicitations may indicate no or limited reimbursement for indirect costs. In addition, NSF generally provides no amounts for indirect costs for the following:

- grants to individuals;
- grants solely for the support of travel, equipment, construction of facilities, or doctoral dissertation research;
- grants in which NSF support is exclusively in the form of fellowships, traineeships or other fixed amounts such as cost-of-education allowances;
- participant support costs. However, an allowance for indirect costs associated with participant support costs may be established or negotiated in advance when circumstances indicate that the grantee could be expected to incur significant expenses in administering participant payments (other than salary or other direct expenses being reimbursed under the award). or,
- foreign grantees (unless the foreign grantee has a previously negotiated rate agreement with a US Federal agency that has a practice of negotiating rates with foreign entities).

(ix) Total Direct and Indirect Costs (F&A) (Line J on the Proposal Budget)

The total amount of direct and indirect costs (F&A) (sum of Lines H and I) must be entered on Line J.

(x) Amount of This Request (Line L on the Proposal Budget)

The total amount of funds requested by the proposer should be the same as the amount entered on Line J. If disapproved, Line L will be equal to Line J minus Line K.

(xi) Cost Sharing (Line M on the Proposal Budget)

Since issuance of the NSF Cost Sharing Policy in 1999, the Foundation's cost sharing policy has continued to be an issue widely discussed by the community, as well as within NSF and the National Science Board (NSB). Cost sharing was most recently discussed formally at the NSB's 382nd meeting on October 13-14, 2004, when the Board approved a revision to the Foundation's policy on cost sharing to eliminate NSF program-specific cost sharing requirements.

In implementation of the Board's policy, there is no expectation by the Foundation that proposals submitted for funding will include a cost sharing component. When cost sharing is included on Line M, it is solely at the discretion of the proposing institution and will not be a factor in the Foundation's decision to make an award. However, once cost sharing is proposed on Line M, and accepted by the Foundation, the commitment of funds becomes legally binding and is subject to audit.²⁶

Failure to provide the level of cost sharing reflected in the approved grant budget may result in termination of the NSF grant, disallowance of grant costs and/or refund of grant funds to NSF by the grantee.

(xii) Unallowable Costs

Proposers should be familiar with the complete list of unallowable costs that is contained in the applicable cost principles. The following categories of unallowable costs are highlighted because of their sensitivity:

(a) Entertainment

Costs of entertainment, amusement, diversion and social activities and any costs directly associated with such activities (such as tickets to shows or sporting events, meals, lodging, rentals, transportation and gratuities) are unallowable. Travel, meal and hotel expenses of grantee employees who are not on travel status are unallowable. Costs of employees on travel status are limited to those allowed under the governing cost principles for travel expenses.

(b) Meals and Coffee Breaks

No NSF funds may be spent on meals or coffee breaks for intramural meetings of an organization or any of its components, including, but not limited to, laboratories, departments and centers.

(c) Alcoholic Beverages

No NSF funds may be spent on alcoholic beverages.

Additional information on the charging of certain types of costs generally associated with meetings and conferences to NSF awards is available in **AAG Chapter V.C.5**.

h. Current and Pending Support

This section of the proposal calls for required information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing grants. All current project support from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s). The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support. Similar information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NSF. Concurrent submission of a proposal to other organizations will not prejudice its review by NSF. Note the Biological Sciences Directorate exception to this policy, however, delineated in **GPG Chapter I.G.2**.

If the project now being submitted has been funded previously by a source other than NSF, the information requested in the paragraph above must be furnished for the last period of funding.

i. Facilities, Equipment and Other Resources

This section of the proposal is used to assess the adequacy of the organizational resources available to perform the effort proposed. Proposers must describe only those resources that are directly applicable.

j. Special Information and Supplementary Documentation

Except as specified below, special information and supplementary documentation must be included as part of the project description (or part of the budget justification), if it is relevant to determining the quality of the proposed work. Information submitted in the following areas is not considered part of the 15-page project description limitation. This Special Information and Supplementary Documentation section also is not considered an appendix. Specific guidance on the need for additional documentation may be obtained from the organization's sponsored projects office or in the references cited below.

- Rationale for performance of all or part of the project off-campus or away from organizational headquarters. (See **AAG Chapter V.D.1**)
- Documentation of collaborative arrangements of significance to the proposal through letters of commitment. (See **GPG Chapter II.C.2d(iv)**).
- The **National Environmental Policy Act of 1969 (NEPA)** (42 USC §4332). NEPA requires that Federal agencies consider the environmental impacts of major Federal actions significantly affecting the quality of the human environment. If a proposed project might have an environmental impact, the proposal should furnish sufficient information to assist Foundation officials in assessing the environmental consequences of supporting the project. NSF will determine:
 1. the adequacy of the information submitted;
 2. whether or not additional information is needed; and
 3. whether or not an environmental assessment or environmental impact statement will be necessary.
- Work in foreign countries. Some governments require nonresidents to obtain official approval to carry out investigations within their borders and coastal waters under their jurisdiction. PIs are responsible for obtaining the required authorizations and for advising NSF that they have been obtained or requested. Advance coordination should minimize disruption of the research. (See **AAG Chapter VI.B.4** and **VI.G.3**)
- Research in Greenland. (See **AAG Chapter VI.G.3**)
- Antarctic proposals to *any* NSF program require operational worksheets by the first Wednesday of June in the year before any proposed fieldwork. See "proposals with

fieldwork” in **Chapter V.A of Antarctic Research**. Special budget considerations also apply. See **Chapter V.B of Antarctic Research**.

- Research in a location designated, or eligible to be designated, a registered historic place. (See **AAG Chapter VI.K**). Where applicable, the box for “Historic Places” must be checked on the proposal Cover Sheet.
- Research involving field experiments with genetically engineered organisms. (See **AAG Chapter VI.B.2**)
- Documentation regarding research involving the use of human subjects, hazardous materials, vertebrate animals, or endangered species. (See **AAG Chapter VI.B.** and GPG Chapter **II.D.5** and **II.D.6**).
- Projects that involve technology utilization/transfer activities, that require a management plan, or that involve special reports or final products. Please note that some program solicitations provide specific guidance on preparation and inclusion of management plans in proposals submitted to NSF.
- Special components in new proposals or in requests for supplements, such as Facilitation Awards for Scientists and Engineers with Disabilities (FASSED), Research Opportunity Awards (ROAs) or Research Experiences for Undergraduates (REUs). (See **GPG Chapter II.D.2** for information on FASSED, and for the other programs identified, consult the relevant program solicitation.)
- *Research in Undergraduate Institutions*. (See **RUI program solicitation** for information.)
- *Research Experiences for Undergraduates*. (See the **REU program solicitation** for information.)

In addition, the supplementary documentation section should alert NSF officials to unusual circumstances that require special handling, including, for example, proprietary or other privileged information in the proposal, matters affecting individual privacy, required intergovernmental review under **E.O. 12372 (Intergovernmental Review of Federal Programs)** for activities that directly affect State or local governments, or possible national security implications.

Proposers are reminded that, unless required by a specific program solicitation, letters of support should not be submitted as they are not a standard component of an NSF proposal, and, if included, a reviewer is under no obligation to review these materials. Letters of support submitted in response to a program solicitation requirement must be unique to the specific proposal submitted and cannot be altered without the author’s explicit prior approval. NSF may return without review proposals that are not consistent with these instructions.

k. Appendices

All information necessary for the review of a proposal must be contained in Sections A

through I of the proposal. **Appendices may not be included unless a deviation has been authorized.** GPG Chapter II.A contains further information.

D. Special Guidelines

1. Small Grants for Exploratory Research (SGER) Proposals

Proposals for small-scale, exploratory, high-risk research in the fields of science, engineering and education normally supported by NSF may be submitted to individual programs. Such research is characterized as:

- preliminary work on untested and novel ideas;
- ventures into emerging and potentially transformative research ideas;
- application of new expertise or new approaches to “established” research topics;
- having a severe urgency with regard to availability of, or access to data, facilities or specialized equipment, including quick-response research on natural or anthropogenic disasters and similar unanticipated events; or
- efforts of similar character likely to catalyze rapid and innovative advances.

Investigators are **strongly encouraged** to contact the NSF program(s) most germane to the proposal topic before submitting an SGER proposal. This will facilitate determining whether the proposed work meets the guidelines described above and availability and appropriateness for SGER funding, or whether the work is more appropriate for submission as a fully reviewed proposal.

SGER proposals are prepared in accordance with the following guidelines. Note the proposal preparation instructions for these types of proposals deviate from the standard proposal preparation instructions contained in this Guide.

- The project description must be brief (no more than two to five pages) and include clear statements as to why the proposed research should be considered particularly exploratory and high risk, the nature and significance of its potential impact on the field, and why an SGER grant would be a suitable means of supporting the work.
- Brief biographical information is required for the PI and co-PI(s) only, and must list no more than five significant publications or other research products. The box for “Small Grant for Exploratory Research” must be checked on the proposal Cover Sheet.
- These proposals will be subject to internal NSF merit review only. Renewed funding of SGER awards may be requested only through submission of a non-SGER proposal that will be subject to full merit review. The maximum SGER award amount will not exceed \$200,000. Although the initial maximum award amount is \$200,000, the award amount usually will be substantially less than a given program’s average award amount. The project’s duration will normally be one year, but may be up to two

years.

At the discretion of the Program Officer, and with the concurrence of the Division Director, a small fraction of especially promising SGER awards may be extended for a maximum of six additional months and/or supplemented with up to an additional \$50,000 in funding. The SGER award extensions will be possible for awards of two-year initial duration as well as for those of shorter initial duration. Requests for extensions must be submitted one to two months before the expiration date of the initial award. A project report and outline of proposed research, not to exceed five pages, must be included.

2. Facilitation Awards for Scientists and Engineers with Disabilities (FASED)

As part of its effort to promote full utilization of highly qualified scientists, mathematicians, and engineers, and to develop scientific and technical talent, the Foundation has the following goals:

- to reduce or remove barriers to participation in research and training by physically disabled individuals by providing special equipment and assistance under awards made by NSF; and
- to encourage disabled individuals to pursue careers in science and engineering by stimulating the development and demonstration of special equipment that facilitates their work performance.

Individuals with disabilities eligible for facilitation awards include principal investigators, other senior project personnel, and graduate and undergraduate students. The cognizant NSF Program Officer will make decisions regarding what constitutes appropriate support on a case-by-case basis. The specific nature, purpose, and need for equipment or assistance should be described in sufficient detail in the proposal to permit evaluation by knowledgeable reviewers.

There is no separate program for funding of special equipment or assistance. Requests are made in conjunction with regular competitive proposals, or as a supplemental funding request to an existing NSF award. Specific instructions for each type of request are provided below.

a. Requests as part of a competitive proposal submission

Funds may be requested to purchase special equipment, modify equipment or provide services required specifically for the work to be undertaken. Requests for funds for equipment or assistance that compensate in a general way for the disabling condition are not permitted. For example, funds may be requested to provide: prosthetic devices to manipulate a particular apparatus; equipment to convert sound to visual signals, or vice versa, for a particular experiment; access to a special site or to a mode of transportation (except as defined below); a reader or interpreter with special technical competence related to the project; or other special-purpose equipment or assistance needed to conduct a particular project. Items, however, such as standard wheel chairs, prosthetics, hearing aids, TDD/text-phones, or general readers for the blind would not be supported because the need for them is not specific to the proposed project. Similarly, ramps,

elevators, or other structural modifications of research facilities are not eligible for direct support under this program.

No maximum funding amount has been established for such requests. It is expected, however, that the cost (including equipment adaptation and installation) will not be a major component of the total proposed budget for the project. Requests for funds for special equipment or assistance to facilitate the participation of individuals with disabilities should be included in the proposed budget for the project and documented in the budget justification. The specific nature, purpose and need for such equipment or assistance should be described in sufficient detail in the Project Description to permit evaluation of the request by knowledgeable reviewers.

b. Supplemental funding requests to existing NSF grants

Supplemental funds for special equipment or assistance to facilitate participation in NSF-supported projects by persons with disabilities may be provided under existing NSF grants. Normally, title is vested in the grantee organization for equipment purchased in conjunction with NSF-supported activities. In accordance with the GC-1),²⁷ the grantee organization guarantees use of the equipment for the specific project during the period of work funded by the Foundation, and assures its use in an appropriate manner after project completion. In instances involving special equipment for persons with disabilities, the need for such may be unique to the individual. In such cases, the grantee organization may elect to transfer title to the individual to assure appropriate use after project completion.

Supplemental requests should be submitted electronically by using the "Supplemental Funding Request" function in FastLane and should include a brief description of the request, a budget and a budget justification. Requests must be submitted at least two months before funds are needed. Funding decisions will be made on the basis of the justification and availability of program funds with any resultant funding provided through a formal amendment of the existing NSF grant.

3. Collaborative Proposal

A collaborative proposal is one in which investigators from two or more organizations wish to collaborate on a unified research project. Collaborative proposals may be submitted to NSF in one of two methods: as a single proposal, in which a single award is being requested (with subawards administered by the lead organization); or by simultaneous submission of proposals from different organizations, with each organization requesting a separate award. In either case, the lead organization's proposal must contain all of the requisite sections as a single package to be provided to reviewers (that will happen automatically when procedures below are followed). All collaborative proposals must clearly describe the roles to be played by the other organizations, specify the managerial arrangements, and explain the advantages of the multi-organizational effort within the project description. PIs are strongly encouraged to contact the cognizant NSF Program Officer prior to submission of a collaborative proposal.

a. Submission of a collaborative proposal from one organization

The single proposal method allows investigators from two or more organizations who have

developed an integrated research project to submit a single, focused proposal. A single investigator bears primary responsibility for the administration of the grant and discussions with NSF, and, at the discretion of the organizations involved, investigators from any of the participating organizations may be designated as co-PIs. Please note, however, that if awarded, a single award would be made to the submitting organization, with any collaborators listed as subawards.

By submission of the proposal, the organization has determined that the proposed activity is administratively manageable. NSF may request a revised proposal, however, if it considers that the project is so complex that it will be too difficult to review or administer as presented. (See **GPG Chapter II.C.2.g.(vi)(e)** for additional instructions on preparation of this type of proposal.)

b. Submission of a collaborative proposal from multiple organizations²⁸

In many instances, simultaneous submission of proposals that contain the same project description from each organization might be appropriate. For these proposals, the project title must begin with the words "Collaborative Research:". The lead organization's submission will include a proposal Cover Sheet, project summary, project description, references cited, biographical sketches, budgets and budget justification, current and pending support, and facilities, equipment and other resources for their organization. Non-lead organization submissions will include all of the above for their organization except the project summary, project description, and references cited which are the same for all collaborating organizations. FastLane will combine the proposal submission for printing or electronic viewing.

To submit the collaborative proposal, the following process must be completed:²⁹

- (i) Each non-lead organization must assign their proposal a proposal PIN. This proposal PIN and the temporary proposal ID generated by FastLane when the non-lead proposal is created must be provided to the lead organization before the lead organization submits its proposal to NSF.
- (ii) The lead organization must then enter each non-lead organization(s) proposal PIN and temporary proposal ID into the FastLane lead proposal by using the "Link Collaborative Proposals" option found on the FastLane "Form Preparation" screen. Given that such separately submitted proposals constitute a "single" proposal submission to NSF, it is imperative that the proposals be submitted within a reasonable timeframe to one another. Failure to submit all components of the collaborative proposal on a timely basis may impact the review of the proposal.

4. Proposals for Equipment

Proposals for specialized equipment may be submitted by an organization for: (1) individual investigators; (2) groups of investigators within the same department; (3) several departments; (4) organization(s) participating in a collaborative or joint arrangement; (5) any components of an organization; or (6) a region. One individual must be designated as PI. Investigators may be working in closely related areas or their research may be multidisciplinary.

Instrumentation and equipment proposals must follow the standard proposal preparation guidelines contained in this Guide. Each potential major user must describe the project(s) for which the equipment will be used. These descriptions must be succinct, not necessarily as detailed as in an individual research proposal, and must emphasize the intrinsic merit of the activity and the importance of the equipment to it. A brief summary will suffice for auxiliary users.

Equipment to be purchased, modified or constructed must be described in sufficient detail to allow comparison of its capabilities with the needs of the proposed activities. Equipment proposals also must describe comparable equipment already at the proposing organization(s) and explain why it cannot be used. This includes comparable government-owned equipment that is on-site.

Equipment proposals must discuss arrangements for acquisition, maintenance and operation, including:

- overall acquisition plan;
- biographical sketch of the person(s) who will have overall responsibility for maintenance and operation and a brief statement of qualifications, if not obvious;
- description of the physical facility, including floor plans or other appropriate information, where the equipment will be located;
- statement of why the equipment is severable or non-severable from the physical facility;
- annual budget for operation and maintenance of the proposed equipment, indicating source of funds, and particularly related equipment; and
- brief description of other support services available and the annual budget for their operation, maintenance and administration.

Equipment proposals must include the information described above within the 15-page project description. These proposals normally compete with proposals for research or education projects.³⁰

5. Proposals Involving Vertebrate Animals

a. Any project proposing use of vertebrate animals for research or education shall comply with the Animal Welfare Act [7 U.S.C. 2131 et seq.] and the regulations promulgated thereunder by the Secretary of Agriculture [9 CFR 1.1-4.11] pertaining to the humane care, handling, and treatment of vertebrate animals held or used for research, teaching or other activities supported by Federal awards. In accordance with these requirements, proposed projects involving use of any vertebrate animal for research or education must be approved by the submitting organization's Institutional Animal Care and Use Committee (IACUC) before an award can be made. For this approval to be accepted by NSF, the organization must have a current Public Health Service (PHS) Approved Assurance.

- b. Sufficient information must be provided within the 15-page project description to enable reviewers to evaluate the choice of species, number of animals to be used, and any necessary exposure of animals to discomfort, pain, or injury.
- c. Research facilities subject to the Animal Welfare Act using or intending to use live animals in research and who receive Federal funding are required to register the facility with the Animal and Plant Health Inspection Service (APHIS), US Department of Agriculture. A current listing of licensed animal dealers may also be obtained from APHIS. The location of the nearest APHIS Regional Office, as well as information concerning this and other APHIS activities, may be obtained at <http://www.aphis.usda.gov/>.
- d. Projects involving the care or use of vertebrate animals at a foreign organization or foreign field site also require approval of research protocols by the US grantee's IACUC. If the project is to be funded through an award to a foreign organization or through an individual fellowship award that will support activities at a foreign organization, NSF will require a statement of compliance that the activities will be conducted in accordance with all applicable laws in the foreign country and that the *International Guiding Principles for Biomedical Research Involving Animals* (see <http://www.cioms.ch/>) will be followed.
- e. The following information regarding the organization's intention to utilize vertebrate animals as part of the project should be provided on the NSF Cover Sheet:
- (1) The box for "Vertebrate Animals" must be checked on the proposal Cover Sheet if use of vertebrate animals is envisioned.
 - (2) The IACUC approval date (if obtained) must be identified in the space provided. If IACUC approval has not been obtained prior to submission, the proposer should indicate "Pending" in the space provided for the approval date.
 - (3) If a date is provided, the PHS Approved Animal Welfare Assurance Number must be entered in the space provided.
- f. These same requirements apply to awards to individuals (fellowships) for activities that involve use of vertebrate animals. If an IACUC approval date is entered on the Cover Sheet, a copy of the approval letter from the IACUC with Assurance Number and organizational signature should be included in the Supplementary Documentation section of the proposal or sent directly to the cognizant program.
- See also **AAG Chapter VI.B.3** for additional information on the administration of awards that utilize vertebrate animals.

6. Proposals Involving Human Subjects

- a. Projects involving research with human subjects must ensure that subjects are protected from research risks in conformance with the relevant federal policy known as the Common Rule (*Federal Policy for the Protection of Human Subjects*, **45 CFR 690**). All projects involving human subjects must either (1) have approval from the organization's Institutional Review Board (IRB) before issuance of an NSF award or, (2) must affirm that the IRB or an appropriate knowledgeable authority previously designated by the

organization (not the Principal Investigator) has declared the research exempt from IRB review, in accordance with the applicable subsection, as established in section 101(b) of the Common Rule.

b. The following information regarding the organization's intention to utilize human subjects as part of the project should be provided on the NSF Cover Sheet:

(1) The box for "Human Subjects" must be checked on the proposal Cover Sheet if use of human subjects is envisioned.

(2) If human subject activities are exempt from IRB review, provide the exemption number(s) corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are defined in the **Common Rule for Protection of Human Subjects**.

(3) If the research is not designated as exempt, the IRB approval date should be identified in the space provided. This date, at minimum, should cover the period at which the project is initiated. If IRB approval has not been obtained prior to submission, the proposer should indicate "Pending" in the space provided for the approval date.

(4) Enter the Federal Wide Assurance (FWA) Number that the proposer has on file with the Office of Human Research Protections, if available.

See also **AAG Chapter VI.B.1** for additional information on the administration of awards that utilize human subjects.

7. Proposals for Conferences, Symposia and Workshops

NSF supports conferences, symposia and workshops in special areas of science and engineering that bring experts together to discuss recent research or education findings or to expose other researchers or students to new research and education techniques. NSF encourages the convening in the US of major international conferences, symposia and workshops. Conferences will be supported only if equivalent results cannot be obtained at regular meetings of professional societies. Although requests for support of conferences, symposia and workshops ordinarily originate with educational institutions or scientific and engineering societies, they also may come from other groups. Shared support by several Federal agencies, States or private organizations is encouraged. Because proceedings of such conferences normally should be published in professional journals, requests for support may include publication costs. Proposals for conferences, symposia and workshops should generally be made at least a year in advance of the scheduled date. Conferences or meetings, including the facilities in which they are held, funded in whole or in part with NSF funds, must be accessible to participants with disabilities.

A conference, symposium or workshop proposal³¹ (that complies with the page and font size instructions in **GPG Chapter II.B**) must contain the elements identified below. Note the proposal preparation instructions for these types of proposals deviate from the standard proposal preparation instructions contained in this Guide.

- Cover Sheet;

- A statement of the objectives of the project (summarized in one page or less);
- A statement of the need for such a gathering and a list of topics;
- A listing of recent meetings on the same subject, including dates and locations;
- The names of the chairperson and members of organizing committees and their organizational affiliations;
- Information on the location and probable date(s) of the meeting and the method of announcement or invitation;
- A statement of how the meeting will be organized and conducted, how the results of the meeting will be disseminated and how the meeting will contribute to the enhancement and improvement of scientific, engineering and/or educational activities;
- A plan for recruitment of and support for speakers and other attendees, that includes participation of groups underrepresented in science and engineering (e.g., underrepresented minorities, women, and persons with disabilities);
- An estimated total budget for the conference, together with an itemized statement of the amount of support requested from NSF (the NSF budget may include participant support for transportation (when appropriate), per diem costs, stipends, publication and other conference-related costs. (Note: participant support costs must be excluded from the indirect cost base.) See **GPG Chapter II.C.2g(v)**; and
- The support requested or available from other Federal agencies and other sources. (**GPG Chapter II.C.2.h** should be consulted to prepare this portion of the proposal.)

