



School of Medicine & Health Sciences

THE GEORGE WASHINGTON UNIVERSITY

Faculty Guide for Appointments, Promotions, and Tenure

Faculty Guide for Appointments, Promotions, and Tenure

Table of Contents

Quick Guide on Criteria	1
Quick Guide on Process	2
APT Criteria	3
Tenure Track	3
Non-Tenure Track	3
Promotion to Each Rank	
Instructor	4
Assistant Professor	4
Associate Professor	4
Professor	5
What Counts as Teaching?	6
What Counts as Scholarship?	7
Team Science/Collaborative Science	8
What Counts as Service?	9
How Much is Enough for Each Area?	11
Planning for Promotion / Tenure	11
Preparing your Dossier	12
Cover Letter from Chair	13
Letters from Secondary Chair(s)	13
Curriculum Vitae (CV)	13
Teaching Portfolio	14
Research /Scholarship	16
Outside Evaluations of Scholarship	17
Service Reflective Statement	17
Additional Letters of Recommendation	18
Publications	18
Process	18
Departmental APT Committee	18
School APT Committee	19
Non-concurrences	19
Life After Promotion or Tenure	19

APT QUICK GUIDE - CRITERIA

SUMMARY of CRITERIA

All candidates will be evaluated in the areas of **TEACHING, SCHOLARSHIP, and SERVICE**.

Tenure-track faculty must be evaluated as very good to excellent in all three areas, must demonstrate "future promise", and must compare favorably to similar faculty at other research institutions.

Non-tenure track faculty must be evaluated as very good to excellent in two out of the three areas, but still must have some achievements in the remaining area.

Examples of achievements in teaching, scholarship and service are described in this handbook

Promotion to Assistant Professor

The candidate must:

- Be **maximally credentialed** and attain the highest degree for his/her discipline.
- Demonstrate **potential for excellence** in teaching, scholarship, and/or service.

Note - promotions to Assistant Professor are based on the evaluation by the department and recommendation by the chair. The school APT committee does not review these.

Promotion to Associate Professor

The candidate should demonstrate a **sustained record of achievement** that demonstrates a **pattern of growth** leading to or **demonstrating excellence** in teaching, scholarship, and/or service. Additionally the candidate must demonstrate some meaningful **level of service to the institution**. The candidate should be recognized regionally or nationally in their discipline.

Promotion to Professor

- The candidate must demonstrate a sustained record of achievement demonstrating **excellence at an increasingly higher level**.
- Additionally, the candidate must demonstrate national or international recognition in his/her field.
- Continued **service to the institution** is expected.

APT QUICK GUIDE - PROCESS

For the years leading up to promotion:

1. Meet with your chair or mentor to **set academic and professional goals** and a plan to achieve them. **Review the promotion criteria** so that your academic and professional goals are aligned with the promotion criteria.
2. **Take the Faculty Annual Report seriously.** The electronic annual report can serve as an academic portfolio that will help you collect the information you will need at the time of promotion. The general outlines of the annual report (teaching, scholarship and service) are the SAME areas in which you will be judged for promotion.
3. **Prepare your CV** in the official GW format and update it at least yearly.

For the final year before you apply for promotion:

1. **Meet with your chair.** Chair support is required in order for you to be promoted
2. **Prepare your dossier.** This can take several months. Details of what goes into a promotion dossier are discussed in more detail in this handbook. The primary components are:
 - A. Cover letter of support from your chair
 - B. Letters from chairs of all departments where you have secondary appointments
 - C. Your CV - in the GW required format
 - D. Teaching narrative statement and Teaching Portfolio
 - E. Research narrative statement
 - F. Service narrative statement
 - G. Letters of evaluation from FIVE independent evaluators external to GW
 - H. Additional letters of recommendation (optional)
 - I. Samples of recent publications
3. You will work in collaboration with your chair to **identify outside, independent evaluators.** They must be professionals in your discipline with whom you have not had a professional relationship, such as previous mentors, research collaborators, or co-authors. Your chair will send them your dossier and ask for a letter assessing your research and professional accomplishments.

