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Preparing Promotion and Tenure Files

Department Heads, Office Managers, and Key Support Staff

Susan Anderson
Senior Vice Provost for Academic Affairs

Ken Doxsee
Vice Provost For Academic Affairs

February 23, 2017
Overview

- “Nested” discussions of NTTF (white background) and TTF (gray background)
- Timelines
- Constructing the dossier
- Review details
- Digital dossier preparation and submission
What is NTTF promotion?

Eligibility includes 6 years of service at minimum of .3 FTE average (maximum of 3 terms per AY for 9-mo contract, 4 terms per AY for 12-mo contract).

Promotion is elective (except for Librarians). Employment can continue at current rank.

Candidate initiates the process by June prior to the year in which promotion is sought.

Promotion requires excellence, not purely years of service.
What are the different types of NTTF promotion?

Instructional vs Research vs Librarian

**Step 1 to Step 2 Examples:**
- Instructor to Senior Instructor
- Research Assistant to Senior Research Assistant
- Assistant Librarian to Associate Librarian

**Step 2 to Step 3 Examples:**
- Senior Instructor I to Senior Instructor II
- Senior Research Assistant I to Senior Research Assistant II
- Associate Librarian to Senior Librarian
Initiation of the process – June

Candidate notifies unit head in the spring prior to the year when promotion is sought.

No later than **June 15** for 9-mo
No later than **June 30** for 12-mo

Complete eligibility form.
Worksheet for NTTF Eligibility for Promotion (9-Month Contracts)

Career non-tenure-track faculty (NTTF) will be eligible for promotion after accumulating six years of employment as a faculty member at or above .3 annualized FTE per year. Annualized FTE per year means the average of the FTE (including 0 FTE, if applicable) for each term in the contract year. Faculty on nine-month contracts may accrue FTE at no more than three terms per academic year. The six years of employment do not have to be consecutive.

Career NTTF who will have completed five years of employment as a faculty member at or above .3 annualized FTE per year, and who have an expected appointment of .3 annualized FTE or greater for the sixth year, should initiate the promotion process by June 15 of the fifth year for promotion review in the sixth year.

Career NTTF who have already completed more than five years of employment as a faculty member at or above .3 annualized FTE per year may initiate the promotion process by June 15 of any year.

**Directions:**

1) The candidate works with the office/business manager to fill out the form.

2) Fill in the calculator below with contracted FTE for each term. Nothing over 1.0 FTE per term can count towards the average FTE; e.g., for an FTE of 1.1, enter only 1.0. The FTE average for each year must be at least .3 for it to count towards eligibility.

3) The form is submitted to the department/unit head with a notice of intent to be considered for promotion review, according to the deadline given above.

4) The complete form must be included in the promotion dossier.

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**Date:**

Date: ____________________________

**Employee Name:**

Employee Name: ____________________________

**Department/Unit:**

Department/Unit: ____________________________

**Unit Head approval:**

Unit Head approval: ____________________________

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Unit level review –
fall and/or winter term

Review your approved unit policy:

https://academicaffairs.uoregon.edu/content/departmental-policies
Unit level review – fall and/or winter term

Candidate gives to unit to place in the file:

CV

Personal statement

Any applicable portfolios (teaching, scholarship, service, professional activities)

List of internal and/or external reviewers (if applicable)

Letter of waiver
Unit level review –
fall and/or winter term

Unit adds to the file:
Statement of duties/responsibilities
Conditions of appointment (i.e. contract)
Criteria for promotion
Supervisor’s letter of evaluation
Unit level review –
fall and/or winter term

Unit solicits internal or external reviews (as applicable).

Unit **committee** reviews file and makes descriptive written recommendation to head, which should include a formal vote.

Unit **head** reviews file & committee recommendation. Provides their own written evaluation and recommendation, plus committee report, plus unit voting summary **submitted to Dean, Director, or Vice President** (as applicable).
Dean/Director/VP level review – winter term

Reviews file.

Consults with appropriate person as needed.

Prepares their own memorandum and recommendation.

Shares memo and recommendation with candidate and provides 10 days to provide responsive material as desired.

Submits complete file to Academic Affairs for instructional NTTF and to VPRI for research NTTF.
Provost level review – spring term

Review complete file.

Input from Senior Vice Provost or Vice President for Research and Innovation.
NTTF Deadlines

November 1
Deans/Directors submit to Academic Affairs or VPRI a list of those being considered for promotion.

February 1 – April 1
All instructional cases submitted to Academic Affairs.
All research cases submitted to Office of VPRI.