For additional coverage on allowability of costs associated with meetings and conferences, proposers should consult **AAG Chapter V.C.5**.

8. Proposals to Support International Travel

Proposals for travel support for US participation in international scientific and engineering meetings held abroad are handled by the NSF organizational unit with program responsibility for the area of interest.

Group travel awards are encouraged as the primary means of support for international travel. A university, professional society or other non-profit organization may apply for funds to enable it to coordinate and support US participation in one or more international scientific meeting(s) abroad. Proposals submitted for this purpose should address the same items as those indicated for conferences, symposia, and workshops (see Section 7 above), with particular attention to plans for composition and recruitment of the travel group. Information on planned speakers should be provided where available from the conference organizer.

Group travel proposals may request support only for the international travel costs of the proposed activity. However, in addition, group travel proposals also may include as compensation for the grantee, a flat rate of \$50 per traveler for general administrative costs of preparing announcements, evaluating proposals and handling travel arrangements customarily associated with this type of project. (See **AAG Chapter VI.G.5**)

Group travel grantees are required to retain supporting documentation that funds were spent in accordance with the original intent of the proposal. Such documentation may be required in final reports and is subject to audit.

9. Proposals for Doctoral Dissertation Research

NSF awards grants in support of doctoral dissertation research in some disciplines, primarily field research in the environmental, behavioral and social sciences. Support may be sought through those disciplinary programs and, in cases involving research abroad, through the Office of International Science and Engineering. The thesis advisor or concerned faculty member submits proposals on behalf of the graduate student. Further information can be obtained from the cognizant program office. Deadlines for these programs vary by Directorate. Consult the NSF website for additional information.

10. Support for Development of NSF Centers

NSF provides support for a variety of individual Centers and Centers programs that contribute to the Foundation's vision as outlined in the NSF Strategic Plan. Centers exploit opportunities in science, engineering and technology in which the complexity of the research problem(s) or the resources needed to solve the(se) problem(s) require the advantages of scope, scale, change, duration, equipment, facilities, and students that can only be provided by an academic research center. They focus on investigations at the frontiers of knowledge not normally attainable through individual investigations, at the interfaces of disciplines and/or by incorporating fresh approaches to the core of disciplines. Centers focus on integrative learning and discovery and demonstrate leadership in broadening participation through focused investments in a diverse set of partner institutions and individuals. In doing so, they draw upon, and contribute to, the development of the Nation's full intellectual talent. Most Center awards are limited to a maximum duration of ten years and are often subject to mid-course external merit review. Proposers interested in learning more about current or future NSF Centers are encouraged to contact the appropriate disciplinary Program Officer.

11. Support for Development of Major Facilities and Equipment

As an integral part of its stewardship of the science and engineering infrastructure of the country, NSF provides support for Major Research Equipment and Facilities construction. NSF depends on the research communities to provide input for the planning, development, and implementation of Large Facility Projects. This normally occurs through National Academy of Science studies, community workshop reports, professional society activities, and many other methods to ensure community input funded by interested NSF programs on the basis of merit-reviewed proposals. These efforts also can include engineering studies, *ad hoc* workshops, and research projects related to the development

of new technologies. Proposers are strongly encouraged to contact the appropriate disciplinary program officer to discuss potential funding and mechanisms in advance of proposal submission.

Exhibit II-1: Proposal Preparation Checklist

It is imperative that all proposals conform to the proposal preparation and submission instructions specified in this Guide. Proposals also must comply with NSF font, spacing and margin requirements. The guidelines specified in **GPG Chapter II.B** establish minimum requirements, however, readability is of utmost importance and should take precedence in selection of an appropriate font. Conformance with all preparation and submission instructions is required and will be strictly enforced unless a deviation has been approved in advance of proposal submission. NSF may return without review proposals that are not consistent with these instructions. See **GPG Chapter IV.B** for additional information.

Prior to electronic submission, it is strongly recommended that an administrative review be conducted to ensure that proposals comply with the instructions, in the format specified. This checklist is not intended to be an all-inclusive repetition of the required proposal contents and associated proposal preparation guidelines. It is, however, meant to highlight certain critical items so they will not be overlooked when the proposal is prepared.

[] General:

☐ Proposal is responsive to the program announcement/solicitation or to the GPG.

☐ If a proposal has been previously declined and is being resubmitted, proposal has been revised to take into account the major comments from the prior NSF review.

☐ Proposed work is appropriate for funding by NSF, and is not a duplicate of, or substantially similar to, a proposal already under consideration by NSF from the same submitter.

[] Single Copy Documents:

☐ Information about Principal Investigators/Project Directors (except for the required information regarding current or previous Federal research support and the name(s) of the PI/co-PI, submission of the information is voluntary).

☐ Authorization to Deviate from NSF Proposal Preparation Requirements (if applicable).

☐ List of Suggested Reviewers, or Reviewers Not to Include (optional).

☐ Proprietary or Privileged Information Statement (if applicable).

☐ Proposal Certifications (submitted by the Authorized Organizational Representative within 5 working days following the electronic submission of the proposal). (See **GPG Chapter II.C.1.e** for a complete listing of proposal certifications.)

☐ **SF LLL, Disclosure of Lobbying Activities** (if applicable). (One copy only, scanned as a single copy document.)

☐ Cover Sheet:

☐ Program Announcement/Solicitation No./Closing Date (If the proposal is not submitted in response to a specific program announcement/solicitation, proposers must enter "NSF Grant Proposal Guide.")

☐ Specific NSF program(s) identified (if known).

☐ For renewal proposal, previous award number entered.

☐ Related preliminary proposal number entered (if applicable).

☐ Check Appropriate Box(es), and provide requisite information, if the proposal includes any of the items identified. Note in particular, proposals that include use of human subjects or vertebrate animals require additional information to be submitted with these types of proposals.

☐ Project Summary:

Note limitation of one page, and the requirement that both merit review criteria be separately addressed within the body of the Summary.

☐ Project Description:

☐ Note limitation of 15 pages

☐ Merit Review Criteria: Ensure both merit review criteria are described as an integral part of the narrative³²

☐ Inclusion of Universal Resource Locators (URLs): PIs are advised that the Project Description must be self-contained and are cautioned that URLs (Internet addresses) that provide information necessary to the review of the proposal should not be used because reviewers are not obligated to view such sites.

☐ Results from Prior NSF Support: Required only for PIs and co-PIs who have received NSF support within the last 5 years.

☐ Human-resource information: Required for renewal proposals from academic institutions only.

☐ References Cited:

[] No page limitation, however, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 15-page Project Description. Each reference must be in the specified format.

[] Biographical Sketch(es):

[] Note limitation of 2 pages per individual; required for all senior project personnel. The required information must be provided in the order and format specified.

[] Proposal Budget: (cumulative and annual)

[] Budget Justification (Note limitation of 3 pages per proposal.)

[] Current and Pending Support: Required for all senior project personnel.

[] Facilities, Equipment and Other Resources

[] Special Information and Supplementary Documentation:

[] See **GPG Chapter II.C.2.j** for the types of information appropriate for submission in this section, as required.

[] Any additional items specified in a relevant program solicitation.

[] Special Guidelines:

[] Note that **GPG Chapter II.D** contains special proposal preparation instructions for certain types of proposals.

Exhibit II-2: Potentially Disqualifying Conflicts of Interest

Unless a waiver has been granted by NSF, a reviewer cannot review a proposal if:

- the reviewer, the reviewer's spouse, minor child, or business partner;
- the organization where the reviewer is employed, has an arrangement for future employment or is negotiating for employment; or
- the organization where the reviewer is an officer, director, trustee, or partner,

has a financial interest in the outcome of the proposal.

Unless a waiver has been granted by NSF, a potential reviewer also may be barred from reviewing a proposal, if it involves individuals with whom he/she has a personal relationship, such as a close relative, current or former collaborator, or former thesis student/advisor.

Unless a waiver has been granted by NSF, a disqualifying conflict may exist, if a proposal

involves an institution or other entity with which the potential reviewer has a connection. Such potentially disqualifying connections include:

- a reviewer's recent former employer;
- an organization in which the reviewer is an active participant;
- an institution at which the reviewer is currently enrolled as a student, or at which he/she serves as a visiting committee member; or
- an entity with which the reviewer has or seeks some other business or financial relationship (including receipt of an honorarium.)

Exhibit II-3: Drug-Free Workplace Certification

Instructions for Certification

1. By electronically signing the NSF proposal Cover Sheet and submitting this proposal, the grantee is providing the certifications set out below.
2. The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the **Drug-Free Workplace Act**.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.

Certification Regarding Drug-Free Workplace Requirements

Alternate I (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace, no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction.

Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Alternate II (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10

calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

For NSF, grantee notification should be made to the Cost Analysis & Audit Resolution Branch, Division of Institution & Award Support, NSF, Arlington, VA 22230.

Exhibit II-4: Debarment and Suspension Certification

Instruction on Certification Regarding Debarment and Suspension

1. By electronically signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is any material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing **Executive Order 12549**. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered

transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction", provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from a covered transaction by any Federal department or agency; (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall include an explanation with this

proposal.

Exhibit II-5: Lobbying Certification

Instructions on Certification Regarding Lobbying

This certification is required for an award of a Federal contract, grant or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000. The Certification for Contracts, Grants, Loans and Cooperative Agreements also is included in full text on the FastLane submission screen.

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by **Section 1352, Title 31, U.S. Code**. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Exhibit II-6: Nondiscrimination Certification

Instructions for Nondiscrimination Certification

1. In accordance with NSF policy, a proposal for NSF funding must be accompanied by the nondiscrimination certification set out below. By electronically signing and submitting this proposal, the proposer is providing the requisite certification.
2. The proposer shall provide immediate notice to the Foundation if at any time the proposer learns that its certification was erroneous when submitted, or has become erroneous by reason of changed circumstances.

Certification of Compliance with National Science Foundation Nondiscrimination Regulations and Policies

By electronically signing the proposal, the Authorized Organizational Representative hereby certifies that the organization will comply with Title VI of the Civil Rights Act of 1964 (**42 USC § 2000d**), Title IX of the Education Amendments of 1972 (**20 USC §§ 1681 et seq.**), the Rehabilitation Act of 1973 (**29 USC § 794**), the Age Discrimination Act of 1975 (**42 USC §§ 6101 et seq.**) and all regulations and policies issued by NSF pursuant to these statutes.

To that end, in accordance with the above-referenced nondiscrimination statutes, and NSF's implementing regulations and policies, no person in the United States shall, on the ground of race, color, national origin, sex, disability, or age, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Proposer receives Federal financial assistance from the Foundation; and HEREBY CERTIFIES THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Proposer by the Foundation, this Certification shall obligate the Proposer, or in the case of any transfer of such property, the transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this Certification shall obligate the Proposer for the period during which it retains ownership or possession of the property. In all other cases, this Certification shall obligate the Proposer for the period during which the Federal financial assistance is extended to it by the Foundation.

THIS CERTIFICATION is given in consideration of and for the purpose of obtaining any and all Federal grants, cooperative agreements, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Proposer by the Foundation, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Proposer recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Certification, and that the United States shall have the right to seek judicial enforcement of this Certification. This Certification is binding on the Proposer, its successors, transferees, and assignees.

Exhibit II-7: Definitions of Categories of Personnel

The personnel categories listed on parts A and B of the Proposal Budget are defined as follows:

A. Senior Personnel

1. (co) Principal Investigator(s) -- the individual(s) designated by the grantee and approved by NSF who will be responsible for the scientific or technical direction of the project. If more than one, the first one listed will have primary responsibility for the project and the submission of reports.
2. Faculty Associate (faculty member) -- an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

B. Other Personnel

1. Postdoctoral Scholar -- An individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. Postdoctoral scholars not identified under Senior Personnel above should be listed as Other Personnel.
2. Other Professional -- a person who may or may not hold a doctoral degree or its equivalent, who is considered a professional and is not reported as a Principal Investigator, faculty associate, postdoctoral scholar or student. Examples of persons included in this category are doctoral associates not reported under B1, professional technicians, physicians, veterinarians, system experts, computer programmers and design engineers.
3. Graduate Student (research assistant) -- a part-time or full-time student working on the project in a research capacity who holds at least a bachelor's degree and is enrolled in a degree program leading to an advanced degree.
4. Undergraduate Student -- a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor's or associate's degree.
5. & 6. These categories include persons working on the project in a non-research capacity, such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians and custodial personnel regardless of whether they hold a degree or are involved in degree work.

Any personnel category for which NSF funds are requested must indicate, in the parentheses provided on the Proposal Budget, the number of persons expected to receive some support from those funds and, where called for in the budget format, person-months to the nearest tenth.

⁸ **FAQs regarding FastLane proposal preparation and submission** also are available electronically on the FastLane website. **Back to Text**

⁹ Requests for approval of a deviation from NSF's electronic submission requirement (including both FastLane and Grants.gov) must be forwarded to the cognizant NSF program for review and approval prior to submission of the paper proposal. **Back to Text**

¹⁰ In addition to the typefaces identified above, Macintosh users also may use Helvetica and Palatino typefaces. **Back to Text**

¹¹ **Further instructions** for this process are available electronically on the FastLane website. **Back to Text**

¹² **Detailed instructions** for completion of this process are available electronically on the FastLane website. **Back to Text**

¹³ For consistency with the Department of Health and Human Services conflict of interest policy, in lieu of "organization," NSF is using the term "institution" which includes all categories of proposers. **Back to Text**

¹⁴ **Detailed instructions** submission of the SF LLL are available on the FastLane website. **Back to Text**

¹⁵ See **Grant General Conditions (GC-1)** Article 11 for additional information. **Back to Text**

¹⁶ Requests for approval of a deviation from NSF's electronic submission requirement must be forwarded to the cognizant NSF program for review and approval prior to submission of the paper proposal. **Back to Text**

¹⁷ If the proposal includes use of Vertebrate Animals, supplemental information is required. See **GPG Chapter II.D.5** for additional information. **Back to Text**

¹⁸ If the proposal includes use of Human Subjects, supplemental information is required. See **GPG Chapter II.D.6** for additional information. **Back to Text**

¹⁹ If the proposer has a website address readily available, that information should be included in the citation, as stated above. It is not NSF's intent, however, to place an undue burden on proposers to search for the URL of every referenced publication. Therefore, inclusion of a website address is optional. A proposal that includes reference citation(s) that do not specify a URL address is not considered to be in violation of NSF proposal preparation guidelines and the proposal will still be reviewed. **Back to Text**

²⁰ Detailed instructions for submission of confidential budgetary information are available on the FastLane website. **Back to Text**

²¹ See also the NSF Grant General Conditions (GC-1) for additional information on use of US-Flag Air Carriers at http://www.nsf.gov/pubs/gc1/gc1_31506.pdf. **Back to Text**

²² Proposers are advised that the GC-1 requires the grantee to obtain written authorization from the cognizant NSF program officer prior to the reallocation of funds budgeted for participant support. **Back to Text**

²³ For all funds awarded prior to March 15, 2006, payment for a consultant's services may not exceed the daily equivalent of the then current maximum rate paid to an Executive Schedule Level IV Federal employee (exclusive of indirect cost, travel, per diem, clerical services, fringe benefits and supplies). **Back to Text**

²⁴ The term "subaward" also includes contracts, subcontracts and other arrangements.

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²⁵ See **AAG Chapter V.C.4** for specific instructions and requirements regarding the allowability of relocation costs under NSF awards. **Back to Text**

²⁶ If proposed, the estimated value of any in-kind contributions should be included on Line M. An explanation of the source, nature, amount and availability of any proposed cost sharing also must be provided in the budget justification. Section .23 of OMB Circular A-110 describes criteria and procedures for the allowability of cash and in-kind contributions in satisfying cost sharing and matching requirements. **Back to Text**

²⁷ See **GC-1 Article 6** for additional information. **Back to Text**

²⁸ Separately submitted collaborative proposals must be submitted via FastLane as Grants.gov does not currently support this type of functionality. **Back to Text**

²⁹ Detailed instructions for the electronic preparation and submission of collaborative proposals are available on the FastLane website at https://www.fastlane.nsf.gov/NSFHelp/flashhelp/fastlane/FastLane_
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³⁰ See **AAG Chapter IV.D** for additional information on the administration of equipment awards. **Back to Text**

³¹ Costs associated with conferences, symposia, workshops or other meetings supported by an NSF grant must be specifically and clearly identified in the proposed scope of work and budget, and approved by NSF. Additional information on the charging of conference, symposia and workshops is contained in **AAG Chapter V.C.5**. **Back to Text**

³² Examples illustrating activities likely to demonstrate broader impacts are available electronically on the NSF website at <http://www.nsf.gov/pubs/gpg/broaderimpacts.pdf>.
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supervisor. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation will include a fair and balanced summary of performance relative to tenure and/or promotion considerations and is expected to include a summary of all solicited evaluations, confidential and non-confidential, received as part of a promotion and tenure review. The supervisor may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Peer Evaluations

Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process. Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines

<http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Student Input

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and provide a fair and balanced summary of all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit level reviews to add a written statement regarding these reviews, to be included in the dossier.

As stated in the Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/persrec.html>), should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's dossier to verify that all statements therein have properly summarized external evaluations. This review is to be completed and forwarded to the College at least two weeks prior to the scheduled completion of the College level review. This review becomes a part of the dossier at that time. The request by the candidate for this review must be submitted to the Faculty Senate within one week after receiving all unit level reviews.

At any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College Review Policy approved by President Ray on September 11, 2009.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is to be elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

The college faculty committee review letter shall provide: (i) an independent evaluation of the merits of the candidate as presented in the dossier, (ii) an opinion as to whether the departmental-level letters of evaluation fairly and uniformly assess the merits of the candidate's performance as documented in the dossier, and (iii) an assessment of the consistency of standards applied to all candidates in the college. In addition, the committee should check that each dossier has been properly prepared.

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier.

The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

University Review and Recommendation

Each dossier will be reviewed for completeness by the Senior Vice Provost for Academic Affairs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Senior Vice Provost for Academic Affairs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty.

Decisions and Appeals

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision. Candidates will be informed of the decision in writing. In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal.

Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal. When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and stating the facts that support the appeal. No other supporting letters will be considered. The President has the right to request additional information.

Return of Dossiers

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the appropriate dean, typically at the start of the next academic year. The dean will then return it to the tenure unit, where, after confidential letters have been removed, the dossier is retained as part of the faculty member's personnel files.

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WAIVER OF ACCESS

Chapter 317 Oregon Laws 1975 (ORS 351.065) provides that a faculty member shall not be denied full access to his or her personnel file or records kept by the State Board of Higher Education or its institutions, schools, or departments. Oregon Administrative Rule (580-22-075) states that "when evaluating employed faculty members, the Board, its institutions, schools, or departments shall not solicit nor 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, except for student evaluations made or received pursuant to Rule 580-22-100(5)."

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. You will retain your right of access to written evaluations prepared by your department, college, dean, and the Provost and


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Academic Affairs



FACULTY HANDBOOK: PROMOTION AND TENURE GUIDELINES

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GENERAL PURPOSES AND RESPONSIBILITIES

The quality of Oregon State University is sustained through the dedicated and creative work of the faculty. Objective, systematic, and thorough appraisal of each candidate for initial and continued appointment, for promotion in academic rank, and for the granting of indefinite tenure is therefore important. The purpose of these guidelines is to provide common criteria and procedures for tenure and promotion for all Oregon State University faculty in the professorial ranks. Guidelines for promoting instructors, research assistants, and faculty with courtesy or research appointments are included with these criteria.

Promotions in rank and the granting of tenure are based on merit. They are never automatic or routine, and are made without regard to race, color, religion, gender, age, marital status, sexual orientation, gender identity or expression, disability, political affiliation, or national origin. In general, promotions are awarded to recognize the level of faculty members' contributions to the missions of the University in teaching, advising, service, and other assignments; and in scholarship and creative activity.

Responsibility for promotion and tenure recommendations rests principally with the senior members of the faculty, unit administrators,

and academic deans. Final responsibility rests with the Provost and Executive Vice President. Reviewers base their recommendations on carefully prepared dossiers that document and evaluate the accomplishments of each candidate measured relative to the duties of each individual as enumerated in their position description.

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CRITERIA FOR PROMOTION AND TENURE

Candidates for promotion and tenure will be evaluated objectively for evidence of excellence in their performance of assigned duties and in their scholarship or creative activity. Each of these responsibilities will be documented in the dossier.

Oregon State University is committed to educating, both on and off campus, the citizens of Oregon, the nation, and the international community, and in expanding and applying knowledge. The responsibilities of individual faculty in relation to these fundamental commitments will vary and will be specified in his or her individualized position description. Whatever the assignment, faculty in the professorial ranks will engage in appropriate scholarship and other creative activity, with a minimum of 15% FTE allocated to this.

All faculty are expected to be collegial members of their units, and to perform appropriate service that contributes to the effectiveness of their departments, colleges, and the University, and of their professions. Relative contributions expected in the various areas of responsibility will depend on the faculty member's assignment.

Faculty Responsibilities

A faculty member's responsibilities may be subdivided into the categories of teaching and advising, research, extension, service, and other duties as assigned. In addition, faculty are expected to produce scholarly outcomes, as described in their position description. A general description of assigned duties and scholarship expectations follows. The position description is where more specific expectations are enumerated and form the basis for evaluation (see the University's [Guidelines for Position Descriptions for Academic Employees](#)).

Assigned Duties

Teaching: The teaching of students is central to the mission of Oregon State University. Most faculty have significant responsibilities in instruction:

- » in presenting resident credit courses, international programs, for-credit distance learning programs;
- » in directing undergraduate and graduate research or projects, internships, and theses, and serving on master and doctoral committees;
- » in collaborating with and mentoring undergraduate and graduate students, and postdoctoral associates.

When teaching is part of the faculty assignment, effectiveness in teaching is an essential criterion for appointment or advancement. Faculty with responsibilities in instruction can be promoted and tenured only when there is clear documentation of effective performance in the teaching role.

Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and ability to organize material and convey it effectively to students. Other activities that provide evidence of a faculty member's particular commitment to effective teaching include:

- » contribution in curricular development, including collaborative courses and programs;
- » innovation in teaching strategies, including the incorporation of new technologies and approaches to learning;
- » documented study of curricular and pedagogical issues, and incorporation of this information into the classroom.

Evaluation of instruction is based on a combination of systematic and on-going peer evaluations, following unit guidelines for peer review of teaching; tabulated responses from learners or participants of courses taught by the candidate; and evaluation, by student representatives, of materials that pertain to teaching. Peer evaluations should be based both on classroom observations and on review of course syllabi, texts, assigned reading, examinations, and class materials. Where possible, evaluation is enhanced by evidence of student learning.

Advising: All faculty members must also be committed to the well-being of students, both inside and outside the classroom. Effective advising helps create an environment which fosters student learning and student retention. The formal and informal advising and mentoring of undergraduate and graduate students is an indispensable component of the broader educational experience at the University.