APT Submission - Deadline is early December each academic year

1. You first must be evaluated for promotion by your **Departmental APT Committee** before the December deadline.
2. Once evaluated by your department, your dossier is evaluated by the **School APT committee** to ensure school wide criteria are met.
3. Your dossier is then referred to the **Dean and Provost** for review and approval. For cases of tenure, approval is also required by the University Board of Trustees.
4. If the school APT committee, Dean or Provost does not concur with the evaluation by the Department, your dossier is referred to the Executive Committee of the University Faculty Senate as a non-concurrence. Details of this process are described in this handbook.

Faculty Guide for Appointments, Promotions, and Tenure

APT Criteria

The full, unabridged guidelines for Appointment, Promotion, and Tenure (APT) can be found on the SMHS Office of Faculty Affairs Website: smhs.gwu.edu/faculty/apt

DISCLAIMER Instructions and examples provided in this handbook are not intended to replace or add to the APT criteria referenced above. This handbook is meant as a guide to help faculty members understand the criteria for promotion and the required processes and procedures. The level of achievement required for promotion is first determined in the home department and there is variability from department to department. Discussions with your department chair and/or chair of your departmental APT committee are strongly encouraged.

Faculty Tracks

Faculty members are assigned to a tenure or non-tenure track upon their initial hire. Recruitment through an open, national search is required for both. Assignment to the tenure track is reserved for faculty expected to excel in all three areas of teaching, scholarship and service. Scholarship is emphasized in the tenure track, and in some departments the ability to secure extramural funding for research is expected.

Tenure Track

Faculty in the tenure track are assigned a tenure review date upon hire. For Assistant Professors this is usually in their sixth year of service. For new Associate Professors the tenure review may occur in the third or fourth year of service as negotiated upon hire. New tenure track Professors are reviewed in the second year of service. Promotion to the next rank occurs at the same time as tenure review, and cannot occur beforehand. The lowest faculty rank in which one can earn tenure is Associate Professor.

With approval of the Chair, Dean, and Provost, faculty may extend their tenure review date for extenuating circumstances which impact their scholarship, such as the birth of a child, military service, etc. Faculty members who do not achieve tenure are provided a terminal, one-year appointment. Faculty may request transfer to a non-tenure track at any time before their tenure review date, but this must be approved by the Chair, Dean and Provost.

To achieve promotion and tenure, a faculty member must demonstrate a sustained record of achievement that demonstrates excellence in teaching, scholarship, and service and show promise of continued excellence. Additionally, scholarly accomplishments must be distinguished and compare favorably to similar faculty at peer research institutions. In the basic science departments, a successful record of securing extramural research funding is generally an expectation for achieving tenure. Some record of meaningful service to the University, such as committee work, is required as well.

Non-Tenure Track

Faculty members in the non-tenure track are generally appointed for a limited term of one to five years. A promotion review date is not assigned and there is no maximum amount of time one may remain at a given rank. Faculty initially assigned to the non-tenure track may not switch to the tenure track unless they compete in an open, national search and are selected for a tenure track position.

Faculty members in the non-tenure track are promoted on the basis of achievements that demonstrate excellence in two out of the three areas of teaching, scholarship, and service. Although the school does not recognize additional tracks, this allows faculty who are primarily “Clinician/Educators”, “Scientist/Educators”, and “Clinician/Scientists” etc. to be promoted based upon a demonstration of excellence in just two areas. Nevertheless, the faculty member must still demonstrate evidence of some achievements in the remaining area, but to a lesser degree. When the remaining area is Scholarship, some record of peer reviewed publication is expected.

Faculty Ranks

Regular, full time faculty members may be appointed at the rank of Instructor, Assistant Professor, Associate Professor or Professor. Promotion in this order occurs with increasing demonstration of academic achievements in three areas – teaching, scholarship and service. Longevity is not sufficient for promotion.

Instructor is an entry level rank into the school. New faculty members who are not maximally credentialed, or clinicians who are not board certified in their specialty, are appointed at this rank.

Promotion to Assistant Professor generally occurs when an Instructor has earned his/her terminal degree, or has become board certified, and has demonstrated potential for a successful academic career. This is achieved by approval of the Department Chair, and in many departments the departmental APT committee, and the Dean. These promotions are not reviewed by the school APT committee.