June 1 (at latest; target is May 15)
All NTTF notified of result of case
Review your approved policy

https://academicaffairs.uoregon.edu/content/departmental-policies
TTF Preliminary Work

Winter of previous year
- Department Head notifies faculty of requirement for upcoming review (required tenure decision)
- Candidate discusses with Department Head (optional tenure decision, promotion to full)

Spring of previous year
Candidate provides materials for file
- CV
- Personal statement
- Scholarship portfolio
- Teaching, service portfolios (optional)
- Waiver letter
- Suggestions of external reviewers

Spring / Summer
- Identification and solicitation of external reviewers
TTF Unit Level Review – fall term

Unit adds to the file:

• Waiver letter
• Statement of duties/responsibilities (position description)
• Conditions of appointment (current contract; MOU for joint appointments)
• Criteria for promotion
• External and internal letters of evaluation
• Teaching evaluation materials (senior hires – as available)
TTF Unit/College Level Review – fall into winter term

📍 **Department Review**
- Personnel Committee – usually report and vote
- Vote by voting faculty (signed, secret ballot)
- Department Head report and recommendation

📍 **School/College Review**
- Personnel or Advisory Committee (elected) – report and vote
- Dean – report and recommendation
- Shares memo and recommendation with candidate and provides 10 days to provide responsive material as desired
TTF Provost Level Review – winter into spring term

- University Review
  - Faculty Personnel Committee (elected) – report and vote
  - Provost – review and decision

Decision announcement target date: May 1
P&T Deadlines

September 15
♢ Deans submit to Academic Affairs a list of those in the school/college being considered for promotion and/or tenure (can be revised).

November 15
♢ College of Arts and Sciences (CAS) departments submit completed files to Dean.

November 30
♢ All units (excluding CAS) submit tenure cases to Academic Affairs.

January 15
♢ All units (excluding CAS) submit remaining cases to Academic Affairs.

March 15
♢ CAS submits all cases to Academic Affairs. Essential, however, for the vast majority of CAS files to be submitted prior to this date.
Constructing the Dossier

http://academicaffairs.uoregon.edu/promotion-tenure
Election of Criteria

Pre-tenure candidates:
If there has been a change in the written criteria for promotion and/or tenure since the time of hire, the candidate may choose (and should establish in writing) which criteria document will apply.

Tenured candidates:
The above is limited to the preceding 6 years.
Supplemental File

- Supplemental teaching evaluation data
  - One set of printouts and signed statements. *Unsigned narrative student evaluations are unacceptable and should not be included in the file.* It is illegal to quote from unsigned evaluations in summary statements prepared for the file.

- Scholarship portfolio
- Teaching portfolio ("typically includes")
- Service portfolio
- (Evidence of contributions to equity and inclusion)
Letters of Evaluation

- Candidate – list of suggestions
- Department – independent list
- If candidate suggests reviewer on department list, that reviewer NOT listed as “suggested by the candidate”
- Reviewers at or above the rank being sought, at comparable institutions
- Department selects external reviewers
- Clear majority of “untainted” reviewers – be proactive and reactive
- Requested by department head via standard form letter
  - Templates available on Academic Affairs web site
- Include example of each letter in the dossier
Letters of Evaluation (continued)

- Reviewers must be notified in advance regarding waiver status
- Include both solicited and unsolicited letters
- All letters received must be included in the file
- Written declinations included at the end of section
- Reconcile letters received with list of letters solicited on the Promotion and Tenure Checklist
- Place unsolicited letters AFTER solicited letters
- Letters from students on teaching and supervision belong in teaching section
List of Materials Sent to Reviewers

- Candidate’s Statement
- Candidate’s Vita
- Published Work *(during period under review)* – list
- Selected works in progress may be included – list
- Unit’s Promotion and Tenure Criteria
Biographical Sketches of External Reviewers

- Short but complete, with description of the person and their standing in the field, relationship to the candidate, and whether suggested by the candidate or chosen by the Department.

- Do not include vitas here; provide in supplemental file.

Noam Chomsky, Professor of Linguistics, MIT

Chomsky is one of the three or four most important scholars of linguistics in the 20th century. He is the originator (along with his teacher Zellig Hams) of the theoretical framework for linguistic analysis known as “generative linguistics.”

Chomsky has no known relationship to the candidate.