Faculty advising may take the form of assisting students in the selection of courses or careers, serving as faculty adviser with student groups, assisting learners in educational programs both on and off campus, and mentoring students. For promotion and tenure, performance in such activities must be documented and evaluated. Documentation should include the number of students served and the advising or mentoring services provided. Evaluation will consider the innovation and creativity of the services, and their effectiveness; it may be based on systematic surveys of and assessments by students and former students who received these services, when signed by the students.

Research: Research is the active pursuit of new ideas and knowledge. Research may add to our theoretical understanding of an area or may focus on the improved application of existing knowledge or methods. Scholarship related research results are demonstrated by characteristics such as peer review affirmation (see below). However, there are other outcomes of research activities that should be accommodated accurately in our system.

Many faculty in technical fields are expected to participate actively in research. The exact definition of research for the purposes of promotion and tenure decisions, however, is discipline-specific. Thus, research may also include interpretation and application of new

ideas or new methods that may have outcomes that are not peer reviewed but are consistent with the goals of the research project. Expectations and outcomes should be clearly understood by faculty within their specific discipline and delineated in faculty position descriptions, including the proportion of their research activities that are expected to have (or not to have) scholarship as outcomes.

Extension: In general, extension is the informal education (non-credit) that is conducted by faculty members in response to specific needs of client groups in a particular geographic area or a group with common interests. It incorporates a learning process specifically designed for the audience and promotes learning by, from, and with client groups. Extension also seeks to integrate education with research activities and frequently engages volunteers who extend the effectiveness of extension programs. Extension programming often includes non-credit seminars, workshops, continuing-education and distance-learning programs (including E-campus), camps, free-choice learning, and field days.

Evaluation of extension education is based on a combination of systematic and ongoing peer evaluations, following unit guidelines for peer review of teaching/extension, and tabulated responses from participants. Peer evaluations should be based both on observations from classes taught and on review of teaching materials. Where possible, evaluation is enhanced by evidence of student learning. When extension is part of the faculty assignment, effectiveness in extension teaching is an essential criterion for appointment or advancement. Faculty with responsibilities in extension can be promoted and tenured only when there is clear documentation of effective performance and impact in this aspect of the extension role.

Service: Faculty service is essential to the University's success in serving its central missions, and is a responsibility of all faculty. Faculty will be held accountable for that responsibility, and rewarded for their contribution according to specific expectations laid out in their position descriptions. As with other duties, the FTE ascribed to service in the position description should be an accurate representation of the time assigned to the activity.

Faculty members perform a broad array of services that are vital to supporting and sustaining the quality and effectiveness of the University and its programs (institutional service), and to their disciplines (professional service). Faculty members are expected to provide service to the University, its students, clients, and programs, as collegial and constructive members of the University and the broader community. Examples include service in faculty governance; in academic and student-support units; in international development; in community and state programs; in mentoring students and student groups; and on department, college, and university committees.

Service to professional organizations contributes to the national and international intellectual communities of which OSU is a part. The part of faculty members' service duties that draw upon their professional expertise and/or are relevant to their assignment, may be considered as a component of a faculty member's scholarship or creative activity, if the work meets the standard criteria of peer validation and dissemination. The appropriate designation of each service duty should be discussed with the individual's supervisor prior to taking on the duty.

Many faculty make important service contributions to university relations or to the community that are not directly related to their appointments. Though valuable in their own right, and ideally a responsibility of all citizens, these efforts are considered in promotion and tenure decisions only to the extent that they contribute to the mission of the University.

Other Assignments:

These may include but are not restricted to the following: Counseling, Academic Administration, International Assignments, Information Services, Libraries, Diagnostic and Analytical Facilitation, and Student Services. Generally, these assignments:

- » Involve discipline specific work for which the faculty member was hired
- » Requires expertise and training at the faculty level
- » Are done at the behest of others
- » Will vary, depending on the specific assignment, in the degree to which they produce scholarly or creative outcomes directly attributable to the faculty member.

The specific expectations (e.g. for scholarship) of these assignments must be described in the individualized position description.

Where faculty assignments entail serving students or clients, evaluation will focus on the quality of the specific services provided, determined by the purposes of the service and the faculty member's success in achieving them. Documentation should include the number of students or clients served and the services provided. Evaluation will consider innovation and creativity, and evidence of effectiveness; and may be based on systematic surveys of, and assessments by, those who received the services, when signed by the evaluators.

Scholarship and Creative Activity

All Oregon State University faculty in the professorial ranks have a responsibility to engage in scholarship and creative activity. Scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated. More specifically, such work in its diverse forms must be based on a high level of professional expertise; must give evidence of originality; must be documented and validated as through peer review or critique; and must be communicated in appropriate ways so as to have impact on or significance for publics beyond the University, or for the discipline itself. Intellectual work in *research, teaching, extension, service*, or other assignments is scholarship if it is shared with peers in journals, in formal peer-reviewed presentations at professional meetings, or in comparable peer-evaluated forums.

Scholarship and creative activity derive from many activities, including but not limited to:

- » research contributing to a body of knowledge;
- » development of new technologies, materials, methods, or educational approaches;
- » integration of knowledge or technology leading to new interpretations or applications;
- » creation and interpretation in the arts, including the performing arts;

- » work on steering committees, funding agency panels and editorships where the outcome is a fundamental change in the field's direction.

While the kinds of scholarship for faculty across the range of positions at the University will vary, the requirement that the significance of the scholarship be validated and be communicated to publics beyond the University will sustain a uniformly high standard. In some fields, refereed journals and monographs are the traditional media for communication and peer validation; in others, exhibitions and performances. In still other fields, emerging technologies are creating, and will continue to create, entirely new media and methods. In consideration for promotion and tenure, scholarship and creative activity are not merely to be enumerated but are to be carefully, objectively, and rigorously evaluated by professional peers, including ones external to the University.

When work that is the product of joint effort is presented as evidence of scholarship, clarification of the candidate's role in the joint effort should be provided in the dossier.

In certain positions, seeking competitive grants and contracts is an essential responsibility, and success in this endeavor—particularly when the grants are highly competitive and peer-reviewed— is a component of achievement in scholarship.

Criteria for Granting Indefinite Tenure

Tenure ensures the academic freedom that is essential to an atmosphere conducive to the free search for knowledge and the attainment of excellence in the University. But in addition, tenure also reflects and recognizes a candidate's potential long-term value to the institution, as evidenced by professional performance and growth. Tenure sets universities apart from other institutions. Faculty are not merely employed by the University but are integral to the educational and research programs of the University; tenured faculty are the community of educators who create institutional stability and an ongoing commitment to excellence. Tenure, therefore, will be granted to faculty members whose character, achievements in serving the University's missions, and potential for effective long-term performance warrant the institution's reciprocal long-term commitment. The granting of tenure is more significant than promotion in academic rank.

Tenure is granted for achievement, not for years in rank, but under normal circumstances faculty will be considered for tenure in their sixth year of service in professorial rank. By the end of the sixth year on tenure track ("annual tenure"), the faculty member must be granted indefinite tenure or be given a year's timely notice that the appointment will not be continued. A faculty member who works less than 1.0 FTE may have his or her tenure clock adjusted in accordance with the rules of the State Board of Higher Education (see OAR 580-021-0125). The tenure clock will begin on the September 16th following the faculty member's hire, unless otherwise stipulated in the offer letter. The number of years of credit for prior service (if any) must be stated in the offer letter, along with the date by which tenure must be granted. Under extenuating circumstances, such as personal or family illness, a faculty member can request of the Provost and Executive Vice President that the tenure clock be extended. A one-year extension will be granted for leave taken under the Family and Medical Leave Act that extends for 3 months or more. Requests for extension of the tenure clock should come at the time of the extenuating circumstances, and will not be accepted after June 1 of the calendar year preceding the calendar year in which the tenure decision will be made.

The tenure decision is based primarily on the candidate's performance of teaching, advising, service, and other assignments and achievements in scholarship. In judging the suitability of the candidate for indefinite tenure, however, it is also appropriate to consider collegiality, professional integrity, and willingness to accept and cooperate in assignments.

Criteria for Promotions

Criteria for Promotion from Assistant to Associate Professor

Promotion to the rank of Associate Professor is based upon evidence of the candidate's:

- » demonstrated effectiveness in teaching, advising, service, and other assigned duties;
- » achievement in scholarship and creative activity that establishes the individual as a significant contributor to the field or profession, with potential for distinction;
- » appropriate balance of institutional and professional service.

Promotion to Associate Professor does not automatically grant tenure. Tenure will usually accompany a promotion, but the decision on tenure is made independently of the decision on promotion.

Criteria for Promotion to Professor

Promotion to the rank of Professor is based upon evidence of the candidate's:

- » distinction in teaching, advising, service, or other assigned duties, as evident in continuing development and sustained effectiveness in these areas, new and innovative teaching, curricular development, awards and recognition;
- » distinction in scholarship, as evident in the candidate's wide recognition and significant contributions to the field or profession;
- » exemplary institutional and professional service, and an appropriate balance between the two.

Criteria for Promotion of Clinical, Research, Fixed Term Extension and Courtesy Faculty

Faculty with clinical, senior research, fixed term extension and courtesy appointments will be expected to meet the same criteria for advancement in professorial rank as those with regular appointments. Given the nature of the appointments, commitments in some areas of responsibility may be greater than in others, but the criteria for scholarship will adhere to the same standard expected of faculty with regular appointments. Additional background information on clinical faculty are available at Guidelines for Clinical Faculty Appointments and Promotion.

Criteria for Promotion and Tenure of Instructors

Promotion from the rank of Instructor to Senior Instructor may be considered after four years of full-time service, calculated from the hire date to December 31 of the calendar year prior to the promotion decision (promotion decisions are made in June of the following year). For fixed term instructors with extended prior service, promotion to the rank of Senior Instructor cannot be made effective before the end of the third year of full-time service. To be promoted, a candidate must:

- » have a graduate degree appropriate to the assigned duties, or comparable educational or professional experience;
- » have special skills or experience needed in the unit;
- » have an exceptional record of achievement in the assigned duties.

The criteria for Teaching, Advising, and Other Assignments in this document can provide guidelines for documenting and evaluating the level of achievement. Promotions cannot be made from non-professorial to professorial ranks.

Tenure-track Instructors

A tenure-track Instructor position is defined by teaching, advising and other assigned duties as delineated in the position description, and has a focus on a specialized assignment within an academic program. Such positions carry an expectation of scholarship as defined in the position description. Faculty in such positions are expected to demonstrate their potential for long-term contribution to the institution.

Only those instructors hired into tenure-track positions are eligible for tenure. Tenure-track instructors must hold a minimum of a Master's degree. Promotion and tenure of tenure-track instructors shall be governed by the promotion and tenure process and guidelines. This means that a tenure-track instructor, under normal circumstances, will be considered for tenure in their sixth year of service. By the end of the sixth year, a tenure-track instructor must be granted indefinite tenure or be given a year's timely notice that the appointment will not be renewed. Instructors in tenure-track positions who have extended prior service as fixed term instructors may have credit for prior service specified in their offer letter, but will not be eligible for tenure before they have completed three years of tenure-track status.

Criteria for Promotion of Faculty Research Assistants

Faculty with non-professorial rank are hired in positions to meet units' specific needs. Criteria for promotion will therefore be specific to the candidate's position description.

Promotion from Faculty Research Assistant to Senior Faculty Research Assistant may be considered after four years of full-time service, calculated from the hire date to December 31 of the calendar year prior to the promotion decision (promotion decisions are made in June of the following year). For Faculty Research Assistants with extended prior service, promotion to the rank of Senior Faculty Research Assistant cannot be made effective before the end of the third year of full-time service. To be promoted, a candidate must:

- » have a graduate degree appropriate to the field in which the research activities are performed, or comparable educational or professional experience;
- » demonstrate a high level of competence, achievement, and potential in research, or serve effectively in a position requiring high individual responsibility or special professional expertise;
- » demonstrate a high degree of initiative in research and leadership among research colleagues in the department, as documented in authorship, management responsibilities, and creative approaches to research.

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FACULTY DOSSIERS

Compilation of the Dossier

Promotion and tenure decisions are based primarily on an evaluation of the faculty member's achievements as described in his or her dossier. The dossier must document and contain evaluation of the candidate's performance in teaching, advising, service, or other assignments; and in scholarship, consistent with the candidate's position. The current Dossier Preparation Guidelines and models for requesting letters of evaluation can be found at <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Although the candidate prepares much of the material for the dossier, the immediate supervisor of the tenure unit (department chair or head, county staff chair, dean or director) will assure that the candidate receives assistance as needed, and will be responsible for seeing that the final dossier is complete and conforms to University guidelines.

Recommendations for the promotion or tenure of a unit supervisor will be reviewed in the same manner as for other faculty, except that the dean or director to whom the supervisor reports will appoint a senior faculty member to assume the supervisor's usual responsibilities.

Access to the Dossier and University Files by the Faculty Member

As described in the OSU Faculty Records Policy contained in the Faculty Handbook, faculty members will be allowed full access to their own dossiers, personnel files, and records kept by the institution, college, or department, except for:

- » letters of evaluation submitted as part of a pre-employment review at Oregon State University;
- » solicited letters of evaluation for faculty who have signed voluntary waivers of access to those letters as part of a particular year's promotion and tenure review.

Prior to the dossier receiving its first formal review by the department P&T committee, the candidate must sign and date a certification that the open part of the dossier is complete. Should the candidate and the supervisor of the tenure unit disagree on the inclusion of some materials, the candidate may indicate his or her objection in the statement of certification. Once the dossier is certified, the only materials to be added subsequently will be the letters of committee and administrative review, and in some cases the candidate's response to an evaluation as described in the following section. If manuscripts are accepted for publication after the dossier is certified, it is the faculty member's responsibility to inform his or her supervisor. That information will then be considered in the review.

Throughout the process of review, the open parts of the dossier remain available to the candidate at his or her request. The candidate will be notified when letters of evaluation by reviewers at the unit and college levels are added to the dossier.

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PROCEDURAL GUIDELINES FOR PROMOTION AND TENURE

The process for earning promotion and tenure begins at the time of hiring. Faculty are hired with expectations in job performance and scholarship that are established in position descriptions, which may then be revised as the tenure unit's needs and the faculty member's assignments change. From the time of their arrival at the University, new faculty should be well advised of what is expected of them for promotion and tenure. Reports from the annual Periodic Reviews of Faculty (PROF's) including any more intensive third-year review, while not included in the candidate's dossier for promotion and tenure, are used by supervisors in tenure units to inform faculty, in a constructive way, of their progress toward promotion and tenure.

Declaration and Management of Conflicts of Interest

In order that we maintain objectivity in the promotion and tenure process, it is critical that we declare and manage special relationships between candidates and other faculty/administrators that might create real or apparent bias in the process. This means that evaluators who have a relationship with a candidate should be forthcoming in making that relationship known, consistent with University policies and these Guidelines, and act to ensure that their participation in no way undermines the objectivity of the evaluation process. This includes personal relationships as well as professional relationships such as those with former advisees and collaborators. A faculty member or administrator involved in the promotion and tenure evaluation process must declare any conflict of interest that arises from these circumstances.

Policy for dealing with conflicts of interest stemming from a personal relationship are covered in both OSU's consensual relations policy (<http://oregonstate.edu/affact/consensual-relationships-policy-0>) and in OAR 580-022-0055, which generally prohibits an academic staff member from participating in employment decisions involving the staff member's spouse, child, or stepchild (reference - http://arcweb.sos.state.or.us/rules/OARS_500/OAR_580/580_022.html).

With respect to professional relationships, if anyone involved in the P&T evaluation process has a professional relationship with a candidate under consideration, he or she must declare the nature of the professional relationship before any discussion takes place. In addition, the specific nature of the relationship should be noted in any written evaluation. If, after consultation, the unit P&T committee chair or the Senior Vice Provost for Academic Affairs feels that the process would be compromised by the participation of any individual, that faculty member must recuse him or herself from any discussion or voting on that particular case.

In some cases, the candidate's supervisor will participate in the preliminary discussions of the unit P&T committee in order to provide information on process prior to deliberations. However, the supervisor may participate only if invited by the unit committee and must not be present for the deliberations. Supervisors who have a past or current personal or professional relationship with the candidate that might compromise the evaluation process (example: former advisee undergoing evaluation) must either recuse themselves from the process and find a substitute, or state the nature of the relationship at the beginning of the evaluation letter. In no case will they participate in the voting as a member of the committee. This includes cases such as department heads serving on College level P&T committees. In such cases, department heads must recuse themselves from the discussion and voting on any case related to their own department.

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled by the candidate with assistance from the supervisor to assure proper format and inclusion of all necessary information, as given in the Dossier Preparation Guidelines at <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Tenure Unit Review and Recommendation Policy approved by President Ray on July 7, 2010

Tenure Unit Review and Recommendation

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit committee should review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines. Dossiers that are incomplete or improperly formatted will be sent back to the candidate and unit supervisor. The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty, excluding the unit

supervisor. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation will include a fair and balanced summary of performance relative to tenure and/or promotion considerations and is expected to include a summary of all solicited evaluations, confidential and non-confidential, received as part of a promotion and tenure review. The supervisor may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Peer Evaluations

Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process. Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines

<http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Student Input

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and provide a fair and balanced summary of all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit level reviews to add a written statement regarding these reviews, to be included in the dossier.

As stated in the Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/persrec.html>), should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's dossier to verify that all statements therein have properly summarized external evaluations. This review is to be completed and forwarded to the College at least two weeks prior to the scheduled completion of the College level review. This review becomes a part of the dossier at that time. The request by the candidate for this review must be submitted to the Faculty Senate within one week after receiving all unit level reviews.

At any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College Review Policy approved by President Ray on September 11, 2009.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is to be elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

The college faculty committee review letter shall provide: (i) an independent evaluation of the merits of the candidate as presented in the dossier, (ii) an opinion as to whether the departmental-level letters of evaluation fairly and uniformly assess the merits of the candidate's performance as documented in the dossier, and (iii) an assessment of the consistency of standards applied to all candidates in the college. In addition, the committee should check that each dossier has been properly prepared.

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier.

The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

University Review and Recommendation

Each dossier will be reviewed for completeness by the Senior Vice Provost for Academic Affairs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Senior Vice Provost for Academic Affairs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty.

Decisions and Appeals

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision. Candidates will be informed of the decision in writing. In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal.

Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal. When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and stating the facts that support the appeal. No other supporting letters will be considered. The President has the right to request additional information.

Return of Dossiers

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the appropriate dean, typically at the start of the next academic year. The dean will then return it to the tenure unit, where, after confidential letters have been removed, the dossier is retained as part of the faculty member's personnel files.

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WAIVER OF ACCESS

Chapter 317 Oregon Laws 1975 (ORS 351.065) provides that a faculty member shall not be denied full access to his or her personnel file or records kept by the State Board of Higher Education or its institutions, schools, or departments. Oregon Administrative Rule (580-22-075) states that "when evaluating employed faculty members, the Board, its institutions, schools, or departments shall not solicit nor 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, except for student evaluations made or received pursuant to Rule 580-22-100(5)."

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. You will retain your right of access to written evaluations prepared by your department, college, dean, and the Provost and

Executive Vice President, although the confidentiality and identity of other reviewers referred to in these evaluations will be maintained.

WAIVER OF ACCESS TO SUBMITTED EVALUATION MATERIALS FROM REVIEWER

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DOSSIER PREPARATION GUIDELINES 2011–2012

Dossiers for 2011–2012 are due in the Office of Academic Affairs no later than February 17, 2012.

Please submit the original dossier, an electronic pdf file of each dossier, and three double-sided, binder clipped copies, assembled, and with each section clearly marked, as outlined below. Do not include supplemental materials with the dossier (such as copies of journal articles, etc.). Those materials should be kept within the department and available upon request of the University Promotion and Tenure committee.

Pdf files can be submitted via flash drive to Sara Eklund in the Office of Academic Affairs, 628 Kerr Administration Building.

I. COVER PAGE

Include name of candidate, department and table of contents. All pages should be numbered.

II. FORM A

Include check list Form A found at: http://oregonstate.edu/admin/aa/sites/default/files/documents/form_A-07.pdf.

III. CONFIDENTIALITY WAIVER (optional)

All faculty have the option of signing a "Waiver of Access" form for outside letters of evaluation. The signed original should be included in this section. A copy of the current waiver form is available at: http://oregonstate.edu/admin/aa/sites/default/files/documents/waiver_access.doc. Execution of the waiver is voluntary. If the candidate chooses not to sign the waiver of access, include a statement to that effect in this section.

IV. POSITION DESCRIPTION

A copy of the candidate's current position description must be included. If significant shifts in assignment have occurred, earlier position descriptions should be included. With significant assignment changes, include a table that summarizes FTE distribution among primary activities over time. Refer to the "[Guidelines for Position Descriptions for Academic Faculty](#)" to describe the allocation of FTE for a faculty member.

V. CANDIDATE'S STATEMENT

The candidate should include a statement (three page maximum, 12 point font, one inch margins) that addresses the individual's contributions in the areas of teaching, advising and other assignments; scholarship and creative activity; and service.

VI. STUDENT LETTER OF EVALUATION (as appropriate)

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure.

Guidelines for the Student Evaluation Letter for Inclusion in the Promotion and Tenure Dossier (approved by Faculty Senate on June 12, 2008, approved by President Ray on July 20, 2008)

The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the following process.

1. The unit chair or head or designee requests a list of names of current and recent students, including advisees from the candidate.
2. The unit P&T committee and the supervisor (normally unit chair or head) jointly generate an additional list of student names.
3. The unit chair or head or designee requests letters of reference from that combined list. An attempt should be made to request input from students whose collective experience represents the profile of the teaching and advising duties of the faculty member. For example, if a faculty member teaches all undergraduate courses, it is appropriate for all letters to come from undergraduates. If the faculty member teaches a combination of courses, the students should have a combination of backgrounds that will provide sufficient information to evaluate the candidate's performance.
4. Letters to the students requesting the evaluative reference must inform the student as to who will see their review letters. Access to those letters will be determined by whether the candidate has signed a waiver of access. Students must also be informed that only signed letters will be used as part of the process.
5. As a rule ½ of the letters should be from the list generated by the candidate and ½ from the list generated by the unit. There is no specific minimum number of letters required. The total number of letters should be on the order of 4-12, depending on the complexity of the candidate's teaching duties.
6. Units that use a series of standardized questions to help guide student input are strongly encouraged to work with Academic

Affairs and OSU Legal Counsel prior to asking for information from students.