Promotion to Associate Professor

According to the APT guidelines, “for promotion to the rank of Associate Professor, the candidate must have a sustained record of professional achievements that demonstrates a pattern of growth leading to or demonstrating excellence in teaching, scholarship and/or service as appropriate for their track. Additionally the candidate should demonstrate regional or national recognition in their discipline.”

- A “sustained record” is demonstrated by achievements in multiple years since the last promotion.
- A “pattern of growth” is demonstrated by these achievements showing an increasing degree of responsibility, reputation, quantity, or quality over the years since the last promotion.
- “Excellence” is demonstrated by these achievements having high quality or high impact to the profession or institution.
- “Regional or national recognition” may be demonstrated by giving invited talks regionally or nationally, holding office in a specialty society, serving on regional or national task forces, regional or national awards, and confirmation of your regional or national reputation in the comments by your external reviewers (see p. 23).

Following are examples of how one can demonstrate excellence for promotion to the rank of Associate Professor. These are meant to be examples of how achievements can demonstrate the concepts of “sustained record”, “pattern of growth”, and “excellence”. These are only examples and later in this handbook there is more comprehensive list of items that may exemplify excellence in each area.

Teaching Example - Dr. Smith's teaching portfolio includes learner evaluations describing her as an outstanding teacher for five years in a row ("sustained record" of achievement). She took responsibility for the EKG lecture series for the interns and two years ago became the assistant program director ("pattern of growth"). She serves on a task force to revise the curriculum of the student clerkship in her department and helped write new learning objectives ("excellence" with impact on the institution). She joined the young faculty section of her specialty society and helped plan the young faculty education track at last year's regional meeting ("excellence" with impact on her profession and "regional recognition").

Scholarship Example - Dr. Jones has produced and disseminated at least one scholarly work per year (journal article, book chapter, case report or published abstract) since she became an Assistant Professor ("sustained record"). While earlier in her career she mainly wrote abstracts and book chapters, for the past few years she has several peer-reviewed publications ("pattern of growth"). She is in a basic science department and succeeded in getting federal funding for her research ("excellence"). She won the junior investigator award at last year's scientific meeting ("national recognition", "excellence").

Service Example - Dr. Williams volunteered as a faculty interviewer for the medical school admissions office for the last three years ("sustained record"). After this record of service he was appointed to sit on the admission committee of the medical school ("pattern of growth"). He is an active contributor to the quality improvement committee in his clinical department and his chair letter confirms that he helped lead an effort to improve patient outcomes ("excellence with impact on the profession and institution"). He served on the planning committee for the regional meeting of his specialty society ("regional recognition").

Promotion to Professor

According to the APT guidelines, "for promotion to the rank of professor, the candidate must have a sustained record of professional achievement demonstrating excellence at an increasingly higher level in teaching, scholarship, and/or service as appropriate for their track. National recognition in at least one of the three areas as appropriate to the discipline is required."

Candidates for the rank of Professor are judged primarily on their achievements since their last promotion. A "sustained record at a higher level" means that the quantity and/or quality of their achievements have increased. "National recognition" can be demonstrated by the comments of the external reviewers who attest to national reputation. Achievements on a national scale also demonstrate national recognition - national awards, elected leadership position in a professional organization, regular invitations as a guest lecturer at other institutions, etc. The following examples build on the examples listed under Associate Professor above and demonstrate how one can achieve to a higher level and demonstrates national recognition.

Teaching Example - Dr. Smith has given numerous invited lectures at national conferences or grand rounds at other institution in the past 10 years ("sustained record" and "national recognition"). She served as the course director for a national CME conference ("national recognition") and created a new curriculum related to community based health care for residents that has been adopted by several departments at GW ("excellence with impact on the institution"). She has a long list of mentees who have since become successful faculty at other institutions. ("excellence" with higher level achievements and impact).