Selected by the Department
Departmental Committee Recommendation

- Analysis, not just information from the vita
- Strengths and weaknesses relative to department and discipline standards
- Fully present all aspects of the case – analysis, not advocacy
- Context for scholarship/creative practice
  - Ranking, status of journals, publishers, venues, etc.
  - Peer reviewed vs. not
  - Comments on the stature of the external referees
  - Other information relevant to appraising the candidate’s work
  - Research grants, fellowships, etc., if normal to the field
    - Not size or number of awards but recognition by rigorous competitive review
  - Discrepancies in publishing and/or funding record
Departmental Committee Recommendation (cont’d)

- Analysis of candidate’s record of teaching
  - Statistical data from student evaluations
  - Address anomalies
  - Comparisons with rest of department and/or faculty teaching courses of similar size, character or content
  - Evaluative summary of signed written students comments
  - Review and comment on teaching portfolio
  - Discrepancies between student and peer evaluations

- Analysis of the candidate’s record of service

- Report must be signed by all members of the committee
Department Head’s Evaluation

- Administrative summary of the department’s position on the case
  - Brief explanation of department’s review process
  - Clarification of special conditions, duties or obligations
  - Explanation of who votes
  - Summary of faculty discussion preceding official vote
  - Departmental votes secret; only tally revealed to faculty and recorded on voting summary sheet
  - Explanation for abstentions or recusals

- Justification for timing of process

- Independent review and appraisal of the case

- Report must be signed
“Secondary reviewers” – in general, lack expertise to review and evaluate the scholarship; focus on overall record, external reviews, and departmental reports

Criteria employed are those of the school /college /unit

May request additional information, including additional outside letters

Committee’s vote recorded and part of the file forwarded to Academic Affairs
Dean’s Evaluation & Recommendation

- Independent from department level review – analysis of qualifications relative to school/college standards
- Attempt to address any issues that have been overlooked
- In early cases, discussion of timing
Dean’s Meeting

Dean (or associate dean, if designated) meets with candidate prior to submission of file to Academic Affairs

- Information presented in the departmental report
- General content of outside letters
- Summary of recommendations made to date, including Dean’s
- Three days’ notification of meeting required
- If member of bargaining unit, candidate may bring non-participating observer or non-participating representative from United Academics
Dean’s Meeting (Continued)

- Candidate may request redacted copy of Dean’s report, redacted in accordance with waiver status (Academic Affairs can assist)
- Requests for any other materials – consult with Academic Affairs
- 10 days allowed for candidate to provide written response
Preparing NTTF Promotion Files

Following successful pilot studies, we have moved to full digital submission for all promotion cases. To support preparation of digital dossiers, we have created PDF portfolios for the primary dossier, containing several “fillable” forms and the various dossier sections to which the appropriate files may easily be added. We have also created a PDF portfolio for the supplementary file. Given the range of supplementary materials typically provided, this portfolio in essence provides a table of contents behind which documents may be uploaded. Recognizing that some materials may not be conveniently available in digital form, provision of some or all supplementary materials in print form is still permissible.

For planning purposes, it is important for Academic Affairs to have solid information about the number and type of promotion cases it may anticipate. When beginning the assembly process, please send an email to Pam Palanuk (palanuk@uoregon.edu) containing the following:

- candidate(s) full name(s) and UO ID number(s)
- promotion (e.g., Instructor to Senior Instructor I)
- department name
SAMPLE ELEMENTS

Sample NTTF digital dossier file [PDF]

Sample supplementary file [PDF]

Evaluation letters

- Sample Inquiry Regarding Availability to Serve as External Reviewer [Word]
- Sample Letter upon Agreement to Provide the Requested Evaluation [Word]
- Sample Paragraph Waiving Access to the External Letters [Word]
- Sample Paragraph for Retaining access to the External Letters [Word]
- Sample Paragraph for Candidates Who Have Taken Leave(s) of Absence [Word]
- Sample Paragraph for Candidates who are using Credit for Prior Service [Word]
- Sample Thank You Letter upon Receipt of Letter of Evaluation [Word]

Candidate's letter of waiver or non-waiver

- Sample Full Waiver Letter [Word]
- Sample Non-waiver Letter [Word]
- Sample Partial Waiver Letter [Word]

The Office of the Provost and Academic Affairs has developed the below forms to assist in the calculation of eligibility:

9-month NTTF Eligibility Form [PDF]
12-month NTTF Eligibility Form [PDF]
PDF digital dossier builder tool
**NTTF PROMOTION CHECK LIST**

Candidate: ____________________________  UO ID: ____________

Current Rank: ________________________  Promotion to: ________________________

School/College: ________________________  Dean/Vice President: ________________________

Department/Unit: ________________________  Department Head/Director: ________________________