7. Letters received from student referees are kept on file in the unit office. Consult the OSU records retention schedule for the required period the letters must be kept on file. (<http://osulibrary.oregonstate.edu/archives/schedule/admin.html> .) The names of the students and the content of the letters are kept confidential if the candidate has signed a waiver of access.
8. The unit chair or head or designee will form a student committee, whose task it is to write a letter summarizing the input from student referees. Members of this committee:
 - » Should be current students.
 - » As a rule, ½ should be from a list provided by the candidate and ½ from a list generated by the unit.
 - » May be individuals from whom letters were solicited.
 - » Should not be a current advisee of the candidate (letters from current advisees may be part of the student input).
9. The student committee is provided with the student referee letters, student oriented teaching and advising portion of the dossier (i.e. excluding faculty peer review), plus any additional available information pertinent to their review.
10. The student chair of the student committee is selected by the P&T committee or unit supervisor. The only duty of this committee is to write a summary letter that includes information from the student referee letters and the teaching and advising portion of the dossier.
11. The student committee should be instructed to include in its summary the perspectives represented by all the student referee letters (e.g. not to integrate opinions into an intermediate position).
12. All members of the committee sign the summary letter and present it to the unit P&T committee and unit supervisor. The summary letter and the names of the individuals on the student committee will be known to the candidate and P&T committee even if the candidate has signed a waiver of access.

The student committee section of the dossier must include:

- » A description of the process used in the unit for the selection of the student committee;
- » A copy of the instructions given to the students;
- » A short description of the group of students that provided letters, the nature of their relationship to the faculty member and whether the candidate or the P&T committee nominated the student to be a member of the committee; and
- » The summary letter from the student committee, signed by the members of the committee.

SAMPLE REQUEST FOR STUDENT COMMITTEE LETTER

SAMPLE REQUEST FOR STUDENT LETTER OF EVALUATION

VII. ADMINISTRATIVE LETTERS OF EVALUATION

- » Departmental Faculty Committee Letter
- » Department Chair or Department Head Letter
- » Letters from Other Administrators with Supervisory Responsibility
- » College or Unit Promotion and Tenure Committee's Letter
- » Dean, Director, Vice President, or Vice Provost's Letter

These letters are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor, letters from each should be included. These letters should not simply be a restatement of evaluations at lower administrative levels. Summarize and comment on key points in the letters of evaluation solicited from qualified reviewers in the candidate's field. Evaluators should be identified only by a coded reference number or letter when referring to a comment in a confidential letter.

VIII. PROMOTION AND TENURE VITA

The vita for promotion and/or tenure review should be formatted to follow the section headings below.

A. EDUCATION AND EMPLOYMENT INFORMATION

The year, major field of study, and degree obtained from each institution should be identified. The year, location, and institution for each position held since the baccalaureate should be included in this section.

B. TEACHING, ADVISING AND OTHER ASSIGNMENTS

1. Instructional Summary

- » Credit Courses - Present a chronological listing of course numbers, term, year, and number of students enrolled.
- » Non-Credit Courses and Workshops - Present a chronological listing of noncredit courses, international training programs held in the U.S., workshops, seminars, Extension programs, and continuing education programs in which candidate has had a major responsibility. Indicate the candidate's role (program participant, program organizer, etc.).
- » Curriculum Development - List primary contributions in curriculum development and give dates (e.g. courses developed, curriculum committee service, etc.).
- » Graduate and Undergraduate Students and Postdoctoral Trainees - List current and former graduate and undergraduate students and postdoctoral trainees for whom the candidate has had a major instructional or mentoring responsibility. Indicate instructional role (major professor, graduate committee member, thesis or project mentor, etc.) and year the degree was or will be

completed.

- » Team or Collaborative Efforts, If Any - Indicate special efforts undertaken to team or collaborate with another individual, group, or institution in the planning or delivery of instruction.
- » International Teaching, If Any - Identify instructional activities (short and long-term) and/or curricular developments that have taken place in countries other than the United States. Indicate the location, time frame, and nature of the teaching experience (i.e. workshop, seminar, course, etc.).

2. Student and Participant/Client Evaluation

Summarize all course/program evaluations with numerical ratings. Results from evaluations by learners or participants of every course taught by the candidate should be included in tabular format. The number of students/clients in the course who submitted evaluations should be identified. The summary should include an analysis of performance over time, e.g. same course by term and year, as well as comparisons of the course to department and/or college norms on important variables such as required /not required, core or elective, and level (100, 200...), etc. Letters from individual students, clients, or program participants should not be included.

3. Peer Teaching Evaluations

Peer evaluations should be based on a review of course syllabi, texts, assigned reading, examinations, class materials, and other assessments such as attendance at lectures as appropriate for the field and subject area. Peer teaching evaluations should be systematic and on-going, following unit guidelines for peer review of teaching. A letter from the peer teaching review committee that summarizes all peer teaching reviews over the evaluation timeframe should be included in the dossier.

4. Advising

Describe advising/counseling responsibilities, both formal academic advising (give number of student advisees, how often they typically meet with the adviser), and co-curricular advising (e.g. faculty adviser for student professional organization). Provide evaluations of advising performance, including dates, and describe how student input was obtained. Evaluation will consider the innovation and creativity of the services, and their effectiveness; it may be based on systematic surveys of and assessments by students and former students who received these services, when signed by the students.

5. Other Assignments

For faculty with primary responsibilities other than teaching and advising, information that identifies these duties and the indicators for assessing effectiveness should be included in this section.

- » Other Assigned Duties - Provide a paragraph which describes or summarizes the assigned responsibilities, target audience, collaborative aspects, international activities and number of individuals served.
- » Participant/Client Evaluation - Summarize evaluations highlighting the services provided and, to the extent possible, the impact of these services on identified needs.

C. SCHOLARSHIP AND CREATIVE ACTIVITY

Scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated. As specified in the Promotion and Tenure Guidelines, such work in its diverse forms is based on a high level of professional expertise; must give evidence of originality; must be documented and validated as through peer review or critique; and must be communicated in appropriate ways so as to have impact on or significance for publics beyond the University, or for the discipline itself.

1. In identifying scholarly and creative activity, use appropriate headings (e.g. refereed publications, juried exhibits, non-refereed publications).

- » Refereed papers or juried exhibitions or compositions should be listed separately from non-refereed papers or indicated with an asterisk.
- » All authors should be given in the order they appear in the paper (not "with John Smith and Kathy Brown"). Date of publication, volume, and pages must be given. When work that is the product of joint effort is presented as evidence of scholarship, **clarification of the candidate's role in the joint effort should be provided in the dossier.**
- » Where not obvious, the dossier should explain how the work was validated and communicated. It is also important to know the significance of the scholarship and creative activity and the stature of the sources in which they appear. These can be commented on after each listing, and discussed in letters of evaluation from the promotion and tenure committee, the Department Chair, Head, Director, or Dean.

2. For professional meetings, symposia, and conferences, note the dates, location, and role of the faculty member (e.g. organizer, chair, invited speaker, discussant, presenter). Where these are presented as scholarship or creative activity, explain the validation process and the significance or stature of the event.

3. List grant and contract support (dollar amount) along with funding agency, dates and name of principal investigator.

4. List patent awards, cultivar releases, and inventions, with titles and dates.

5. List other information appropriate to one's discipline.

D. SERVICE

Faculty service is essential to the University's success in achieving its central mission. Service is an expectation for promotion for all ranks at Oregon State University.

1. University Service

List departmental, college, and University committees (or other responsibilities), with dates.

2. Service to the Profession

List involvement with professional associations/societies, especially offices held, research advisory or review panels, and other evidence of regional, national, or international stature and service to the profession. Provide dates for all activities.

3. Service to the Public (professionally related)

List service provided to the public which is consistent with professional training and responsibilities. Provide dates. Service that is relevant to a faculty member's assignment, and which draws upon professional expertise or contributes significantly to university relations, is considered and valued in promotion and tenure decision.

4. Service to the Public (non-professionally related) (optional)

Community service not directly related to the faculty member's appointment, though valuable in itself, and ideally a responsibility of all citizens, is considered in promotion and tenure decisions to the extent that it contributes to the University.

5. If service is a significant percentage of FTE, outcomes or impact should be described.

E. AWARDS

Include awards received from professional organizations/societies, Oregon State University, civic or community groups. The nature of the award (including its stature and significance) and reason received, e.g., teaching and advising, scholarship, etc., should be identified. The awards should be grouped, to the extent possible, into the following headings.

1. National and International Awards
2. State and Regional Awards
3. University and Community Awards

IX. LETTERS OF EVALUATION

Solicited Letters of Evaluation from Outside Leaders in the Field (5 minimum, 8 maximum for professorial faculty; 4 for Faculty Research Assistants and Instructors)

Letters should generally be from leaders in the candidate's field, chosen for their ability to evaluate the candidate's scholarly work. Letters should not be solicited from co-authors, co-principal investigators, former professors, or former students. If such letters are necessary, include an explanation and state why the evaluator can be objective. Letters should generally be from tenured professors or individuals of equivalent stature outside of academe who are widely recognized in the field. External letters for professorial faculty should never be solicited from clients or others whom the candidate has directly served in his/her work. For FRA's and Instructors, the letters can be from internal evaluators who have worked with the candidate but can objectively evaluate the candidate's dossier. Careful consideration should be given to minimizing conflict of interest when choosing all evaluators.

The candidate may submit a list of individuals meeting these criteria and, from this list, at least three will be selected by the department chair or head (or chair of the unit's Promotion and Tenure Committee). The other reviewers are to be selected by the chair, head, dean, or faculty committee according to practices determined within the unit. All letters must be requested by the department chair, head, dean, or the unit's promotion and tenure committee chair, not the candidate. Provide a brief (paragraph) description of the outside evaluators that makes it clear that they meet the criteria. Clearly indicate which outside reviewers were chosen by the candidate. In the final dossier, no more than half of the outside reviewers can be chosen by the candidate.

A representative form letter can be found at: [SAMPLE REPRESENTATIVE FORM](#) (doc), but any reasonable variation is acceptable. Include a copy of the actual letter used. Each reviewer should be sent a copy of the candidate's position description, candidate's statement, and current vita. Copies of publications are not usually sent to reviewers, but may be sent at the discretion of the individual soliciting the letter. Provide a log of contacts with the reviewers, including letters and telephone calls. Letters from external reviewers should be available prior to initiating the review of the dossier.

X. OTHER LETTERS AND MATERIALS (optional)

Additional letters from sources other than administrators, unit promotion and tenure committees, the student committee, and external reviewers are not necessary. Signed letters of support or advocacy from friends, colleagues, students, and clients should be included only if they are necessary for fairness and balance. If there is some compelling reason to include such letters, the unit supervisor should write a statement identifying the significance of the letters, whether solicited or unsolicited, and the need to include them in the dossier. All letters should be letters of evaluation and should be open to the candidate. Include any other material that may be relevant to a full and fair review.

XI. CANDIDATE'S SIGNED STATEMENT

Prior to the dossier receiving its first formal review by the unit promotion and tenure committee, the candidate should sign a statement that he or she has reviewed the open part of the dossier and that it is complete and current. The candidate retains the right of access to recommendations added by deans, heads, chairs, directors, and unit promotion and tenure committees.

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POLICY ON SALARY INCREASES FOR PROMOTION IN RANK

Background

This policy deals with the salary increase associated with a promotion in academic rank. The academic ranks in question are for promotions from: Instructor to Senior Instructor, Faculty Research Assistant to Senior Faculty Research Assistant, Assistant Professor to Associate Professor, and Associate Professor to Professor. The current policy is that promotions in rank bring a fixed 5% increase in salary, and that the increase is funded by the college and/or department. However, it appears that the current policy has not been followed consistently throughout the University.

An ad-hoc committee, chaired by Steve Davis and including Sally Francis, Peter Bloome, John Walstad, Doris Tilles, and Bob Wess, was asked to review the current policy. The committee reviewed the current policy, assessed how it is currently being implemented and made recommendations. The recommendations were then reviewed by the Faculty Senate Executive Committee, Academic Deans, and President's Cabinet. Based on the input from these groups, the following policy has been established.

Policy

- » This policy covers promotions in rank to Senior Instructor, Senior Faculty Research Assistant, Associate Professor, and Professor.
- » The following increases will be used for promotions in academic rank effective on the following dates:
 - » 6.5% on July 1, 1999
 - » 8.0% on July 1, 2000
 - » 10% on July 1, 2001 and thereafter.
- » The salary increase will be funded by the department and/or college, as is the current arrangement.
- » The Office of Human Resources will assist units in implementing the salary increases.

Rationale for Policy

- » In a faculty member's career at OSU, there are a limited number of promotions. These promotions occur as a result of meritorious service and, therefore, the rewards for these accomplishments should be significant.
- » Peer institutions provide salary increases at the time of promotion, which are generally greater than 5%.
- » Over time, this policy may help to reduce the degree of salary compression resulting from escalating salaries of new hires.

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Revised July 26, 2011

[< Faculty Handbook: Faculty records and periodic review](#)

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Academic Affairs



FACULTY HANDBOOK: POST–TENURE REVIEW

Tenure serves both the individual and the institution, and by serving the institution it especially serves the citizens of the State of Oregon. With the award of tenure, the University commits itself to a faculty member in a unique way, and the faculty member acquires a vested interest in the well being of the institution. Tenure is awarded only after an extensive probationary period, during which the highest standards of scholarship, teaching, and service must be demonstrated to the satisfaction of local peers as well as nationally/internationally recognized experts. The granting of tenure is not a license for lifetime employment but an acknowledgment of the likelihood of continued excellence, and post-tenure review can assure that this high level of performance is sustained.

The University recognizes that faculty renewal, development and improvement are of critical importance in its pursuit of excellence. To that end, the University provides for post-tenure review of its faculty to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed upon the award of tenure. If the review process identifies areas in which a faculty member is not fulfilling the expectations of his or her position, a professional development plan will be drafted and implemented. Thus, the process provides effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member maintains a record of professional development and accomplishment during the various phases of his or her career.

The review and evaluation process must uphold the highest standards of academic freedom. Faculty must be encouraged to take risks, to ask inconvenient questions, and to challenge prevailing views, in research and scholarly pursuits as well as in teaching, without the fear of suffering the consequences of failure in the review process. It is the responsibility of administrators to promote and secure the academic freedom of all faculty in their units, as well it is the responsibility of senior and tenured faculty to protect the academic freedom of junior and untenured faculty.

The written reviews, attachments, and professional development plans produced as part of the PTR process are to be regarded as confidential according to the OSU policy on faculty employment records.

Faculty members who are dissatisfied with the outcome or the process of the review should attempt resolution through informal means involving the unit head and the unit-level peer committee. If no resolution is achieved, the faculty member may institute formal grievance procedures.

Initiation of Post Tenure Review:

A post-tenure review (PTR) is to be performed if (i) requested by a faculty member (ii) requested by the unit head or supervisor after one negative review or (iii) a faculty member receives two consecutive negative periodic reviews of faculty (PROF). A negative PROF is defined as receiving unsatisfactory assessment of one or more areas identified in the position description (e.g., teaching, scholarship, service, outreach). A negative PROF must always be followed by either a PTR in the same or following year, or a PROF in the following year to determine if sufficient progress has been made to overcome the deficiencies identified in the first PROF.

The faculty member will prepare a dossier in accordance with the OSU Promotion and Tenure Guidelines, with the exception that outside review letters will not be required, and will not ordinarily be requested. If a faculty member or unit head requests outside review, up to five reviewers will be selected, following the process used in promotion and tenure procedures.

Members of the PTR committee shall be elected by the unit faculty who are at or above the rank of the faculty member being reviewed. In addition, a representative from outside the unit shall be included. The external committee member shall be selected by the unit PTR committee from a list who are tenured faculty members at or above the rank of the faculty being reviewed. The list (at least three such faculty members) shall be provided by the faculty member being reviewed.

Consequences of the Post Tenure Review:

The result of the PTR will be a written report to the unit head or supervisor and will be included in the personnel file of the faculty being reviewed. If the PTR is initiated by a negative PROF, the report will address both the positive and the negative aspects of the PROF and assess their validity. If the committee confirms unsatisfactory performance in any aspect of the position description, a plan for improvement shall be developed jointly by the faculty being reviewed and the unit head in consultation with the PTR committee.

The plan should provide detailed actions, sufficient resources as are available and measureable goals to achieve satisfactory performance within a maximum of three years. Such resources might include support for scholarly professional activities (travel, time released from teaching, equipment, clerical or technical support, graduate assistants, laboratory or other workspace, etc.) or a program for the improvement of teaching. A copy of the development plan will be sent to the Dean of the College or to the appropriate academic supervisor. A PTR will be performed at the end of the plan period again with a written report submitted to the unit head or supervisor.

In the event of an unsatisfactory PTR and failure to achieve the goals of the plan for improvement, the unit head (in consultation with the peer committee) may recommend redistribution of effort, reassignment within the unit, reduction in salary, or the imposition of sanctions, including, but not limited to: reduction in rank, reassignment within the institution, or termination of appointment in accordance with OAR 580–21–320 to 580–21–385. Any recommendation for sanctions made by the academic unit must be reviewed by a standing faculty committee elected for that purpose at the level of the college. The review committee shall forward the results of its review and the unit's recommendation to the Dean or corresponding academic supervisor, and to the Provost. The Provost may determine whether to take appropriate action under procedures specified in OAR 580–21–320 through 580–21–385.

Until a faculty member has been given adequate opportunity to achieve the improvements specified in the plan for improvement (given the availability of the resources necessary to effect the improvements), and until a full faculty review of any recommendations for sanctions has taken place as specified in these procedures, no action based on post–tenure review will be taken by the University under OAR 580–21–330. This policy is not intended to limit the ability of the University to pursue the imposition of sanctions for cause unrelated to the post–tenure review process in accordance with OAR 580–21–330.

Review of the Post–Tenure Review Process:

The Faculty Senate will periodically review the effectiveness of the post–tenure review process.

GUIDELINES FOR CLINICAL FACULTY APPOINTMENTS AND PROMOTION

The faculties of the colleges and schools of pharmacy at the University of Georgia, the University of Maryland, Mercer University, The University of Michigan and the University of Washington are acknowledged for permitting use of their promotion documents. In addition, the faculties at the University of Idaho, Texas A & M University and Washington State University are acknowledged for permitting use of their promotion documents with regard to psychologists and student affairs faculty.

The Promotion and Tenure Guidelines of Oregon State University were relied upon heavily in terms of defining the broad areas and diversity of responsibility of Oregon State University faculty.

I. GENERAL PURPOSE

The purpose of these guidelines is to provide criteria and procedures for evaluation and promotion of clinical track faculty at Oregon State University. These guidelines serve to define and differentiate clinical track faculty appointments from the traditional academic (tenure) track. These guidelines are consistent with the Promotion and Tenure Guidelines of Oregon State University, particularly as they related to promotion, and will be implemented in conjunction with those guidelines. These guidelines should not be interpreted to alter the provisions of Board rules on fixed term appointments.

II. ACADEMIC POSITIONS

This document defines the broad range of responsibilities of clinical faculty at Oregon State University and serves to provide guidance to clinical faculty in assessing the appropriateness of their activities. The scope of responsibilities outlined in the mission statement of Oregon State University dictates that the faculty be comprised of individuals with widely varying activities and responsibilities to fulfill the mission of the University.

In recognition of this, Oregon State University recognizes several faculty categories. Each category is created to be unique to the responsibilities and expectations of faculty within, but nothing in this document is to imply a hierarchy of importance between tenure track and clinical track faculty.

Clinical Track Faculty

The mission of Oregon State University in preparing students at the professional doctoral level, masters level, and baccalaureate level requires that some faculty be excellent clinicians and educators, with a significant responsibility toward both. Position titles include Clinical Instructor, Clinical Senior Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor. The clinical track classification is to be used only for faculty who are engaged almost entirely in clinical practice and teaching, though, scholarship and university service is expected. Development of an independent research program is not essential, and most scholarship activities are expected to contribute to professional issues or program development. Clinical track faculty are not eligible for tenure.

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Faculty Senate Promotion and Tenure Committee

Oregon State University, Faculty Senate Office, 107 Gilkey Hall, Corvallis, Oregon 97331-6203

Phone 541-737-4344 | Fax 541-737-4489

Materials linked from the May 11, 2012 Promotion & Tenure Committee agenda.

April 20, 2012

Larry Flick, Ph.D.
Dean
College of Education
441 Waldo Hall
Oregon State University
Corvallis, OR 97331

Dear Dean Flick;

As part of the process of reviewing promotion and tenure guidelines across Oregon State University, the Faculty Senate Promotion and Tenure Committee has been charged with standardizing college guidelines across the University regarding promotion and tenure. We understand that your college is in the process of updating your specific guidelines. We are requesting that a copy of these guidelines be shared with the Faculty Senate Promotion and Tenure committee when complete so that we may confirm that they are in alignment with the University Promotion and Tenure guidelines (attached). Please send us your updated college Promotion and Tenure guidelines no later than September 30, 2012.

Sincerely,

Michelle Kutzler, Chair
Jennifer Field
Donna Champeau
David Trejo
Nicole von Germeten
Henri Jansen

Elements of assigned work.

DRAFT FOR DISCUSSION PURPOSES ONLY!!!!

AUGUST 20, 2012

1. Framework.

There are three basic areas of assigned work that cover almost all employees at OSU, faculty as well as classified staff. They relate directly to the fact that OSU is a land grant university. Not all employees are assigned tasks in all areas, though. Specific job classifications exist and position descriptions are used to define the job categories in more detail.

The general categories are given here. They are organized by the main role of interaction with others. After that there will be examples of assignments in these categories. That list is not intended to limit the job categories, and examples can be added at all times.

Instruction and advising. Employees interact with learners to help them gain knowledge or acquire skills. The learners can be traditional students in a classroom, students taking courses that are delivered electronically, private sector business people located anywhere across the state or around the world, children participating in 4H programs, adults in Master Gardener or other adult learner/volunteer programs, or anybody who wants to learn something by interacting with an OSU employee. Instruction can be paid for directly through tuition or indirectly via extension support. It can be free as part of outreach. Employees may directly advise students as part of their assigned duties and often are mentors for undergraduates, graduate students, or adult learners.

Scholarship and creative activities. Employees interact with people in their field of expertise with the goal of creating new knowledge or developing new skills. This job category includes traditional research in which peer reviewed dissemination is essential. The review can take different forms, however, depending on the nature of the assignment. Scholarship incorporates this extended perspective on review, but for the purposes of this document in all cases some form of feedback from peers is required in this category. Results should also be presented in professional meetings, symposia, and conferences or equivalent venues, and in venues appropriate for other audiences/clientele.

Service and leadership. Employees keep OSU, their professional societies and, in some cases, their communities running. This category includes service both to OSU and to the field of expertise. Leadership is a form of service in which individuals have a higher level of decision power. In basic service roles employees perform assigned tasks, possibly with the freedom of choosing the methods how to execute the work. In leadership the individual creates tasks, often to be performed by others.

2. Activities that cross boundaries.

In most cases the category of an assigned duty in the position description is clear. In some cases one can argue for two categories, but in a position description one has to make a choice, in order to avoid conflicts of interest. The need for making this choice is a consequence of the fact that for personnel decisions the position description is used as a basis for judgment. For example, one might pioneer new methods managing people. This can be part of a leadership assignment, in which case a person is judged by how well the new methods are implemented and working. It can also be part of scholarship, in which case a critical analysis of the new methods is required. If the activity would count as both leadership and scholarship, the scholarship part would be compromised, because the leadership part requires a positive outcome. It is difficult to be a critical scholar if one's livelihood is involved. The same is true for mixing teaching and scholarship. Even though topics for scholarship can be found in instruction or service, one should never be the subject of one's own research unless strict third-party review mechanisms are in place.