Scholarship Example – *Dr. Jones is in a basic science department and has continued to publish original work in highly respected peer reviewed journals. She often is listed as senior author since several of her mentees have begun their own research under her guidance (“sustained record to a higher degree”), She has become a co-editor of a textbook in her field. Her research grant portfolio has expanded and she is a grant reviewer on an NIH study section (“higher level” of scholarship). She has presented her research at several national meetings (“national recognition”). Her external evaluators praise the quality of her research and confirm her national reputation in the field (“national recognition”).*

Service Example – *Dr. Williams has served on the executive committee for two terms and currently serves as chair (“higher level” service achievement; service to the University). He sits on the board of directors of a non- profit organization in the community that provides health programming and mentorship to at risk youth (service “beyond the profession and school”). He is an ad hoc reviewer for two journals in his field. (“national level” service for his profession).*

What Counts as Teaching?

All faculty are expected to teach. To demonstrate excellence in teaching, however, requires an effort beyond the minimum teaching expectations associated with the day to day work in the hospital, clinic, lab, or department. Faculty can document their teaching achievements both in their CV and in a **Teaching Portfolio** which is described in more detail later in this handbook.

Achievements in teaching may be demonstrated in interactions with a wide variety of learners, including students (undergraduate, graduate, medical, other health professions), residents, post-doctoral trainees, other faculty, and other health professionals. Teaching excellence can be demonstrated in the traditional classroom, at the bedside and in the clinic, online, and through service as a mentor.

The following is a list of examples of teaching achievements. It is not meant to be inclusive. To demonstrate a sustained record and excellence in teaching, the faculty member should document several examples of teaching achievements such as:

- Course or clerkship director
- Residency or graduate program director
- Program coordinator or director for medical, public health, and/or health science students
- Major responsibility in a course
- Preparation and presentation of material in a well-organized, effective manner
- Display of educational leadership
- Development or implementation of innovative teaching techniques
- Mentoring and training students (undergraduate, graduate, medical), residents, fellows, junior faculty and other trainees
- Excellent teaching evaluations from learners
- Participation in curriculum planning (professional, graduate) or evaluation
- Participation on Ph.D. doctoral committees (dissertation reader, oral examiner)
- Participation in the design, organization, implementation of a course or teaching program

- Teaching awards
- Director or educational planning committee membership of a continuing education course
- Continuing education speaking engagements
- Invited participation in educational programs
- Invited participation in professional organization educational programs
- Member of a board (e.g., USMLE) exam question writing team
- Member of a specialty board qualifying exam question writing team
- Member of a professional accreditation team for an educational program

What Counts as Scholarship?

Scholarship may take many forms. Traditionally scholarship has been viewed as getting research grants and publishing peer-reviewed journal articles. However, many achievements count as scholarship if they are consistent with the following **definition of scholarship** found in the SMHS APT criteria:

Those activities that systematically advance the teaching, research and/or practice of medicine, biomedical sciences, and/or health sciences through rigorous inquiry that 1) is significant to the profession or discipline, 2) leads to new knowledge or new insights or approaches to existing knowledge and 3) is disseminated for evaluation and critical review by other scholars.

The SMHS APT criteria recognize the different forms of scholarship originally outlined by Ernest Boyer¹ (*Boyer Model of Scholarship*):

- **Scholarship of Discovery** - This refers to traditional empirical research. Examples of achievements are internally or externally funded primary empirical research, designing and testing of new methods of inquiry, developing theory, other research projects, peer-reviewed journal articles, abstracts and presentations, and authoring books or book chapters.
- **Scholarship of Integration** - This refers to the integration of knowledge from different sources or disciplines. It may be bringing together findings from different disciplines to create new ways of seeing or doing things. Examples include conducting meta-analyses or systematic literature reviews, conducting interdisciplinary research, developing practice guidelines, analyzing health policy, designing and delivering professional development workshops or giving presentations at "consensus conferences." Authoring books or book chapters can be a form of the scholarship of integration as well. Team science activities (see next section) may also be considered a form of integration scholarship.
- **Scholarship of Application** - This refers to using existing knowledge in a way to solve real world problems and expand the evidence base of biomedical science and/or health. Examples include developing centers for study or service, consulting activities that directly relate to the intellectual work of the faculty member, developing and testing innovations in health care, applying technical or research skills to

¹Boyer EL (1990). *Scholarship reconsidered; Priorities of the professoriate*. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching.

practice, and publications that propose an approach bridging theory and practice. Participation in clinical trials and quality improvement/patient safety work may also be considered scholarship of application.