UA CBA applies to this position: YES  NO

**Promotion File Items**  
*(check only those that apply and included in file)*

- Promotion Eligibility Worksheet
- Voting summary
- Evaluation & Promotion Criteria
- Dean/Vice President Evaluation
- Department Head/Unit Director Eval & Recommendation
- Department or Unit Committee Recommendation
- Supervisor (if not Dept/Unit Head) Eval & Recommendation
- External/Internal Letters of Evaluation (if required)
- Duties & Responsibilities (position description)
- Conditions of Appointment (current contract)
- Statement of Waiver or Non-waiver
- Vita (signed and dated)
- Candidate’s Statement (signed and dated)
- Professional Activities & Service
- Scholarship/Research/Creative Activity
- Teaching Evaluations

**Internal Evaluations**

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<th>Date Requested</th>
<th>Date Received</th>
<th>Proposed by Candidate</th>
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**External Evaluations**

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**Supplemental Materials (as appropriate; indicate which are provided)**  
*(Include in separate digital file(s).)*

- Supplementary Teaching Evaluation Data (comments)
- Scholarship/Research/Creative Activities Portfolio (comments)
- Teaching Portfolio (comments)
- Service Portfolio (comments)
- Professional Activities Portfolio (comments)

Please provide a table of contents at the front of each supplemental file or use check list provided in digital file. Please refer to the Academic Affairs website for guidance on preparing NTTF promotion files. Refer also to Article 10 of the Collective Bargaining Agreement (CBA) for descriptions of the portfolios.
PDF digital dossier builder tool
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Comments:
PDF digital dossier builder tool
Unit’s NTTF Evaluation & Promotion Criteria
Unit’s NTTF Evaluation & Promotion Criteria
HUMAN PHYSIOLOGY NTTF REVIEW AND PROMOTION POLICIES

HPHY: December 15, 2014
HS: 2-25-15
HPHY: May 5, 2015

This policy applies to all represented faculty and is intended to comply with all provisions of Article 19 of the CBA. To the extent there are any discrepancies or inconsistencies, CBA Article 19 controls for represented faculty. This policy also applies to all unrepresented faculty, unless a university-wide policy exists that contradicts the terms of this policy.

If review or promotion procedures change during the course of a faculty member’s employment, they may elect between current criteria and those in effect during the six years prior to the initiation of a given review or promotion process.

CAREER NTTF CONTRACT REVIEWS

1. Career NTTF will be reviewed in each contract period for consideration for renewal, or once every three academic years, whichever is sooner. If a career NTTF member has multiple contracts in a year, only review per fiscal academic year is required. The review will consider the faculty member’s performance since the last review.

2. If a career NTTF member has a promotion review, they do not need to also have a contract renewal review during the same period. However, the contract renewal decision must be made independently of the promotion decision.

3. For contract renewal reviews, the faculty member may choose to submit a curriculum vitae and a personal statement containing information relevant to their performance of assigned duties and responsibilities.

4. The following elements will be considered in evaluating teaching:
SAMPLE ELEMENTS

Sample NTTF digital dossier file [PDF]

Sample supplementary file [PDF]

Evaluation letters

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12-month NTTF Eligibility Form [PDF]
Supplementary File

Candidate: 

Department: 

(please indicate which materials are being provided)

Materials Provided by the Academic Unit:

☐ Teaching Evaluations – Written/Signed Student Comments
☐ Curricula Vitae for External Reviewers
☐ Other (list below)

Materials Provided by the Candidate:

☐ Scholarship Portfolio
☐ Teaching Portfolio
☐ Service Portfolio
☐ Equity and Inclusion Portfolio
☐ Other (list below)
The Digital Dossier
The Supplementary File

Materials not conveniently provided in digital form

- Provide in conventional format
If an NTTF in my Department has been meeting minimum expectations, should they expect a successful promotion?

Promotion is for demonstrated excellence as outlined in unit policy.

When is the latest that an NTTF can withdraw the application for promotion?

Any time prior to the Provost’s decision.
Frequently asked Questions:

An NTTF in my unit would like to apply a year of previous service at another institution towards promotion eligibility, but they did not negotiate prior credit when they were hired. Can this year be counted towards promotion eligibility?

No. This is decided at the time of hire (CBA Article 19 section 8).

If the NTTF believes they are extremely meritorious, can they ask to go up early?

Yes. Accelerated review can occur with Provost approval (CBA article 19 section 7).
I would like to reclassify an NTTF in my unit who is up for promotion from Instructor to Lecturer. Can I do that as part of the promotion process?

*No. Reclassification and promotion are separate processes and have different criteria.*
Frequently asked Questions:

Is my unit required to have a unit wide vote?

*Only if it is part of your unit policy. Each unit should have a committee vote, except in the case of Research Assistant or Research Associate classifications.*
Questions

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