There is also a question for activities that could be either instruction or service. One possible suggestion to differentiate in this case is by considering the motivation of the learners. If attending an activity in which learning can take place is part of a program for which the learner has volunteered, it could be called instruction. If the learners are required to participate in a program and the activity is part of that program, it could be called service. For example, teaching a required mathematics class is instruction, because students chose the program of their major. Participating in a Discovery Day activity is service, because the school children attending the activity have no choice but to go. The potential conflict of interest is much smaller in this case. There is possibly a difference in objectives. In instruction one wants to ensure that students learn maximally, in service one wants to ensure that students appreciate the material maximally. But these two aspects are strongly related, so a distinction is not clear.

3. Examples.

Instruction and advising.

- Lecture presentations to traditional students and other learner audiences
- TA supervision
- Timely grading of homework
- Timely grading of exams
- Making class and/or other learning information available through the web
- Holding regular office hours
- Directing undergraduate and graduate research and theses
- Service on master and doctoral committees
- Mentoring of undergraduate students, graduate students, and postdoctoral associates
- Curricular development (course or youth/adult learning module improvement or creation)
- General advising of students
- Creating effective learning venues for non-campus based youth and adult learners
- Mentoring of youth and adult learners

Scholarship and creative activities.

- Research leading towards the increase of knowledge in the field of expertise
- Research leading towards the improvement of teaching techniques and methodologies, and towards curriculum reform
- Research leading towards the improvement of service work and leadership techniques
- Synthesis of existing information into formats useful to peers or clientele groups
- Obtain grant and contract funding in order to support a research program
- Effective management of research personnel and resources
- Publication of refereed papers
- Publication of non-refereed papers as appropriate
- Web publications
- Publication of books and book chapters
- Other forms of research communication as appropriate (newsletters, radio shows, TV shows, participation in juried or non-juried art or literature presentations, etc.)
- Patent and plant patent awards
- Inventions
- Licensing of products

Service and leadership.

- Service on departmental and university committees
- Service on professional association/society committees
- Holding offices in professional organizations
- Participation on research, Extension or instructional professional advisory or review panels
- Serve as editor for professional publications
- Review manuscripts for journals or other publications
- Organization of conferences
- Chairing conference sessions
- Serving as a technical advisor for city, county, state, regional or federal organizations and agencies
- As time allows, serve in other community service roles

Unresolved Issues.

- Where do REU, IGERTS fall – instruction, scholarship or service – may vary based on specific grant
- Student club advising – instruction or service?
- The business side of research – is this included under scholarship, as now shown, or a separate category

PROCEDURAL GUIDELINES FOR PROMOTION AND TENURE

The process for earning promotion and tenure begins at the time of hiring. Faculty are hired with expectations in job performance and scholarship that are established in position descriptions, which may then be revised as the tenure unit's needs and the faculty member's assignments change. From the time of their arrival at the University, new faculty should be well advised of what is expected of them for promotion and tenure. Reports from the annual Periodic Reviews of Faculty (PROF's) including any more intensive third-year review, while not included in the candidate's dossier for promotion and tenure, are used by supervisors in tenure units to inform faculty, in a constructive way, of their progress toward promotion and tenure.

Declaration and Management of Conflicts of Interest

In order that we maintain objectivity in the promotion and tenure process, it is critical that we declare and manage special relationships between candidates and other faculty/administrators that might create real or apparent bias in the process. This means that evaluators who have a relationship with a candidate should be forthcoming in making that relationship known, consistent with University policies and these Guidelines, and act to ensure that their participation in no way undermines the objectivity of the evaluation process. This includes personal relationships as well as professional relationships such as those with former advisees and collaborators. A faculty member or administrator involved in the promotion and tenure evaluation process must declare any conflict of interest that arises from these circumstances.

Policy for dealing with conflicts of interest stemming from a personal relationship are covered in both OSU's consensual relations policy (<http://oregonstate.edu/affact/consensual-relationships-policy-0>) and in OAR 580-022-0055, which generally prohibits an academic staff member from participating in employment decisions involving the staff member's spouse, child, or stepchild (reference - http://arcweb.sos.state.or.us/rules/OARS_500/OAR_580/580_022.html).

With respect to professional relationships, if anyone involved in the P&T evaluation process has a professional relationship with a candidate under consideration, he or she must declare the nature of the professional relationship before any discussion takes place. In addition, the specific nature of the relationship should be noted in any written evaluation. If, **after consultation**, (what does this mean) the unit P&T committee chair or the Senior Vice Provost for Academic Affairs feels that the process would be compromised by the participation of any individual, that faculty member must recuse him or herself from any discussion or voting on that particular case.

In some cases, the candidate's supervisor will participate in the preliminary discussions of the unit P&T committee in order to provide information on process prior to deliberations. However, the supervisor may participate only if invited by the unit committee and must not be present for the deliberations. Supervisors who have a past or current personal or professional relationship with the candidate that might compromise the evaluation process (example: former advisee undergoing evaluation) must either recuse themselves from the process and find a substitute, or state the nature of the relationship at the beginning of the evaluation letter. In no case will they participate in the voting as a member of the committee. This includes cases such as department heads serving on College level P&T committees. In such cases, department heads must recuse themselves from the discussion and voting on any case related to their own department. **Clarification of conflict of interest**

on college committee. Recused for year if conflict of interest? Recuse at vote and discussion level?

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled by the candidate with assistance from the supervisor to assure proper format and inclusion of all necessary information, as given in the Dossier Preparation Guidelines at <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Tenure Unit Review and Recommendation Policy approved by President Ray on July 7, 2010

Tenure Unit Review and Recommendation

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit committee should review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines. Dossiers that are incomplete or improperly formatted will be sent back to the candidate and unit supervisor. The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty, excluding the unit supervisor. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation will include a fair and balanced summary of performance relative to tenure and/or promotion considerations and is expected to include a summary of all solicited evaluations, confidential and non-confidential, received as part of a promotion and tenure review. The supervisor may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Peer Evaluations

Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process.

Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Student Input

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines#dossier>.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and provide a fair and balanced summary of all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit level reviews to add a written statement regarding these reviews, to be included in the dossier.

As stated in the Faculty Handbook

(<http://oregonstate.edu/facultystaff/handbook/persrec.html>), should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's dossier to verify that all statements therein have properly summarized external evaluations. This review is to be completed and

forwarded to the College at least two weeks prior to the scheduled completion of the College level review. This review becomes a part of the dossier at that time. The request by the candidate for this review must be submitted to the Faculty Senate within one week after receiving all unit level reviews.

At any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College Review Policy approved by President Ray on September 11, 2009.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is to be elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide **fair and equitable faculty representation based on the diversity within the college.** (How is this defined?) The committee shall have representation from multiple units within the college as well as members elected at large from the college. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

The college faculty committee review letter shall provide: (i) an independent evaluation of the merits of the candidate as presented in the dossier, (ii) an opinion as to whether the departmental-level letters of evaluation fairly and uniformly assess the merits of the candidate's performance as documented in the dossier, and (iii) an assessment of the consistency of standards applied to all candidates in the college. In addition, the committee should check that each dossier has been properly prepared. (clarify...important for unit level to know this) What is a unit?

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier.

The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and

tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

University Review and Recommendation

Each dossier will be reviewed for completeness by the Senior Vice Provost for Academic Affairs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Senior Vice Provost for Academic Affairs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty.

Decisions and Appeals

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision. Candidates will be informed of the decision in writing. In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal.

Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal. When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and stating the facts that support the appeal. No other supporting letters will be considered. The President has the right to request additional information.

Return of Dossiers

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the appropriate dean, typically at the start of the next academic year. The dean will then return it to the tenure unit, where, after confidential letters have been removed, the dossier is retained as part of the faculty member's personnel files.

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WAIVER OF ACCESS

Chapter 317 Oregon Laws 1975 (ORS 351.065) provides that a faculty member shall not be denied full access to his or her personnel file or records kept by the State Board of Higher Education or its institutions, schools, or departments. Oregon Administrative Rule (580-22-075) states that "when evaluating employed faculty members, the Board, its institutions, schools, or departments shall not solicit nor 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, except for student evaluations made or received pursuant to Rule 580-22-100(5)."

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. You will retain your right of access to written evaluations prepared by your department, college, dean, and the Provost and Executive Vice President, although the confidentiality and identity of other reviewers referred to in these evaluations will be maintained.

IX. Letters of Evaluation.

- Solicited Letters of Evaluation from Outside Leaders in the Field ^{6?} (5) minimum, 8 maximum for professorial faculty; 4 for Faculty Research Assistants and Instructors)

Letters should generally be from leaders in the candidate's field, chosen for their ability to evaluate the candidate's scholarly work. Letters should not be solicited from co-authors, co-principal investigators, former professors, or former students. If such letters are necessary, include an explanation and state why the evaluator can be objective. Letters should generally be from tenured professors or individuals of equivalent stature outside of academe who are widely recognized in the field. External letters for professorial faculty should never be solicited from clients or others whom the candidate has directly served in his/her work. For FRA's and Instructors, the letters can be from internal evaluators who have worked with the candidate but can objectively evaluate the candidate's dossier. Careful consideration should be given to minimizing conflict of interest when choosing all evaluators.

- The candidate ^{shall} ~~may~~ submit a list of individuals meeting these criteria and, from this list, at least three will be selected by the department chair or head (or chair of the unit's Promotion and Tenure Committee).
- The other reviewers are to be selected by the chair, head, dean, or faculty committee according to practices determined within the unit. All letters must be requested by the department chair, head, dean, or the unit's promotion and tenure committee chair, not the candidate. Provide a brief (paragraph) description of the outside evaluators that makes it clear that they meet the criteria. Clearly indicate which outside reviewers were chosen by the candidate. In the final dossier, no more than half of the outside reviewers can be chosen by the candidate.

A representative form letter can be found at: SAMPLE REPRESENTATIVE FORM, but any reasonable variation is acceptable. Include a copy of the actual letter used. Each reviewer should be sent a copy of the candidate's position description, candidate's statement, and current vita. Copies of publications are not usually sent to reviewers, but may be sent at the discretion of the individual soliciting the letter. Provide a log of contacts with the reviewers, including letters and telephone calls. Letters from external reviewers should be available prior to initiating the review of the dossier.

Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

documented and
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to the candidate
that is

The highlighted text indicates a proposed addition; the strike-through text indicates a proposed deletion.

Proposed Changes to Existing Procedural Guidelines for Promotion and Tenure

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled **by the candidate with assistance from the supervisor to assure proper format and inclusion of all necessary information,** as given in the Dossier Preparation Guidelines at (<http://oregonstate.edu/facultystaff/handbook/dosguide.html>).

RATIONALE: This was moved from the next section (see strike-through text) since it deals with initiation rather than Tenure Unit Recommendation

Tenure Unit Review and Recommendation

The strike-through sentence is proposed to be deleted since it is proposed to appear in the above section, last sentence.

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. ~~Guidelines for dossier preparation and content are provided at <http://oregonstate.edu/facultystaff/handbook/dosguide.html>.~~ The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee

shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. The Committee should also review the dossier for completeness and check the format to be consistent with that described in the Dossier Preparation Guidelines. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

RATIONALE: Added sentence is to ensure that the unit checks dossier for format and completeness, this is also in the College Committee Guidelines.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation will include a fair and balanced summary of performance relative to tenure and/or promotion considerations and is expected to include a summary of all solicited evaluations -- confidential and non-confidential -- received as part of a promotion and tenure review. The supervisor may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

RATIONALE: The second half of this is taken directly from the Faculty Handbook under Access by Faculty to Personnel Records Files and added here to alert faculty of this process. The first half of this section tries to reinforce the need for a balanced summary, that is, the letter should be one of evaluation rather than being a proponent for or against.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance.

If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and **provide a fair and balanced summary of** summarize all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

RATIONALE: Again, reinforcing balanced evaluation at the unit level.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit reviews to add a written statement regarding these reviews, to be included in the dossier. **Also, as stated in the Faculty Handbook (<http://oregonstate.edu/facultystaff/handbook/persrec.html>),** should the faculty member request it, a faculty committee appointed and authorized by the Faculty Senate shall examine the contents of the faculty member's dossier to verify that all statements therein have properly summarized external evaluations. **This review is to be completed and forwarded to the College at least two weeks prior to the scheduled completion of the College level review.** ~~In addition,~~ **At** any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

RATIONALE: The first sentence is taken from the Faculty Handbook under Access by Faculty to Personnel Records Files. The second sentence is added to provide a time frame for this review to be completed so it can get to the College Committee in time for its review.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is intended to be an independent voice of evaluation that is elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college.

The committee shall have representation from multiple units within the college as well as members elected at large from the college.

Replace above paragraph with:

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is to be elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

RATIONALE: Deleted "intended to be an independent voice of evaluation that is" and this is now moved to the next paragraph. The last two sentences have been taken from the original next paragraph since it concerns the committee makeup and recusal rules rather than the process.

The college faculty committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college. The reviewers at the college level are to determine whether the departmental-level letters of evaluation fairly assess the merits of the candidate's performance as documented in the dossier. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

Replace above paragraph with:

The college faculty committee review letter shall provide (i) an independent evaluation of the merits of the candidate as presented in the dossier, (ii) an opinion as to whether the departmental-level letters of evaluation fairly and uniformly assess the merits of the candidate's performance as documented in the dossier, and (iii) assess the uniformity of standards applied to all candidates in the college. In addition, the committee should check that each dossier has been properly prepared.

RATIONALE: The duties of the committee are spelled out in terms of what is required in the letter as three primary goals. These are all consistent with the current guidelines as written except we have added the words "of the merit" in the first sentence to make clear that a merit evaluation is needed. The last sentence makes clear the need to check for format preparation.

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier.

The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

Materials linked from the April 5 Promotion and Tenure Committee agenda.

University P&T Meeting 2010-2011

<i>Area</i>	<i>Date</i>	<i>Times</i>	<i>Place</i>	<i>Represnetative</i>
Library	20-Apr	10-12pm	650 Kerr	Jim Liburdy
Ag Sci	14-Apr	9-10am	102 Kerr	Donna Champeau
	18-Apr	1-5pm	502 Kerr	Donna Champeau
Business	25-Apr	8-10am	650 Kerr	Yanyuo Zhao
Education	20-Apr	8:30-10am	650 Kerr	Donna Champeau
Engineering	19-Apr	8-11am	650 Kerr	Michelle Kutzler
		3-5pm	650 Kerr	Michelle Kutzler
Forestry	6-May	3-5pm	650 Kerr	Michelle Kutzler
HHS	2-May	1-3pm	650 Kerr	Jim Liburdy
Liberal Arts	25-Apr	12:30-5pm	308 Kerr	Jim Liburdy
COAS	15-Apr	10-12pm	650 Kerr	Yanyuo Zhao
Pharmacy	15-Apr	3-5pm	650 Kerr	Eric Hansen
Science	22-Apr	8-11am	650 Kerr	Jennifer Field
		1-5:30pm	650 Kerr	Jennifer Field
Vet Med	26-Apr	8-10am	650 Kerr	Eric Hansen
Hours		37.5 hrs		

Faculty Handbook

Academic freedom and faculty appointments

Affirmative Action, Equal Employment Opportunity, and Family Employment Program

Faculty governance and faculty organizations

Curriculum

Faculty benefits and development

Faculty records and periodic review

Promotion and tenure guidelines

Graduate programs

Research programs and services

International Programs

External relations

Consulting, overload, and outside employment compensation

Expert Witness Policy and Procedure

Retirement and severance

Grievance procedures

Appendix A Academic dishonesty - What faculty members should know

[OSU Home](#) » [Faculty Handbook](#) » [Promotion and Tenure Guidelines](#) » Procedural Guidelines for Promotion and Tenure

PROCEDURAL GUIDELINES FOR PROMOTION AND TENURE

The process for earning promotion and tenure begins at the time of hiring. Faculty are hired with expectations in job performance and scholarship that are established in position descriptions, which may then be revised as the tenure unit's needs and the faculty member's assignments change. From the time of their arrival at the University, new faculty should be well advised of what is expected of them for promotion and tenure. Reports from the annual Periodic Reviews of Faculty (PROF's) including any more intensive third-year review, while not included in the candidate's dossier for promotion and tenure, are used by supervisors in tenure units to inform faculty, in a constructive way, of their progress toward promotion and tenure.

Declaration and Management of Conflicts of Interest

In order that we maintain objectivity in the promotion and tenure process, it is critical that we declare and manage special relationships between candidates and other faculty/administrators that might create real or apparent bias in the process. This means that evaluators who have a relationship with a candidate should be forthcoming in making that relationship known, consistent with University policies and these Guidelines, and act to ensure that their participation in no way undermines the objectivity of the evaluation process. This includes personal relationships as well as professional relationships such as those with former advisees and collaborators. A faculty member or administrator involved in the P&T evaluation process must declare any conflict of interest that arises from these circumstances.

Policy for dealing with conflicts of interest stemming from a personal relationship are covered in both OSU's consensual relations policy (<http://oregonstate.edu/dept/affact/policy/consensual.php>) and in OAR 580-022-0055, which generally prohibits an academic staff member from participating in employment decisions involving the staff member's spouse, child, or stepchild (reference - http://arcweb.sos.state.or.us/rules/OARS_500/OAR_580/580_022.html).

With respect to professional relationships, if anyone involved in the P&T evaluation process has a professional relationship with a candidate under consideration, he or she must declare the nature of the professional relationship before any discussion takes place. In addition, the specific nature of the relationship should be noted in any written evaluation. If, after consultation, the unit P&T committee chair or the Vice Provost for Academic Affairs and International Programs feels that the process would be compromised by the participation of any individual, that faculty member must recuse him or herself from any discussion or voting on that particular case.

In some cases, the candidate's supervisor will participate in the preliminary discussions of the unit P&T committee in order to provide information on process prior to deliberations. However, the supervisor may participate only if invited by the unit committee and must not be present for the deliberations. Supervisors who have a past or current personal or professional relationship with the candidate that might compromise the evaluation process (example: former advisee undergoing evaluation) must either recuse themselves from the process and find a substitute, or state the nature of the relationship at the beginning of the evaluation letter. In no case will they participate in the voting as a member

of the committee. This includes cases such as department heads serving on College level P&T committees. In such cases, department heads must recuse themselves from the discussion and voting on any case related to their own department.

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled.

Tenure Unit Review and Recommendation Policy approved by President Ray on July 7, 2010

Tenure Unit Review and Recommendation

The supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit will each independently evaluate the materials in the candidate's dossier. Guidelines for dossier preparation and content are provided at <http://oregonstate.edu/facultystaff/handbook/dosguide.html>. The supervisor and the committee will each independently recommend either for or against the candidate's promotion and/or tenure and provide the rationale for their decision in a formal letter.

Promotion And Tenure Review Committee

The unit P&T committee is intended to be an independent voice of evaluation that is identified within the unit whose membership is determined by a transparent process approved by the tenured and tenure-track faculty within the unit. The committee shall be comprised of either the entire eligible faculty within the unit or an elected subset of these faculty. The composition and size of the committee should provide fair and diverse faculty representation within the unit. The composition of the committee should also provide representation to effectively evaluate the areas of assignments identified in the candidate's position description, area of expertise, programs of study, location, etc. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. The committee must include at least three voting members. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote. If there are not enough faculty of the appropriate rank within the unit, members from outside of the unit will be elected by the tenured and tenure-track faculty to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level.

The Supervisor's Role

In addition to the information available in the candidate's dossier, the supervisor will also consult the candidate's personnel file maintained in the unit. The supervisor's letter of evaluation may include comments on any information in the candidate's file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments. If the individual serving in the unit chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation.

Peer Evaluations

Peer review is an important and necessary mechanism to evaluate each assignment within the candidate's position description. Each unit should have procedures in place to assure a peer review process for each assignment. Faculty with teaching, extension, outreach, clinical or other assignments should have evaluations covering each peer review process. Scholarship peer evaluation is achieved through external letters using the process outlined in section IX of the dossier preparation guidelines

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Student Input

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier preparation guidelines

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Unit Letters of Evaluation of the Candidate

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor and more than one unit, letters from each supervisor and unit P&T committee should be included. These letters should comment on key points in the dossier and address all responsibilities identified in the position description, and summarize all peer and external solicited evaluations. External evaluators should be identified only by a coded key when their comments are cited from these confidential letters.

Report to the Candidate

The unit supervisor is required to meet with the candidate to share the outcomes of the unit reviews prior to the dossier being forwarded to the next level for review. The candidate has one week after receiving all unit reviews to add a written statement regarding these reviews, to be included in the dossier. In addition, at any time during the review process the candidate may withdraw his or her dossier. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

College Review Policy approved by President Ray on September 11, 2009.

College Review and Recommendation

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to these evaluations, if added – is forwarded for review at the college level by both (i) a college P&T faculty committee and (ii) the dean of the college.

The college P&T committee shall be comprised of tenured college faculty members and may include department/unit chairs or heads. The college P&T committee is intended to be an independent voice of evaluation that is elected by tenured and tenure track college faculty. Colleges will determine term limits and frequency of elections. The size of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college. The committee shall have representation from multiple units within the college as well as members elected at large from the college.

The college faculty committee review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college. The reviewers at the college level are to determine whether the departmental-level letters of evaluation fairly assess the merits of the candidate's performance as documented in the dossier. College P&T committee members, if a signatory of a unit level letter of evaluation, shall recuse themselves from votes on these cases. College-level processes must be consistent with these procedural guidelines.

This college review process does not preclude deans from forming an advisory group of college administrators whose role is limited to reviewing dossiers and providing input to the dean regarding promotion and tenure practices in the college. Such advisory groups would not vote on any case and will not add a letter to the dossier.

The letter from the college P&T committee is added to the dossier and forwarded to the dean. The dean's letter is added to the dossier and forwarded to the University level committee. Both college level letters are provided to the candidate. The candidate will then have one week to provide any additional response directly to the University level committee.

The reviews of Faculty Research Assistants and Courtesy Faculty going up for promotion will end at the College level. The College is responsible for ensuring that the promotion and tenure guidelines and procedures are followed, and for reporting results of Faculty Research Assistants and Courtesy faculty promotions to Academic Affairs.

University Review and Recommendation

Each dossier will be reviewed for completeness by the Vice Provost for Academic Affairs and International Programs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Vice Provost for Academic Affairs and International Programs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty.

Decisions and Appeals

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision. Candidates will be informed of the decision in writing. In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal.

Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter

announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal. When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and stating the facts that support the appeal. No other supporting letters will be considered. The President has the right to request additional information.

Return of Dossiers

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the appropriate dean, typically at the start of the next academic year. The dean will then return it to the tenure unit, where, after confidential letters have been removed, the dossier is retained as part of the faculty member's personnel files.

Guidelines approved 1995, Revised July 2010.