- **Scholarship of Teaching** - This refers to the study of best practices and skills to design, evaluate, and disseminate knowledge about education. Examples include educational research resulting in publication or presentation at conferences, development of new or substantially revised courses or curricula, developing new pedagogies or applying existing pedagogies in new ways, development of innovative teaching strategies, and publication or dissemination of teaching materials.

The above examples using the Boyer Model may be acceptable forms of scholarship so long as the three components of the above definition of scholarship are met (significance to field, adds knowledge, and is disseminated) .

Team Science/Collaborative Science

Multi- and Interdisciplinary scholarship is valued in the SMHS. Team science can be described as a collaborative and often cross-disciplinary approach to scientific inquiry that draws researchers who otherwise work independently into larger collaborative centers and groups. The focus is on improving health care or advancing biomedical science through better understanding of stakeholder involvement and knowledge exchange, different interfacing frames of thought and cultures, complex problem solving, resource management, ethical considerations, and engaging scientists and non-scientists alike in decision-making. Team science achievements can be demonstrated by bringing expertise or leadership to a team science group; promoting collaboration between SMHS faculty and external professionals or lay public; engaging in consensus-building or knowledge synthesizing problem solving groups; or by multi-authored publications, courses, curricula, or continuing education sessions. Team science achievements can be documented by making annotations in your CV and your research narrative - details on this process are discussed in later portions of this handbook.

Examples of Scholarship

The following list of examples of achievements in scholarship is not meant to be inclusive. To demonstrate a sustained record and excellence in scholarship, the faculty member should present several examples of scholarship over the years such as:

- Publications and manuscripts in press in peer-reviewed journals
- Generation of reports and/or policy analyses for government and private agencies
- Co-authored publications where a significant contribution has been made to the work
- Abstracts accepted and presented at peer-reviewed scientific meetings (international, national, regional)
- Independence from postgraduate or fellowship mentor
- Extramural funding for research
- Peer association or private foundation funding as a PI
- Pharmaceutical, health foundation or other similar contract funding
- Invited memberships/fellowships in peer scientific societies
- Letters of recommendation from impartial, senior, nationally/internationally recognized faculty/referees in the candidate's field of expertise that support the significance or impact of the candidate's scholarship

- Letters of recommendation from collaborators attesting to the importance of the candidate's contribution to the field
- National/international scientific awards
 - * Appointment to study sections (e.g., NIH, HRSA, EPA, USDA, FDA, NSF) and/or research committees
 - * Appointment to similar national peer organization research committees
 - * Editor, associate editor, special issue editor, or editorial board member of peer reviewed journal
 - * Regular ad hoc reviewer for peer reviewed journals
 - * Chair/member of national peer association scientific program committee
 - * Session chair of national peer association scientific sessions
 - * Abstract reviewer of national peer association scientific sessions
 - * Executive/board member or committee chair/member of national peer association
- Invited published reviews, book chapters, monographs
- Invited seminars and lectures
- Demonstration of a degree of cooperativeness, as evidenced by, for example, by the initiation of formal collaborative research ventures with colleagues or by provision of service to research programs
- Awarded patents
- Textbook contributor, editor, author; published teaching materials (print, video, CD ROMS, other)
- Publication of educational research/scholarship
- Published patient education materials

**these items may demonstrate both scholarship and professional service*

What Counts as Service?

Service is a part of academic life and some level of meaningful participation is expected of all faculty members at all levels. While excellence in service alone is not sufficient for promotion to any level in the tenure track, excellence in professional or clinical service may be a major criterion for promotion in the non-tenure track. The quality and quantity of service are expected to increase with increasing academic rank. The following are representative examples of evidence of achievements in service:

Professional Service

- Consultancies to governments, health policy groups, health advocacy groups, national/international public health organizations, health services research and policy organizations
- Identification and coordination of responses to health needs in the surrounding communities, the District, and the nation, including increasing public awareness of disease prevention and health maintenance, organizing the provision of continuing education to practicing health care professionals, and devising strategies to provide health care to underserved and underfinanced populations
- Initiation of or participation in health care delivery and/or research that is oriented to

rural populations, minority or geriatric populations, or any other targeted population with documented health care needs