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Contact us with your comments, questions, and feedback

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Corvallis, Oregon 97331-4501
phone: 541-737-1000

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***SAMPLE REQUEST FOR STUDENT COMMITTEE LETTER OF
EVALUATION***

Date:

Dear:

Professor [] is being considered for [tenure] [promotion to] in the Department [College] of [] at Oregon State University. We customarily ask a selected group of students to be on a committee to review and evaluate the candidate's teaching and advising. Thank you for agreeing to participate on this student committee.

The review committee will make a collective judgment of the candidate's teaching and advising based on their experiences. Your candid evaluation of the effectiveness of Professor [] as a teacher and advisor would be most helpful to us. Please comment on his [her] communication skills, teaching methods, appropriateness of materials, clarity of explanations, etc. In terms of advising (whether formal or not), insights on availability for counseling, responsiveness to needs, quality of advice on program and professional development, and fairness, would be useful. Evaluation of strengths and weaknesses with as much specificity as possible is needed.

Under Oregon law, Professor [] has a right to review portions of his [her] promotion file, should he [she] request it. The student evaluation letter is part of the portion that is viewable by Professor []. I wish to emphasize that it is important that your letter provide an objective and candid assessment of his [her] work.

I am aware of the great demands on your time and therefore would be especially grateful if you were able to provide us with this evaluation by [date]. Please submit your evaluation in the form of one letter summarizing the input of the entire student committee. If there are differing views within the committee, those should be reflected in the letter. Your assistance is much appreciated.

Enclosed is a copy of Professor []'s position description, candidate's statement and vita, for your consideration.

Sincerely,

Signature

Sent to selected students from classes:

Dear Student:

In accordance with the university's Promotion and Tenure procedure, we are conducting a 3-year review of Professor []. This is the mid-point towards the time for considering promotion to Associate Professor with Tenure in the Department of [] at Oregon State University. The mid-term review follows the same process as the actual tenure/promotion decision, except that no letters from professional colleagues outside the university are being sought. The intention of the mid-term review is to provide both candidate and department an accurate performance assessment, so that adjustments can be made as necessary.

An important part of the review is to obtain input from graduate and undergraduate students who have interacted with the candidate, either in the classroom or via mentoring in the research lab. We customarily ask a small group of such students to serve as a committee for collecting input from students. ***I am asking whether you would agree to serve on this committee.***

The task for the committee is to summarize input from students who have interacted in a learning environment with Dr. []. That input is in the form of solicited letters; only signed letters can be used, and we are no longer allowed to use questionnaire results in a faculty member's review. Members of the committee will be asked to submit such letters, in addition to other students. The committee is asked to collate and fairly summarize the assessments in the signed letters in a letter that will be part of Professor [] Midterm Promotion & Tenure dossier. The committee letter will be addressed to me, as Chair of the Department of [].

Please let me know ASAP if you are willing to participate in this committee and can do so before the end of this term.

Thanks in advance.

Dear Student:

In accordance with the university's Promotion and Tenure procedure, we are conducting a 3-year review of Professor x. This is the mid-point towards the time for considering promotion to Associate Professor with Tenure in the Department of Microbiology at Oregon State University. The mid-term review follows the same process as the actual tenure/promotion decision, except that no letters from professional colleagues outside the university are being sought. The intention of the mid-term review is to provide both candidate and department an accurate performance assessment, so that adjustments can be made as necessary.

An important part of the review is to obtain input from graduate and undergraduate students who have interacted with the candidate, either in the classroom or via mentoring in the research lab. Your frank appraisal of the candidate's teaching and/or mentoring would be greatly appreciated. Professor x has waived his right to access letters of evaluation solicited during the promotion and tenure review process and your letter will therefore be held in confidence unless mandated otherwise in legal proceedings.

I am asking you to write a ***signed*** letter stating your opinions regarding the value and professionalism of your learning interactions with Dr. x. It is best to illustrate your statements with actual examples, and be sure to mention the course or mentoring situation; a few short paragraphs would suffice. Your letter will be read by the members of a student committee, which will summarize the solicited opinions (without using names) in a letter that will become part of Professor x Midterm Promotion & Tenure dossier. All letters will be confidentially filed by the Department of Microbiology to be seen only by myself and the student committee.

If you do agree to write a letter, please address your letter to me, and send me (or deliver to 220 Nash Hall) a hard copy, with signature. Because of legal rules we cannot include unsigned letters. The student committee that will use your letter in compiling the committee letter consists of three students who have interacted with Dr. x as graduate students (x, y, z), and three students who have interacted with Dr. x as undergraduates (a, b, c).

Thanks in advance for assisting the faculty review process by writing your letter. To reiterate, this letter will be seen by the student committee and myself, but not by other faculty members.

Theo Dreher

Dear [],

In accordance with the university's Promotion and Tenure procedure, we are conducting a 3-year review of Professor []. This is the mid-point towards the time for considering promotion to Associate Professor with Tenure in the Department of [] at Oregon State University. The mid-term review follows the same process as the actual tenure/promotion decision, except that no letters from professional colleagues outside the university are being sought. The intention of the mid-term review is to provide both candidate and department an accurate performance assessment, so that adjustments can be made as necessary.

An important part of the review is to obtain input from graduate and undergraduate students who have interacted with the candidate, either in the classroom or via mentoring in the research lab. Your frank appraisal of the candidate's teaching and/or mentoring would be greatly appreciated. Professor [] has waived [his/her] right to access letters of evaluation solicited during the promotion and tenure review process and your letter will therefore be held in confidence unless mandated otherwise in legal proceedings.

I am asking you to write a signed letter stating your opinions regarding the value and professionalism of your learning interactions with Dr. []. It is best to illustrate your statements with actual examples, and be sure to mention the course or mentoring situation; a few short paragraphs would suffice. Your letter will be read by the members of a student committee, which will summarize the solicited opinions (without using names) in a letter that will become part of Professor []'s Midterm Promotion & Tenure dossier. All letters will be confidentially filed by the Department of [] to be seen only by myself and the student committee.

If you do agree to write a letter, please address your letter to me, and send me (or deliver to []) a hard copy, with signature by June 1. Because of legal rules we cannot include unsigned letters. The student committee that will use your letter in compiling the committee letter consists of three students who have interacted with Dr. [] as graduate students (a, b, c), and three students who have interacted with Dr. [] as undergraduates (x, y, z).

Thanks in advance for assisting the faculty review process by writing your letter. To reiterate, this letter will be seen by the student committee and myself, but not by other faculty members.

Faculty Senate P&T Committee Proposal: November 24, 2008

College Review and Recommendation.

The candidate's dossier – including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to the departmental evaluation when one is added – is forwarded for review at the college level by both a college P&T faculty committee and by the dean of the college.

The college P&T committee shall be comprised solely of college faculty members elected by tenured or tenure track college faculty. The college P&T committee is intended to be an independent voice of evaluation. College P&T committee members are not to be members of the unit-level P&T review committee. The size and qualifications of the committee shall be decided within the college to provide fair and equitable faculty representation based on the diversity within the college.

The college review should ensure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all candidates within the college. The reviewers at the college level are to determine whether the departmental-level letters of evaluation accurately assess the merits of the candidate's performance as documented in the dossier. College-level processes must be consistent with these procedural guidelines.

A letter of evaluation from the college faculty P&T committee and a letter of evaluation from the dean are to be added to the dossier as it is forwarded for review at the University level. The candidate may add a written statement regarding these reviews, to be included in the dossier.

***Proposed Representation of Faculty on the University P&T Committee:
November, 2008***

The following is a draft of a proposed change to the Faculty Senate Promotion and Tenure Committee Standing Rules

The Faculty Senate Promotion and Tenure Committee Faculty provides representation on the University Promotion and Tenure Committee. The role of this representative is to provide a voice for faculty in the University decisions on promotion and tenure with regard to both process and merit in those cases that do not receive recommendation of success at all levels of evaluation. A single representative from the Faculty Senate Committee who is not within the same college as the candidate under review will be selected for each case.

Comments:

The FS P&T Committee may discuss cases to provide a broader perspective. The FS P&T Committee is expected to review the cases that have transpired at the end of each academic year to provide awareness of the issues and decisions of past cases.

From: Tony Wilcox <anthony.wilcox@oregonstate.edu>
Subject: Re: pandt
Date: December 3, 2008 10:25:16 AM PST
To: James Liburdy <james.liburdy@oregonstate.edu>


Jim, I think I read it too quickly and didn't see this as being a revision to the committee's standing rules rather than a statement of a change in process. But it does bring up that this change will need to be reflected in a revision of the P&T Guidelines that speak to the committee's representation at the review of 'mixed recommendation' cases (from the Guidelines):

University Review and Recommendation

Each dossier will be reviewed for completeness by the Vice Provost for Academic Affairs and International Programs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Vice Provost for Academic Affairs and International Programs, the Vice President for Research, the Vice Provost for Outreach and Engagement, and the Dean of the Graduate School.

The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with deans and/or supervisors takes place, to ensure an equitable process for all faculty. 

I've noted two sections by underlining them. The first speaks to the Univ P&T Committee reviewing only the 'mixed recommendation' cases, but I think in practice they go on a retreat and review all of them. The old guidelines called for a

representative of the FS P&T Committee at this review, too, but that was deleted in the recent guidelines revision, in part because it had ceased to be done anyway.

The second section underlined (the last paragraph) is where revisions will need to occur to state the the FS P&T Committee member will have full participation in these reviews, as it currently gives only an observational role.

I'll send a note to Lynda clarifying the intent of your committee and copy you in, so that she can feel that she's closed the loop about Lani's recommendations.

Thanks,
Tony

> From: James Liburdy <james.liburdy@oregonstate.edu>
> Date: Wed, 3 Dec 2008 08:58:21 -0800
> To: Tony Wilcox <anthony.wilcox@oregonstate.edu>
> Subject: Re: pandt
>
> Tony,
> Well I had words in there saying "voting member" but then we didn't
> know if they vote or not, so we decided to go with what we presented -
> the meaning of "representative" is a full member of the committee. We
> say "voice for faculty in the University decisions" again with the
> implication that the voice is present for the entire process. I am
> more than happy to modify this to be more explicit so as not to
> provide any wiggle room.
> What about changing the second sentence to read something like:
>
> "The role of this representative is as a full member of the committee
> to provide a voice for faculty in the University decisions on....."
>
> Jim
> On Dec 3, 2008, at 8:47 AM, Tony Wilcox wrote:
>
>> Jim, this recommendation doesn't speak to the issue of the faculty
>> representative from your committee having a "vote" or being at the
>> same
>> level of input in the cases under consideration as the other members
>> of the
>> University P&T Committee. Do you think that should be made explicit?
>>
>> Thanks,
>> Tony
>>

Tenure Unit Review and Recommendation In all but rare cases, the supervisor of the tenure unit and a promotion and tenure review committee formed from among the faculty within the unit (at or above the rank for which the candidate is being considered). The supervisor and the promotion and tenure review committee will each independently evaluate the materials in the dossier, and recommend either for or against the candidate's promotion or tenure. If there are not enough faculty of the appropriate rank within the unit (there should be at least three on the committee), the supervisor can invite faculty from outside the unit to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level. If the individual serving in the department chair/head role is on a 1040 assignment, he/she can write the supervisor's letter of evaluation. Committees may include faculty at all ranks who can contribute to the discussion, but not every committee member may be eligible to vote. For fixed-term candidates being considered for promotion, only faculty members above the current rank of the candidate may vote. For tenured candidates being considered for promotion or untenured candidates being considered for both promotion and tenure, only tenured faculty members above the current rank of the candidate may vote. For untenured candidates being considered solely for tenure, only tenured faculty members at or above the current rank of the candidate may vote.

The supervisor will also consult the candidate's personnel file maintained in the unit. In the supervisor's letter of evaluation, he or she will comment on any information in that file that is relevant to the evaluation of assigned duties, scholarship, collegiality, professional integrity, or willingness to accept and cooperate in assignments.

If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor, letters from each should be included. These letters should summarize and comment on key points in the letters of evaluation solicited from qualified reviewers in the candidate's field. Evaluators should be identified only by a coded

reference number or letter when referring to a comment in a confidential letter.

As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The purpose of the student evaluation letter is to document the student perspective of the candidate's effectiveness as a teacher and advisor. In order to provide the university with a consistent source of information for the process, the unit P&T committee and the unit supervisor should endeavor to organize student committees for faculty evaluation using the process outlined in section VI of the dossier guidelines

<http://oregonstate.edu/facultystaff/handbook/dosguide.html>.

Faculty with teaching and/or Extension/outreach assignments should have a letter from their peer teaching review committee that summarizes all peer teaching reviews over the evaluation timeframe.

Prior to the dossier leaving the unit, the supervisor will meet with the candidate to share the outcomes of the unit reviews. The candidate may add a written statement regarding these reviews, to be included in the dossier. In addition, at any time during the review process the candidate may withdraw his or her dossier.

Policy for Mid-term Reviews for Tenure-Track Faculty

In addition to the annual Periodic Review of Faculty (PROF), all academic units will conduct mid-term intensive reviews for faculty on annual tenure-track appointments. The primary intent is to review progress toward indefinite tenure so that timely guidance can be extended to the faculty member.

Mid-term reviews are supplemental to annual PROF evaluations and to a subsequent formal promotion and/or tenure evaluation. The mid-term review provides opportunity for the Department faculty, Department Head, Dean and other supervisors to observe and comment upon an individual faculty member's performance relative to University and College promotion and tenure guidelines and to offer, if needed, appropriate advice and counsel on improving performance to meet promotion and tenure requirements. It also provides a forum for the faculty member being reviewed to ask questions about the process and criteria for granting indefinite tenure or promotion. This policy does not alter the probationary status of a tenure track appointment and the University's rights to issue a letter of timely notice under State Board of Higher Education Rules, OAR 580-021-0110.

The following general University guidelines are to be used in conducting mid-term tenure reviews:

- A. Mid-term reviews will usually be conducted during the third year of the initial appointment. For faculty whose probationary service has been either shortened for prior service or lengthened for extenuating circumstances, the review should be done during the year which best equates with the mid point in the faculty member's probationary service.
- B. In general, the mid-term review is to be used as a supplement to, and not as a replacement for, the annual review in the year it is given. Exceptions to this statement are possible if the mid-term review contains all the components of a regular annual review. If it does not, a PROF letter must be done in addition to the mid-term review.
- C. Colleges and/or departments must apply the process uniformly to all members of the faculty on annual tenure-track appointments.
- D. All materials used in the review, including any outside letters that might be solicited, must be open to review by the faculty member.
- E. The outcome of the mid-term review must be shared with the faculty member for comment and signature, and included in the individual's personnel file.
- F. The guidelines used by colleges and/or departments are to be written and available for review by members of the faculty. Prior to their formal implementation, the college and/or department guidelines are to be submitted to the Provost for review and approval.

- G. The guidelines for mid-term reviews should not preclude the University in issuing letters of timely notice in any of the years prior to a tenure decision; nor should they limit the purpose or intent of the annual review.

Suggested Procedure:

1. The mid-term review is discussed with each eligible faculty member by the department head/chair during the winter or spring of the academic year prior to a planned review.
2. The faculty member prepares a dossier for review under specifications and time guidelines provided by the department head/chair. The format for the dossier should be similar to the format used in the final promotion and tenure process. External reviews and evaluation letters are not normally sought for this dossier. Formal student or client input, based on the faculty member's position description, may be sought at the discretion of the department head/chair or the faculty review committee.
3. The dossier is reviewed by the department head/chair (and any other supervisors, if applicable) and the departmental faculty review committee. Their written evaluations are appended to the dossier and are provided to the faculty member, who may attach comments, explanations, or rebuttal before signing to indicate that the document is complete.
4. The department head/chair forwards the dossier and any attachments to the dean and schedules a meeting to be attended by the faculty member, the department head/chair, the dean, and other administrators, as appropriate.
5. At the meeting, the performance of the faculty member relative to University and College P&T guidelines (if different from the University) is discussed in the form of a dialogue among all parties present. P&T guidelines and procedures are reviewed to ensure that the faculty member has been informed about the process and criteria for evaluating faculty for granting of indefinite tenure, or promotion.
6. After the meeting, the dean sends written comments to the faculty member on the performance of the individual relative to P&T guidelines. If appropriate, suggestions for performance enhancement will be included. The dean's letter is sent through the department head/chair to the faculty member for signature and response, if desired. The letter is then placed in the individual's personnel file.
7. The department head/chair, in consultation with other supervisors, reviews the results of the mid-term review with the faculty member and discusses issues or concerns raised during the review. A written plan for any needed improvements will be jointly developed by the faculty member, the department head/chair, and any other appropriate supervisors and placed in the individual's personnel file.

This was a particularly active year for the Promotion and Tenure Committee, with a number of important charges handed to us at the beginning of the year. In addition, other ongoing discussions intersected our purview (e.g. the review of P&T by AFAPC) during the year.

At the beginning of the year (July 2006), the Faculty Senate Promotion and Tenure committee was given three specific charges:

- 1) Examine the guidelines in face of the creation of fixed term extension faculty
- 2) Role and expectations for service in P&T
- 3) Review the post tenure review process

In addition, a number of proposed revisions to the guidelines developed by an ad hoc committee last year (chaired by Becky Johnson) were passed to us in August 2006. These revisions were designed to address a number of issues that had arisen over the previous several years with respect to the existing guidelines.

In the sections below, I will discuss what the committee's actions were on each of the items. Additional information exists as part of other Faculty Senate meeting minutes and will not be reproduced here (I have tried to reference appropriate documents).

Original Charges

Examine the guidelines in face of the creation of fixed term extension faculty

This charge represented the major focus of our efforts this year. The extent of the resultant revisions had less to do with the specific issue (fixed term extension faculty) than with the discovery was that different units within the university were using very different methodologies for describing their positions. It was the judgment of our committee that that disparity in process put fixed term faculty in a particularly vulnerable position, and needed to be addressed if we were to successfully complete our charge.

In effect, our P&T guidelines and merit evaluation are based on individual position descriptions. However, previous to this year there existed no internally consistent set of guidelines or definitions to help unit supervisors write them. The specific result of this divergence in methodology was that some units were using terms such as Research completely differently from others. Our first goal as a committee was therefore to develop a set of internally consistent definitions for the duties that make up faculty positions. This year we focused primarily on Research, Extension, Other Assignments and Service.

A separate document was written and presented to the faculty senate that describes the nature of the changes to the guidelines and the guidelines for position descriptions. Slightly updated versions of those documents are attached to this report.

Role of separate documents on position description guidelines

It is important to re-iterate here that one of our major accomplishments this year was the generation of the first several drafts of guidelines for what constitutes appropriate components of a position description, and who is responsible for its construction. We developed this document originally to be part of the guidelines - in collaboration with Academic Affairs and University Legal Counsel.

At the end of the process (early Spring), Legal Counsel advised us that such information belonged outside of the guidelines. This decision began a series of conversations about who should take the leadership in providing a uniform method for writing position description to the university community. Our committee's recommendation is that it should be Academic Affairs, with collaboration from the FS P&T committee and affirmation from FS executive committee. It represents a management (practice) issue rather than a guidelines issue.

Role and expectations for service in P&T

The committee made a number of alterations in the guidelines to emphasize the role of service, and accepted slightly altered changed from the ad hoc committee chaired by Becky Johnson last summer. The changes we proposed include:

- Definition of institutional (unit and university) and professional service
- Emphasis on accountability for faculty service duties and importance for all faculty to participate
- Definition of peer validated professional service as scholarship
- A recommendation was made for all faculty to have some unspecified % FTE service in their position descriptions. That was further specified in the separate document on position description criteria.
- Clarification of what types of service can be considered for P&T. This section puts greater emphasis for community service outside the university that promotes the university mission.

Things we discussed but did not recommend:

We considered specific minimum %FTE for service – we felt that was too formulaic. Instead, we recommended that position descriptions be configured to represent time spent doing the specific task/duty. This remains somewhat controversial in some units, where a metric of “value” of the task or duty has been traditionally used. Our committee feels that the university community needs to use some basic, common metrics for speaking of our positions.

Post-tenure review

The original goal of post tenure review was for all tenured faculty to be reviewed every 5 years by a peer committee from within the unit. To date, some departments have not done the review at all (since 2001). Our committee was asked “could the current process be fixed without causing an undue burden on the units”? In short, the answer is no.

Our first task, done by last year’s committee (2005-6) was to collect information on the current processes being used in a number of units. We discovered that many units did not do anything other than standard merit review, and used that as the post tenure review. Others are conducting a full review that is similar to a P&T review. However, there are so few consequences, and the process is so labor intensive, few units will attempt to use it to address problem faculty.

It was the committee’s opinion that the current system cannot be fixed. In effect, great effort is being expended with no hard evidence that any of the original goals are being met. The committee recommendation is below.

Observations from P&T cycle

Many of the observations made in this cycle by our committee members were consistent with the following:

Problem cases often combined mediocre performance of the candidate with

- 1) poor preparation of the case by the unit,
- 2) separation of the candidate from campus (off site) and poor communication of goals/PD workload
- 3) complex position description
- 4) bad/late advice from a supervisor – example – repeated good reviews based on a mediocre record.

Most of these problems are traceable to management practices rather than to the guidelines. An exception relates to the position descriptions, where there were no existing guidelines on how to write them. In addition, many units have no specific benchmarks for promotion or tenure. Faculty

have little idea, independent of what they are told during their annual review or by their unit colleagues, of what is required of them.

On a broader theme, we as a community should decide on what our goals are in the overall process. Are we attempting to get everyone promoted or to obtain the clearest picture of everyone's record so that we feel confident in making firm decisions on the marginal cases. That decision has a great effect on the faculty expectations of the process, both from the perspective of the candidates, and of the faculty in the units who we rely on to help construct the dossiers and administer P&T.

Recommendations

Most of the issues below refer to proposed changes in practice – how we might better implement our guidelines to obtain more consistent outcomes for P&T – and to get what the faculty and university administration expect out of the process.

Service – see specific recommendations above – in addition, we recommend that service duties be documented in dossiers using outcome based metrics. Specifically, candidates should discuss what they accomplished on each of the committees, etc. where they served. For candidates where service was an important part of their record, specific effort should be made to document the outcome of their work – pro or con.

3rd year review – One of the most obvious outcomes from our observations was the significance of the mid term review. Unfortunately, there are no current standards for that review, either with respect to the format of the information, nor to its timing. We recommend that be formalized to be similar to the P&T dossier, but without external letters (unless one such letter would provide helpful information for the review).

The timing of the review is critical. A review should take place at the end of the 3rd year, and need not happen during the normal P&T cycle. Therefore, it could begin after the 7th quarter of employment. Our observations (and our observations from other years) indicate a bad outcome can very often be traced to that a delay in the review.

Quantitative review of P&T – One of the concerns that has arisen within the committee has been the number of individual, focused studies of P&T processes that have been conducted over the past couple of years. Many of these are being done within colleges, or by individual interest groups – with the best of interests. However, when an individual group conducts such a study, they have neither the resources nor the perspective necessary. The result can be a series of reports that are used to modify some of our critical processes – reports that are created with flawed data and interpreted without consideration for all of the variables that may be driving the system.

Promotion and tenure is one of the most important functions the university performs. It is worth our time, resources and a sustained effort to maintain an open database on what we are doing and how effective our process is (and how we would judge “effectiveness”). Towards that end, our committee recommends that the university undertake a quantitative study of the outcomes of promotion and tenure over the past several years. This study should not be specifically focused on any particular group, but should include the candidate's discipline, their, department, their position (tenure track, senior research, FRA), their distribution of work (e.g. % teaching, service, research, ..), location (on campus, off campus), group (gender, etc), and what the decision was at each level.

University wide metrics – Academic Affairs should take leadership in setting basic, university wide metrics for the duties as set in position descriptions. Specifically, some baseline for the distribution of work with respect to teaching should also be set. It is inherently unfair for some faculty to get 40 % FTE credit for teaching 2 graduate courses in one unit and others to only get 50% FTE credit for teaching 6 large undergraduate courses in another.

We do not think that a solution to this would need to be formulaic. However, the inequities represented across our campus must be addressed.

This is in addition to the recommendation described above under “Role of separate documents on position description guidelines”.

Post-tenure review – Our committee recommends that a separate committee be set up to develop a new review system using a two negative PROF review trigger system. We had no specific recommendations as a group further than that the committee should evaluate a number of options. An effort should be made to support units who have been making an effort to develop post-tenure review processes, in spite of the flaws in the current system – perhaps by continuing to support their ongoing initiatives with specific faculty identified as needing help.

Topics for discussion for next year

Engagement and Outreach: what definitions do we use for these activities when writing position descriptions and where do they fall in the guidelines? What specifically do we mean by engagement at OSU – how broad is it within the system – does it include engineers who collaborate with industry?

Affirmative action and the fairness of P&T with respect to under represented groups. This issue was raised by the AFAPC report, and by the discussion around the text proposed for the guidelines related to the composition of unit P&T committees. This is a case where the need is for a full, clear discussion of the specific issues, aided by good data on our current processes.

Library: Some of the issues are similar with respect to engagement and outreach above. However there are others of significance with regards to the nature the metrics of scholarly authority.

Flexible timeline for tenure: use of a longer timeline for disciplines where it is appropriate (already the case for COAS). Very preliminary discussion in some areas of Chem, Geo, Pharm.

Other – Input to distance education committee

Our committee was asked last year for input on the role of distance education courses on P&T. Our feedback is part of the minutes of their committee report. In short however, our group provided input late last year (AY2005-6) and early this year to the effect that faculty should be rewarded for teaching distance education courses in the same way they are rewarded for teaching face to face courses. That should be based on their level of effort and the learning outcomes.

Final note on accountability for service: When I met with the executive committee at the beginning of the year, we discussed methods by which we could make faculty more accountable for their service. At that time, I suggested that committee chairs report on the activity of each of their committee members. I will be sending in a separate report to that effect, but hope that you can follow up with all committees to get equivalent information.

Here are the revisions that I would like your committee to consider, together with my rationales for them.

First, I'll point out some punctuation and grammar corrections that you can silently make in the draft (maybe you've already been alerted to these by others). On p. 2, third paragraph under "Research," second line:

"discipline-specific" should be hyphenated. On p. 2, under "Teaching," first bullet: "for-credit" should be hyphenated. On p. 3, under "Extension," second to last line: "free-choice" should be hyphenated. In the next

sentence "ongoing" should NOT be hyphenated. On p. 4, the first two bullets under "General Characteristics of This Group" (caps) could be revised for the sake of parallel construction:

The work is specific to the discipline for which . . .
The work requires

On p. 4, the bullets at the bottom, the last bullet should begin with "work" with a lower-case "w." On p. 5, the second paragraph under "Service,"

the end of the second line needs a participle: perhaps "and to advancing their" On p. 5, final paragraph under "Service," the last line should have plurals: "the extent that they contribute to"

I also offer this for your committee's consideration: at the end of the third paragraph under Research on page 2, do you want to add the sentence:

"Research assignments may entail an expectation of securing external funding"? This is not an issue for CLA, but from the outside it has long seemed to me that getting grants is more an aspect of the research assignment than of the scholarship that results from the research.

Here now are my three proposals:

1. This one seems to me uncontroversial, simply a matter of presenting

ourselves as a university committed first and foremost to teaching students. Under "Faculty Representatives" on p. 2, in the opening paragraph I suggest the first category be changed from "assigned "duties" to "teaching and other assigned duties." The second sentence would then have to read: "The most commonly assigned duties, in addition to teaching, include a) research, b) advising, and c) extension . . ." (deleting "teaching" from b). The next section head would then be changed to "Teaching and Other Assigned Duties." I would further suggest that the discussion of "Teaching" come first, followed by Research."

My rationale here is simple and obvious: to present ourselves and to our publics as a university that sees teaching in all of its dimensions as our primary mission.

2. This and the next one are apparently more controversial. In the section on "Research" (p. 2), I suggest that the first paragraph be deleted.

Here, I need to justify my suggestion. You stated at the meeting today that clarity must sometimes yield to flexibility. I agree with the principle, but I do not see its application here. "Research" is an assigned duty. It's what we do in laboratories, libraries, archives, field stations, our own offices, etc. "Scholarship" is the books, articles, published reports, etc. that derive from the "research" that we do. "Scholarly activity" is the more ambiguous term. We have institutionally assigned it a meaning equivalent to "scholarship," when in fact it can describe most of what we do in teaching, research, and even service.

I think that it is important to retain the clarity of "research," if only for the sake of position descriptions, which now emphatically must reflect allocation of workload. A position description in the English Department, for example, will likely assign 50% to teaching, 40% to research, and 10% to service, as the distribution of the faculty member's time commitments (calibrated on a mythical 40-hour work week). The position description should add that, for promotion and tenure, the faculty member will be evaluated on teaching (and/or other assigned duties), scholarship, and service, roughly in the same proportions--that is, with teaching and scholarship of primary importance and service secondary. Note that calling the workload distribution 50% teaching, 40% scholarship, and 10% service would be mixing allocations of time (for teaching and service) with the relative importance of a product (the scholarship). If we want position descriptions to be tied specifically to workload, we want to use the term "research" (an activity) rather than "scholarship" (a product). And our P&T Guidelines should maintain that clear distinction.

From your comments in the Senate, I take it that the problem you are trying to address lies in Extension appointments for faculty who do a lot of research that does not eventuate in scholarship, so the desire is to call the research scholarship in itself (perhaps using that ambiguous term "scholarly activity"). By calling research scholarship when it in fact is not scholarship solves a problem for one unit at the expense of the clarity (and thus the clear thinking) in the guidelines that govern the entire university. I offer two alternatives for Extension faculty. Have the position descriptions of these faculty reflect actual workload: e.g. 30% teaching, 60% research, 10% service (or whatever), then also state the specific expectations for scholarship apart from this distribution of time commitments. If that is a problem (because scholarship, say would be weighted only 30% while the assignment is 60% research), then employ that ambiguous term "scholarly activity." That is: 30% teaching, 30% research, 30% scholarly activity, 10% service. Such position descriptions would be different from those of regular faculty, but they would not force a distortion of the P&T Guidelines governing all of the faculty for the sake of this one anomalous group.

3. This one is also apparently controversial. In the section on "Service" (p. 5), in the third paragraph, I suggest moving the first sentence to the end of the previous paragraph (so as to acknowledge professional service after the statement about institutional service), then delete the rest of the paragraph.

The rationale, obviously, is to remove the ambiguity and confusion of service sometimes counting as service, sometimes counting as scholarship (not "scholarly activity," which describes most of what we do). I heard that the motive for doing this was concern over candidates for promotion to full professor who had done no institutional service but lots of professional service (on editorial boards, panels, etc.). This problem is now addressed in the revised criteria for promotion to associate and promotion to full, in the language about an "appropriate balance" between institutional and professional service. (You could even add a sentence--"All faculty must perform institutional service appropriate to their rank"—or something of the sort, if you are worried that this is not worded strongly enough).

The danger in the paragraph I propose deleting is in the potential unintended consequences of the statement that "service duties that draw upon their professional expertise and /or are relevant to their assignment" may count as scholarship. The context for this statement is a specific one regarding professional organizations. But the statement itself could be construed to apply more broadly. I offered one example in the Senate today that was apparently not persuasive to you. Here's another. Suppose we have an expert in assessment who develops a model for assessment in one of our departments, that is then adopted widely throughout the campus and picked up by other universities (thus "validated by peers" and "disseminated"). This activity should remain "service" until the assessment expert writes an article about it that is published in a peer-reviewed journal. Then it's "scholarship." If you want to argue that it should already count as scholarship, based on its validation and dissemination, you open up a huge Pandora's Box, in which all kinds of service can be claimed to be "scholarship" (perhaps when there are merit raises for a period when someone produced no scholarship but wants to claim that service on X or Y committee or task force was, in fact, scholarship). How (and if) the university values faculty service is an important issue, but it cannot be solved by calling service "scholarship" because we know we value scholarship. This is not the intent of the paragraph, but it could be the consequence.

If after consider my rationales, your committee declines to make the proposed revisions, I would appreciate your letting me know. If you can explain to me why the committee rejected them, in a way that is convincing to me, I'll drop them. If the explanation is not convincing, I'll offer these as amendments for the Senate to vote up or down. Either way, knowing ahead of time would be good for the Senate. If the members will have to consider my amendments, it would expedite the discussion if I submitted them before the meeting.

Thanks,
Michael

PROMOTION AND TENURE GUIDELINES

GENERAL PURPOSES AND RESPONSIBILITIES

The quality of Oregon State University is sustained through the dedicated and creative work of the faculty. Objective, systematic, and thorough appraisal of each candidate for initial and continued appointment, for promotion in academic rank, and for the granting of indefinite tenure is therefore important. The purpose of these guidelines is to provide common criteria and procedures for tenure and promotion for all Oregon State University faculty in the professorial ranks. Guidelines for promoting instructors, research assistants, and faculty with courtesy or research appointments are included with these criteria.

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Promotions in rank and the granting of tenure are based on merit. They are never automatic or routine, and are made without regard to race, color, religion, gender, age, marital status, sexual orientation, disability, political affiliation, or national origin. In general, promotions are awarded to recognize the level of faculty members' contributions to the missions of the University in teaching, advising, and other assignments; in scholarship and creative activity; and in institutional, public, and professional service.

Responsibility for promotion and tenure recommendations rests principally with the senior members of the faculty, unit administrators, and academic deans. Final responsibility rests with the Provost and Executive Vice President. Reviewers base their recommendations on carefully prepared dossiers that document and evaluate the accomplishments of each candidate.

CRITERIA FOR PROMOTION AND TENURE

General Guidelines

Candidates for promotion and tenure will be evaluated objectively for evidence of excellence in their performance of assigned duties, in their scholarship or creative activity, and in their professional service. Each of these responsibilities will be documented in the dossier.

Oregon State University is committed to educating, both on and off campus, the citizens of Oregon, the nation, and the international community, and in expanding and applying knowledge. The responsibilities of individual faculty in relation to these fundamental commitments will vary and will be specified in position descriptions (see criteria below). Whatever the assignment, faculty in the professorial ranks will engage in appropriate scholarship or other creative activity.

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Deleted: Some positions will require more direct involvement in classroom instruction; others, more in conducting research and disseminating the results; others, in extending the university's programs and expertise to its regional, national, and international publics.

In addition to these primary responsibilities, all faculty are expected to be collegial members of their units, and to perform appropriate service that contributes to the effectiveness of their departments, colleges, and the University, and of their professions. Relative contributions expected in the three areas of responsibility will depend on the faculty member's assignment.

[Guidelines for Position Descriptions](#)

Deleted: Criteria for the professional advancement of faculty without professorial rank (no-rank faculty) can be adapted from these guidelines, with the approval of the Provost.¶

All faculty member must have a current position description, which should be maintained on file in the department. The purpose of this document to create a common level of expectation between the individual faculty member, their supervisor and any other group asked to evaluate their performance.

Position descriptions should be developed at the time of initial appointment and revised periodically, as the individual's job duties change. Some positions will require more direct involvement in classroom instruction; others, more in conducting research and disseminating the results; others, in extending the university's programs and expertise to its regional, national, and international publics.

Position descriptions should reflect the allocation of effort as understood by the individual faculty member and their supervisor. Development of the document should be done in collaboration between the faculty member and the supervisor, based on the needs and abilities of the individual and the needs of the unit.

Allocation of FTE for each responsibility (as described below – e.g. teaching, scholarly and creative activities, service...) should be based on the time expended on that duty. If the faculty member is employed at less than 1.0 FTE, the distribution of FTE, and how it is totaled to the composite FTE should be clearly stated in the position description – as well as how this will impact expectations for promotion and tenure.

There is a minimum of 15% FTE scholarly and creative activity for all professorial rank faculty (tenure track, Clinical, Senior Research, Extension, Courtesy).

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Faculty Responsibilities

Teaching, Advising, and Other Assignments

Faculty at Oregon State University have diverse assignments: classroom instruction, advising, extended education, counseling, academic administration, research, international assignments, information services, libraries, and student services. The university values and encourages collaborative efforts and international activities, which are an essential part of many of these assignments.

Teaching

The teaching of students is central to the missions of Oregon State University. Most faculty have significant responsibilities in instruction:

- in presenting resident credit courses, extension and international programs, non-credit seminars and workshops, and continuing-education and distance-learning programs;
- in directing undergraduate and graduate research or projects, internships, and theses, and serving on master and doctoral committees;

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- in collaborating with and mentoring undergraduate and graduate students, and postdoctoral associates.

When teaching is part of the faculty assignment, effectiveness in teaching is an essential criterion for appointment or advancement. Faculty with responsibilities in instruction can be promoted and tenured only when there is clear documentation of effective performance in the teaching role.

Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and ability to organize material and convey it effectively to students. Other activities that provide evidence of a faculty member's particular commitment to effective teaching include:

- contributions in curricular development, including collaborative courses and programs;
- innovation in teaching strategies, including the incorporation of new technologies and approaches to learning;
- documented study of curricular and pedagogical issues, and incorporation of this information into the classroom.

Evaluation of instruction is based on a combination of systematic and on-going peer evaluations, following unit guidelines for peer review of teaching; tabulated responses from learners or participants; and evaluation, by student representatives, of materials that pertain to teaching. Results from questions 1 and 2 from the current Student Evaluation of Teaching (SET) forms should be included for every course taught by the candidate. Other questions from the SET may be included at the discretion of the candidate. Peer evaluations should be based both on classroom observations and on review of course syllabi, texts, assigned reading, examinations, and class materials. Where possible, evaluation is enhanced by evidence of student learning.

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Advising

All faculty must also be committed to the well-being of students, both inside and outside the classroom. Effective advising helps create an environment which fosters student learning and student retention. The formal and informal advising and mentoring of undergraduate and graduate students is an indispensable component of the broader educational experience at the University.

Faculty advising may take the form of assisting students in the selection of courses or careers, serving as faculty adviser with student groups, assisting learners in educational programs both on and off campus, and mentoring students. For promotion and tenure, performance in such activities must be documented and evaluated. Documentation should include the number of students served and the advising or mentoring services provided. Evaluation will consider the innovation and creativity of the services, and their effectiveness; it may be based on systematic surveys of and assessments by students and former students who received these services, when signed by the students. If the surveys are anonymous, the faculty member must consent to including the results in the dossier.

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Other Assignments: Extension Research and Outreach, Counseling, Academic Administration, Research Facilitation, International Assignments, Information Services, Libraries, and Student Services, Extended Education.

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Many positions held by faculty with professorial rank enhance the learning environment for students and the larger social environment within which learning takes place, provide educational programs for resident students outside the classroom setting, extend the University's programs and expertise to publics off campus, and focus directly on the creation, integration, and application of knowledge. Faculty with assignments in extended education, counseling, academic administration, diagnostic and analytical facilitation, extension outreach and research, international assignments, information services, libraries, and student services will be evaluated by the standards appropriate to the field. These duties can be classified into several major groups, each with a different focus.

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Diagnostic and Analytical Facilitation: This includes the development and application of analytical procedures, facilitation of grant writing, access to equipment in analytical facilities, outreach to industry, teaching in workshop settings, etc.

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Libraries – Reference, client research, outreach to academic units, collection development, ..

Academic Administration – leadership of academic units, communication with state and federal agencies, facilitating access to resources for members of unit, personnel management, financial management , communication with other units

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Extension Research and Outreach – Field trials, outreach to forestry and agricultural community

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Extended Education – Development and delivery of educational programs to be delivered off campus and in non-traditional settings to non-traditional student groups, including E-campus, workshops, free choice learning, seminars, camps, etc.

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Information Services - Enterprise Computing Services - application computing: e.g. Banner, Blackboard. Media Services - Provide faculty with media resources to enhance classroom and distance learning. Support for administration, - e.g. budgeting, financial reporting, accounting and personnel management. Network Services - Network infrastructure, Internet connectivity, phone services, etc. Technology support services – including community network.

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Student Services – Advising, admissions, financial aid, institutional research, development and implentation of assessment models, and working with academic departments to coordinate efforts to enhance the educational environment of our students.

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Counseling -

International Assignments – includes development of and participation in international education, extension, research programs.

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General Characteristics of this group:

- Discipline specific work for which the faculty member was hired
- Requires expertise and training at the faculty level
- The work is done at the behest of others
- The work does not always, or even commonly produce results that fall into scholarly or creative materials directly attributable to that individual

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Where faculty assignments entail serving students or clients, evaluation will focus on the quality of the specific services provided, determined by the purposes of the service and the faculty member's success in achieving them. Documentation should include the number of students or clients served and the services provided. Evaluation will consider innovation and creativity, and evidence of effectiveness; and it may be based on systematic surveys of and assessments by those who received the services, when assigned. If the surveys are anonymous, the faculty member must consent to including the results in the dossier.

Scholarship and Creative Activity

All Oregon State University faculty in the professorial ranks have a responsibility to engage in scholarship and creative activity. Scholarship and creative activity are understood to be intellectual work whose significance is validated by peers and which is communicated. More specifically, such work in its diverse forms is based on a high level of professional expertise; must give evidence of originality; must be documented and validated as through peer review or critique; and must be communicated in appropriate ways so as to have impact on or significance for publics beyond the University, or for the discipline itself. Intellectual work in teaching, advising, or other assignments is scholarship if it is shared with peers in journals, in formal peer-reviewed presentations at professional meetings, or in comparable peer-evaluated forums.

Scholarship and creative activity may take many forms, including but not limited to:

- research contributing to a body of knowledge;
- development of new technologies, materials, or methods;
- integration of knowledge or technology leading to new interpretations or applications;
- creation and interpretation in the arts, including the performing arts.
- Work on steering committees, funding agency panels and editorships where the outcome can be a fundamental change in the field's direction.

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While the kinds of scholarship for faculty across the range of positions at the University will vary, the requirement that the significance of the scholarship be validated and be communicated to publics beyond the University will sustain a uniformly high standard. In some fields, refereed journals and monographs are the traditional media for communication and peer validation; in others, exhibitions and performances. In still other fields, emerging technologies are creating, and will continue to create, entirely new media and methods. In consideration for promotion and tenure, scholarship and creative activity are not merely to be enumerated but are to be carefully, objectively, and rigorously evaluated by professional peers, including ones external to the University.

When work that is the product of joint effort is presented as evidence of scholarship, clarification of the candidate's role in the joint effort should be provided in the dossier.

In certain positions, seeking competitive grants and contracts is an essential responsibility, and success in this endeavor --particularly when the grants are highly competitive and peer-reviewed-- is a component of achievement in scholarship.

Service

Faculty service is essential to the University's success in serving its central missions, and is a responsibility of all faculty. Faculty should be held accountable for that responsibility, and rewarded for their contribution according to specific expectations laid out in their position descriptions. Faculty supported entirely by external funds (e.g. senior research faculty) may not be required to have a service component in their positions. As with other duties, the FTE ascribed to service in the position description should be an accurate representation of the time devoted to the activity

Faculty members perform a broad array of services that are vital to supporting and sustaining the quality and effectiveness of the University and its programs (institutional service), and to their disciplines (professional service). Faculty members are expected to provide service to the University, its students, clients, and programs, as collegial and constructive members of the University and the broader community. Examples include service in faculty governance; in academic and student-support units; in international development; in community and state programs; in mentoring students and student groups; and on department, college, and university committees.

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Service to professional organizations contributes to the national and international intellectual communities of which OSU is a part. The part of a faculty member's service duties that draw upon their professional expertise and/or are relevant to their assignment, may be considered as a component of a faculty member's scholarly activity. Examples include service on national steering committees, funding agency panels, and editorships. The appropriate designation of each service duty should be discussed with the individual's supervisor prior to taking on the duty.

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Many faculty make important service contributions to university relations or to the community that are not directly related to their appointments. Though valuable in their own right, and ideally a responsibility of all citizens, these efforts are considered in promotion and tenure decisions only to the extent that it contributes to the mission of the University.

Criteria for Granting Indefinite Tenure

Tenure ensures the academic freedom that is essential to an atmosphere conducive to the free search for knowledge, and the attainment of excellence in the University. But in addition, tenure also reflects and recognizes a candidate's potential long-term value to the institution, as evidenced by professional performance and growth. Tenure sets universities apart from other institutions. Faculty are not merely employed by the University but are the educational and research programs of the University; tenured faculty are the community of educators who create institutional stability and an ongoing commitment to excellence. Tenure, therefore, will be granted to faculty members whose character, achievements in serving the University's missions, and potential for effective long-term performance warrant the institution's reciprocal long-term commitment. The granting of tenure is more significant than promotion in academic rank.

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Tenure is granted for achievement, not for years in rank, but under normal circumstances faculty will be considered for tenure in their sixth year of service in professorial rank. By the end of the sixth year on tenure track ("annual tenure"), the faculty member must be granted indefinite tenure or

be given a year's timely notice that the appointment will not be continued. The tenure clock will begin on the September 16th following the faculty member's hire, unless otherwise stipulated in the offer letter. The number of years of credit for prior service (if any) must be stated in the offer letter, along with the date by which tenure must be granted. Under extenuating circumstances, such as personal or family illness, a faculty member can request of the Provost and Executive Vice President that the tenure clock be extended. Extensions for parental leave will always be granted. Requests for extension of the tenure clock should come at the time of the extenuating circumstances, and will not be accepted after January 1 of the year the dossier is being submitted.

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The tenure decision is based primarily on the candidate's performance of teaching, advising, and other assignments, achievements in scholarship, and service. In judging the suitability of the candidate for indefinite tenure, however, it is also appropriate to consider collegiality, professional integrity, and willingness to accept and cooperate in assignments.

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Criteria for Promotions

Criteria for Promotion from Assistant to Associate Professor

Promotion to the rank of Associate Professor is based upon evidence of the candidate's:

- demonstrated effectiveness in teaching, advising, and other assigned duties;
- achievement in scholarship and creative activity that establishes the individual as a significant contributor to the field or profession, with potential for distinction;
- appropriate and balanced institutional, and professional service.

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Promotion to Associate Professor does not automatically grant tenure. Tenure will usually accompany a promotion, but the decision on tenure is made independently of the decision on promotion.

Criteria for Promotion to Professor

Promotion to the rank of Professor is based upon evidence of the candidate's:

- distinction in teaching, advising, or other assigned duties, as evident in continuing development and sustained effectiveness in these areas, new and innovative teaching, curricular development, awards and recognition;
- distinction in scholarship, as evident in the candidate's wide recognition and significant contributions to the field or profession;
- exemplary and balanced institutional, and professional service.

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Criteria for Promotion of Clinical, Senior Research, Extension and Courtesy Faculty Faculty with clinical, senior research, extension and courtesy appointments will be expected to meet the same criteria for advancement in professorial rank as those with regular appointments. Given the nature of the appointments, commitments in some areas of responsibility may be greater than in others, but the criteria for scholarship, will adhere to the same standard expected of faculty with regular appointments. Additional background information on clinical faculty are available at Guidelines for Clinical Faculty Appointments and Promotion.

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Criteria for Promotion of Instructors and Faculty Research Assistants

Faculty with non-professorial rank are hired in positions to meet units' specific needs. Criteria for promotion will therefore be specific to the candidate's position.

Promotion from the rank of Instructor to Senior Instructor may be considered after four years of service, calculated from the September 16th after hiring, unless otherwise specified in the offer letter. To be promoted, a candidate must:

- have a graduate degree appropriate to the assigned duties, or comparable educational or professional experience;
- have special skills or experience needed in the unit;
- have an exceptional record of achievement in the assigned duties.

The criteria for Teaching, Advising, and Other Assignments in this document can provide guidelines for documenting and evaluating the level of achievement. Promotions cannot be made from non-professorial to professorial ranks.

Promotion from Faculty Research Assistant to Senior Faculty Research Assistant may be considered after four years of service, calculated from the September 16th after hiring, unless otherwise specified in the offer letter. To be promoted, a candidate must:

- have a graduate degree appropriate to the field in which the research activities are performed, or comparable educational or professional experience;
- demonstrate a high level of competence, achievement, and potential in research, or serve effectively in a position requiring high individual responsibility or special professional expertise;
- demonstrate a high degree of initiative in research and leadership among research colleagues in the department, as documented in authorship, management responsibilities, and creative approaches to research.

FACULTY DOSSIERS

Compilation of the Dossier

Promotion and tenure decisions are based primarily on an evaluation of the faculty member's achievements as described in his or her dossier. The dossier must document and contain evaluation of the candidate's performance in teaching, advising, or other assignments; in scholarship; and in service, consistent with the candidate's position. Copies of the current Dossier Preparation Guidelines and models for requesting letters of evaluation can be obtained from the Office of Academic Affairs.

Although the candidate prepares much of the material for the dossier, the immediate supervisor of the tenure unit (department chair or head, county staff chair, dean or director) will assure that the candidate receives assistance as needed, and will be responsible for seeing that the final dossier is complete and conforms to University guidelines.

Recommendations for the promotion or tenure of a unit supervisor will be reviewed in the same manner as for other faculty, except that the dean or director to whom the supervisor reports will appoint a senior faculty member to assume the supervisor's usual responsibilities.

Access to the Dossier and University Files by the Faculty Member

As described in the OSU Faculty Records Policy contained in the Faculty Handbook, faculty members will be allowed full access to their own dossiers, personnel files, and records kept by the institution, college, or department, except for:

- letters of evaluation submitted as part of a pre-employment review at Oregon State University;
- solicited letters of evaluation for faculty who have signed voluntary waivers of access to those letters as part of a particular year's promotion and tenure review.

Prior to the dossier receiving its first formal review, the candidate must sign and date a certification that the open part of the dossier is complete. Should the candidate and the supervisor of the tenure unit disagree on the inclusion of some materials, the candidate may indicate his or her objection in the statement of certification. Once the dossier is certified, the only materials to be added subsequently will be the letters of committee and administrative review, and in some cases the candidate's statement as described in the following section. If manuscripts are accepted for publication after the dossier is certified, review committees and supervisors should be informed, and that information can be considered in the review.

Throughout the process of review, the open parts of the dossier remain available to the candidate at his or her request. The candidate will be notified when letters of evaluation by reviewers at the unit and college levels are added to the dossier.

PROCEDURAL GUIDELINES FOR PROMOTION AND TENURE

The process for earning promotion and tenure begins at the moment of hiring. Faculty are hired with expectations in job performance, scholarship, and service that are established in position descriptions, which may then be revised as the tenure unit's needs and the faculty member's assignments change. From the time of their arrival at the University, new faculty should be well advised of what is expected of them for promotion and tenure. Reports from the annual Periodic Reviews of Faculty (PROF's) and the third year review, while not included in the candidate's dossier for promotion and tenure, are used by supervisors in tenure units to inform faculty, in a constructive way, of their progress toward promotion and tenure.

Initiation of the Recommendation

Tenure resides in the academic unit, which for most faculty will be the department. Final decisions on promotion and tenure are made by the Provost and Executive Vice President, but the primary responsibility for evaluating the candidate's performance and recommending promotion and tenure actions rests in the tenure unit and college. The supervisor of the tenure unit or a committee of

faculty assigned this responsibility, in consultation with the candidate, will normally initiate the candidate's review for promotion and tenure. The supervisor of the tenure unit will also work in cooperation with any other supervisors to whom the faculty member reports. The candidate, however, always has the right to initiate the review. In either case, a complete dossier will be compiled.

Tenure Unit Review and Recommendation

In all but rare cases, the supervisor of the tenure unit and a promotion and tenure review committee formed from among the tenured faculty within the unit (at or above the rank for which the candidate is being considered) will independently evaluate the materials in the dossier, and will recommend either for or against the candidate's promotion or tenure. If there are not enough tenured faculty at or above the rank of the candidate within the unit (there should be at least three), the supervisor can invite faculty from outside the unit to serve as voting members on the committee. Retired faculty (even those on 1040 assignments) are not eligible to vote at the tenure unit level. The only exception to this is when an individual is serving in a department chair/head role. Committees can include faculty at all ranks who can contribute to the discussion and evaluation, but only those at or above the rank of the candidate may vote. Committees should be representative of the diversity of faculty found in the university community.

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The supervisor will also consult the candidate's personnel file maintained in the unit. Any information in that file that is relevant to the evaluation of assigned duties, scholarship, or service should be commented on in the supervisor's letter of evaluation. If both the supervisor's and the committee's recommendations are negative, the dossier will not be forwarded to the next level of review, unless the candidate, following discussion with the supervisor, insists, or the candidate is in the final year of annual tenure. In such cases the dossier must be forwarded for consideration, unless the candidate submits a letter of resignation.

The letters from the supervisor and the promotion and tenure review committee are to evaluate the relative strengths and weaknesses of the candidate's performance. If the candidate reports to, or works closely with, more than one supervisor, letters from each should be included. These letters should summarize and comment on key points in the letters of evaluation solicited from qualified reviewers in the candidate's field. Identify evaluators only by a coded reference number or letter when referring to a comment in a confidential letter.

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As required by the Oregon State Board of Higher Education, students will be invited to participate in the review of faculty for promotion and tenure. The supervisor of the tenure unit or dean will work with the candidate to select and invite an appropriate number of students to serve on a committee to evaluate the candidate's materials related to teaching and advising. Half of the student representatives should be chosen by the candidate and half by the supervisor. The students should be representative of the candidate's teaching and advising assignments. A letter of evaluation written and signed by all students on the evaluation committee will be added to the dossier. Units may develop a similar process for evaluating the delivery of programs to other clients. Dossiers should include a single letter from these committees, not individual letters from students or other clients.

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Faculty with teaching assignments should have a letter from their peer teaching review committee that summarizes all peer teaching reviews over the evaluation timeframe.

Prior to the dossier leaving the unit, the supervisor will meet with the candidate to share the outcomes of the unit reviews. The candidate may add a written statement regarding these reviews, to be included in the dossier. In addition, at any time during the review process the candidate may withdraw his or her dossier.

College Review and Recommendation

The candidate's dossier -- including the letters of evaluation and recommendation from the supervisor, the faculty committee, and the student or client representatives; together with the candidate's response to the departmental evaluation when one is added -- is forwarded for review at the college level. The college review should insure that each dossier has been carefully and properly prepared, and that uniform or equivalent standards are applied to all faculty within the college. The reviewers at the college level are to determine whether the letters of evaluation from the unit accurately assess the candidate's performance as documented in the dossier. Due to the diversity of college structures, each college will establish its own procedures for this review, but care should be taken to insure appropriate and adequate input by faculty throughout the review process. College level committees should represent the diversity of faculty across the college. A letter of evaluation from the dean, and from the review committee in colleges where one is established for this purpose, are added to the dossier as it is forwarded for review at the University level. The candidate may add a written statement regarding these reviews, to be included in the dossier.

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University Review and Recommendation

Each dossier will be reviewed for completeness by the Vice Provost for Academic Affairs and International Programs. Where additional information is needed, the candidate's supervisor or dean will be contacted.

Completed dossiers that have received uniformly positive recommendations at the previous levels of review will be forwarded to the Provost and Executive Vice President, who will assure that University-wide standards have been met. In reaching a final decision, the Provost and Executive Vice President may confer with others as appropriate. All dossiers that have received mixed recommendations at the unit or college level will be reviewed by the University Administrative Promotion and Tenure Committee, which is chaired by the Provost and Executive Vice President and consists of the Vice Provost for Academic Affairs and International Programs, the Vice President for Research, the Dean/Director of Extension Service, and the Dean of the Graduate School.

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The purpose of the University review is to ensure that all faculty are held to common standards, and to resolve disagreements in previous recommendations. In cases in which the members of the University Administrative Promotion and Tenure Committee are divided over the final recommendation, or in which their recommendation differs from those of the college or unit, the candidate's dean and supervisor will be invited for discussion.

Deleted: The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee, to ensure an equitable process for all faculty.¶

The Faculty Senate Promotion and Tenure Committee will have access to all dossiers under consideration, and representatives of the committee will observe the deliberations of the University Administrative Promotion and Tenure Committee on cases where clarification or discussion with Deans and/or supervisors takes place, to ensure an equitable process for all faculty.

Decisions and Appeals

When all necessary reviews and discussions have been completed, the Provost and Executive Vice President will make the final decision. Candidates will be informed of the decision in writing. In the case of a negative decision, the basis for the denial will be stated, along with information on the right to appeal.

Faculty not approved for promotion or tenure by the Provost and Executive Vice President may appeal to the President within two weeks of receipt of the letter announcing the decision. Extenuating circumstances, procedural irregularities that were not considered by the Provost and Executive Vice President, and factual errors in the evaluations are grounds for appeal.

When appealing, the candidate should write a letter to the President stating which of the above criteria for appeal applies, and explaining the situation. No other supporting letters will be considered. The President has the right to request additional information.

Return of Dossiers

After the institutional review is finished, the complete dossier is retained temporarily in the Office of Academic Affairs. The dossier is subsequently returned to the appropriate dean, typically at the start of the next academic year. The dean will then return it to the tenure unit, where, after confidential letters have been removed, the dossier is retained as part of the faculty member's personnel files.

Guidelines approved 1995, Revised November 2006.

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Deleted: June 2000

WAIVER OF ACCESS

Chapter 317 Oregon Laws 1975 (ORS 351.065) provides that a faculty member shall not be denied full access to his or her personnel file or records kept by the State Board of Higher Education or its institutions, schools, or departments.

Oregon Administrative Rule (580-22-075) states that "when evaluating employed faculty members, the Board, its institutions, schools, or departments shall not solicit nor 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, except for student evaluations made or received pursuant to Rule 580-22-100(5)."

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. You will retain your right of access to written evaluations prepared by your department, college, dean, and the Provost and Executive Vice President, although the confidentiality and identity of other reviewers referred to in these evaluations will be maintained.

[*WAIVER OF ACCESS TO SUBMITTED EVALUATION MATERIALS FROM REVIEWER*](#)

Post-Tenure Review Summary of Conversations and DRAFT Recommendations

Background and Chronology

The University established a post-tenure review system to "...recognize and foster excellence, to help good faculty become better, and to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed on the awarding of tenure."

The Task Force on Post-Tenure Review Guidelines were approved by the Faculty Senate on December 3, 1998, by President Risser on May 29, 1999, and by the OUS Academic council on March 16, 2000. The Post-Tenure Review Implementation Guidelines became effective December 2001. Since that time many units have developed their own guidelines and have implemented multi-year plans for post-tenure review of their faculty. Based on these experiences, questions and issues have arisen related to the post-tenure review process.

• Limitation of Performance Ratings

The Post-Tenure Review Implementation Guidelines states that "an overall performance rating for the five-year review period will be determined using the following three levels: *Extraordinary Performance, Strong and Positive Performance, or Unsatisfactory Performance.*"

This rating system is perceived to be limited by the lowest rating in that **all** must be either extraordinary or strong and positive to **not** be unsatisfactory. Units have revised their rating systems as part of unit-level Post-Tenure Guidelines. Examples of levels of performance in unit-level guidelines include:

- Extraordinary, Strong and Positive, Satisfactory, Unsatisfactory
- Meritorious, Very Good, Satisfactory, Needs Improvement, Unsatisfactory

Recommendation: It is recommended that the suggested performance rating system be revised as follows:

- *Extraordinary or Meritorious*
- *Strong and Positive or Very Good*
- *Satisfactory*
- *Unsatisfactory*

• Timing

The Post-Tenure Implementation Guidelines are not clear as to the timing of post-tenure reviews, e.g., when dossiers will be prepared, when committees will be formed,

and how long they will have to complete the review. Guidelines indicate that “the unit head is responsible for developing and maintaining a multi-year plan for post-tenure review to maximize effective use of faculty and staff resources. The unit head will discuss the post-tenure review process with each eligible faculty member during the winter or spring of the academic year prior to a planned review.

Recommendation: It is recommended that the post-tenure review process follow a similar schedule and timeframe as promotion and tenure review. Because there are fewer review steps than in promotion and tenure review, it is suggested that the dossier is completed by Fall Term and the review is completed by the end of the Winter Term.

- **Levels of Review**

The Post-Tenure Implementation Guidelines state that “the unit head, after reviewing the dossier and peer committee’s evaluation and recommendation, will prepare a written evaluation of the faculty member’s performance in each of the assigned areas of responsibility, as well as an overall performance rating.” Questions have been asked as to who will make the final decision in situations when the peer committee and unit head disagree as to the overall performance rating. In some units, when this occurs, the dean is asked to give an overall performance rating.

Recommendation: It is recommended that when the peer committee and unit head disagree as to the overall performance rating, the dean will review all documents and give an overall performance rating.

- **Discussion of evaluation with the faculty member**

The current Implementation Guidelines do not include discussion of the written evaluation with the faculty member or an opportunity for the faculty member to respond to the written evaluation.

Recommendation: It is recommended that Step 4 be revised as follows (inserted language is in italics):

The unit head, after reviewing the dossier and peer committee’s evaluation and recommendation, will prepare a written evaluation of the faculty member’s performance in each of the assigned areas or responsibility, as well as an overall performance rating.

Written evaluations from the peer committee and unit head will be provided to and discussed with the faculty member, who may attach comments, explanations, and rebuttal.

The following shaded section indicates proposed changes to the Promotion & Tenure Committee Standing Rules sent on June 6, 2011.

The Faculty Senate Promotion and Tenure Committee reviews University Promotion and Tenure Guidelines and observes and advises on matters pertaining to the promotion and tenure process. In promotion and tenure cases where there is a negative or split recommendation at either the unit or college level, the University Promotion and Tenure Committee invites the relevant unit supervisor and college dean for discussion. Representatives from the Faculty Senate Promotion and Tenure Committee will have access to the dossiers and participate in these discussions, although they are not voting members of the University Promotion and Tenure Committee. In addition, this Committee serves to review, when requested by a promotion and/or tenure candidate through the Faculty Senate President, the faculty member's dossier to verify that all statements therein have properly summarized external evaluations.

The Faculty Senate and Tenure Committee provides input on the promotion and tenure decision process through its annual report to the Faculty Senate Executive Committee and to the Provost's Office. The annual report also includes a summary of the previous year's promotion and tenure actions provided by the Office of the Provost.

The Faculty Senate Promotion and Tenure Committee shall consist of six faculty who have been granted tenure at OSU and who reflect the diversity of the University. Whenever a committee member is under consideration for promotion, he or she will be ineligible to serve on the Committee during the year in which the review is scheduled.

The Faculty Senate Promotion and Tenure Committee provides leadership for campus-wide educational programs related to the promotion and tenure process and facilitates on-going dialogue about these matters. Members of the Committee are available to respond to procedural and interpretive questions from faculty, department heads/chairs, deans and department and college committees.

The following are proposed changes to the Promotion & Tenure Guidelines sent on June 6, 2011 (shaded sections indicate additions, ~~strike-through sections~~ indicate deletions).

1. IX. Letters of Evaluation

Proposed change to 1st paragraph:

Solicited Letters of Evaluation from Outside Leaders in the Field (~~5~~ 6 minimum, 8 maximum for professional faculty; 4 for Faculty Research Assistants and Instructors)

Proposed change to 3rd paragraph, 1st sentence:

The candidate ~~may~~ shall submit a list of individuals meeting these criteria and, from this list, at least three, but no more than half of the total external letters, will be selected by the department chair or head (~~or chair of~~ in consultation with the unit's Promotion and Tenure Committee).

2. Under Procedural Guidelines for Promotion and Tenure, Tenure Unit Review, under The Supervisor's Role:

2nd sentence:

The supervisor's letter of evaluation may include comments on any information in the candidate's file that is documented and made available to the candidate and is relevant to the evaluation.....

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Promotion & Tenure Committee



Peer Evaluation of Teaching (PET)

Dept. of Apparel, Interiors, Housing & Merchandising
Oregon State University

- ◆ Dept. protocol or process
- ◆ Guidelines for review of course materials
- ◆ Guidelines for classroom observation
- ◆ PET Evaluation

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Promotion & Tenure Committee



Dept. Protocol for PET

- ◆ **Identification of faculty members to be evaluated in a given year**
 - Tenure-track faculty in years 2-5
 - Faculty scheduled for post-tenure review
 - Faculty planning to go up for promotion in the next 2 to 3 years
- ◆ **Dept. Chair designates PET team members and chair of PET team**
- ◆ **PET team meets with instructor at the beginning of the academic year to:**
 - Determine which courses will be evaluated during the year
 - gradate/undergrad., studio/lecture/lab
 - Determine number of courses to be evaluated
 - maximum of two per year
 - Explain the Dept. policies and process for PET

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Promotion & Tenure Committee



Dept. Protocol for PET (cont.)

- ◆ PET team meets with instructor at beginning of the term to:
 - **Discuss purpose of the course**
 - Content in relation to overall curriculum (prerequisites)
 - Diversity of students served, average enrollment
 - Learning objectives/outcomes
 - Instructor's teaching approach/philosophy
 - Basis for evaluation of student learning
 - **Exchange course materials**
 - text/readings, syllabus, exams, assignment guidelines, etc.
 - **Determine dates for classroom observation of teaching**
 - Minimum of two classroom visits

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Promotion & Tenure Committee



Review of Teaching Materials

based on

Dept. developed guidelines for evaluation

- ◆ **Course outline/syllabus**
 - *Examples of evaluation criteria:*
 - Completeness
 - Appropriateness of content
 - Currency of content
 - Level of challenge
 - Evaluation of student performance/learning
- ◆ **Text(s) and/or readings**
- ◆ **Copies of directions for projects/assignments and evaluation criteria**
- ◆ **Course handouts**
- ◆ **Exams or quizzes**
- ◆ **Examples of student work**

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Promotion & Tenure Committee



Observation of Classroom Teaching

based on

Dept. developed guidelines for evaluation

- ◆ Instructor organization
- ◆ Presentation skills
- ◆ Instructional strategies
- ◆ Content knowledge
- ◆ Clarity of presentation
- ◆ Rapport with students

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Promotion & Tenure Committee



PET Evaluation

- ◆ **Written PET team qualitative evaluation includes:**
 - Description of process followed
 - Course context
 - Evaluation of course materials and observations of classroom teaching
- ◆ **Written evaluation signed by all PET team members**
 - Copy submitted to Dept. Chair, becomes part of the instructor's personnel file
 - Copy given to the instructor and team meets with the instructor to discuss the evaluation
- ◆ **For P & T dossier, the PET team chair reviews all previous evaluations and writes a summary evaluation**

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Promotion & Tenure Committee



Peer Review of Teaching Process

◆ *Benefits:*

- Both instructor and reviewer learn from the review process
- Prompts one to reflect on the teaching/learning process and curriculum
- Can build supportive relationships
- Can generate alternatives to address teaching/learning challenges

◆ *Challenges:*

- Requires substantial time commitment
- Some faculty members may feel threatened
- Teaching is a complex process; difficult to evaluate
- Making the review fair, evaluative, and helpful

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Peer Evaluation of Teaching (PET) Dept. of Apparel, Interiors, Housing & Merchandising Oregon State University

- Dept. protocol or process
- Guidelines for review of course materials
- Guidelines for classroom observation
- PET Evaluation

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Promotion & Tenure Committee

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 - Content in relation to overall curriculum (prerequisites)
 - Diversity of students served, average enrollment
 - Learning objectives/outcomes
 - Instructor's teaching approach/philosophy
 - Basis for evaluation of student learning
 - Exchange course materials
 - text/readings, syllabus, exams, assignment guidelines, etc.
 - Determine dates for classroom observation of teaching
 - Minimum of two classroom visits

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Promotion & Tenure Committee

Review of Teaching Materials based on Dept. developed guidelines for evaluation

- **Course outline/syllabus**
 - Examples of evaluation criteria:
 - Completeness
 - Appropriateness of content
 - Currency of content
 - Level of challenge
 - Evaluation of student performance/learning
- **Text(s) and/or readings**
- **Copies of directions for projects/assignments and evaluation criteria**
- **Course handouts**
- **Exams or quizzes**
- **Examples of student work**

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Promotion & Tenure Committee

Observation of Classroom Teaching based on Dept. developed guidelines for evaluation

- Instructor organization
- Presentation skills
- Instructional strategies
- Content knowledge
- Clarity of presentation
- Rapport with students

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Promotion & Tenure Committee

PET Evaluation

- **Written PET team qualitative evaluation includes:**
 - Description of process followed
 - Course context
 - Evaluation of course materials and observations of classroom teaching
- **Written evaluation signed by all PET team members**
 - Copy submitted to Dept. Chair, becomes part of the instructor's personnel file
 - Copy given to the instructor and team meets with the instructor to discuss the evaluation
- **For P & T dossier, the PET team chair reviews all previous evaluations and writes a summary evaluation**

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Promotion & Tenure Committee

Peer Review of Teaching Process

- **Benefits:**
 - Both instructor and reviewer learn from the review process
 - Prompts one to reflect on the teaching/learning process and curriculum
 - Can build supportive relationships
 - Can generate alternatives to address teaching/learning challenges
- **Challenges:**
 - Requires substantial time commitment
 - Some faculty members may feel threatened
 - Teaching is a complex process; difficult to evaluate
 - Making the review fair, evaluative, and helpful

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