- Leadership in national/international groups dealing with health care policy, health care planning, health care reform, and health care legislation
- Evidence of a positive impact on communities and populations
- Leadership and active participation in continuing education to health professionals at the local, regional, or national level
- Leadership in scientific and professional organizations.
- Items marked with an asterisk (*) under evidence of achievements in scholarly activity may also provide evidence of service achievements

Clinical Service

Recognition by peers and patients

- Patient referrals from other physicians and patients
- Clinical consultation by peers and professional colleagues, including documented acknowledgment by peers as a premier consultant and requested consultant involvement in complex clinical problems
- Evidence of a positive clinical impact on the division, the department, the medical school, or the hospital (quality improvement, for example)

Professional contributions to patient care

- Introduction of new skills or techniques, including clinical laboratory based technology, that are unique locally or regionally
- Special competencies that improve or extend clinical or training programs
- Introduction, development, and maintenance of new clinical programs

Professional contributions to enhancing the profession

- Leadership and active participation in continuing medical education at the local, regional, or national level
- Appointed or elected leadership or membership on regional or national societies or specialty governing boards
- Leadership in clinical care (e.g., membership on major clinical committees at the local, regional, or national levels)
- Appointed or elected leadership or membership on divisional, departmental, hospital, and/or school service-related governing boards
- Participation in research involving patients, including patients' questions relating basic biomedical science to patient care, clinical trials, outcomes in investigations, and cooperative groups

Public Service

- Community-based service, including guest lectures and/or preparation of materials for paraprofessionals and/or other health professions
- Consultation, education, and public speaking outside the university that brings credit to the university

Institutional Service (division, department, schools, university)

- Participation or leadership in divisional, departmental, hospital, school, and/or university committees
- Contributions to the academic management of the division, department, school, and/or medical center, including recommending or developing, for example, policy that relates to faculty affairs, student affairs, academic records, and academic fiscal activities
- Direction of a section, service, or laboratory considered to benefit the division, department, hospital, school, medical center and/or university

How Much is Enough in Each Area?

When evaluating teaching, scholarship and service, both the quantity and quality are important. To be evaluated as “very good to excellent,” a faculty member should strive to demonstrate achievement in as many different ways as possible. Achievements demonstrating high quality and high impact are especially important if the overall quantity presented is modest.

In the non-tenure track, “some activity” is required in a remaining area. What constitutes “some activity” is not prescriptive and depends on the overall contents of the dossier. With truly excellent or outstanding achievements in the first two areas, achievements in the remaining area may be to a lesser degree. If achievements in the first two areas barely meet the threshold of very good to excellent, then a higher degree of excellence is expected in the remaining area.

For many faculty members in the non-tenure track, scholarship is often the remaining area where “some activity” must be demonstrated. In these cases, at least a modest record of publication or disseminated work is generally expected. A rough guideline is to publish on average at least one peer reviewed publication per year in addition to abstracts and book chapters. However there are no “minimum thresholds” and there is variation from department to department in scholarship expectations. The chair of your departmental APT committee can best advise you on this. If your publication record is below this general guideline, the faculty member should explain how their achievements meet the SMHS definition of scholarship and how they have impacted the profession or institution in their research narrative. The same should also be discussed by their chair in the chair memo. Again, if the quantity and quality of scholarship is modest, then achievements in teaching and service, or national reputation are expected to be truly excellent or outstanding.

Planning for Promotion / Tenure

Academic promotion is awarded based on achievements over a period of several years. Planning and goal setting are important for success. While one’s area of academic passion may only lie in teaching, scholarship, or service, one-dimensional faculty do not meet criteria for promotion. It is important to be strategic in your career planning so that you may demonstrate professional effort and personal development in all three areas. The following are suggestions for success:

- **Develop a good relationship with your chair or division director.** Department chairs are typically successful academicians and have much to offer. Your chair has the ability to advise you on how to obtain the resources needed for professional success. Your chair WANTS you to succeed and will be your most important advocate in the promotion process.

- **Get a mentor.** Chairs are busy and typically a senior faculty member (even in another department or another institution) can be vital as a mentor. A good mentor will meet with you regularly and will share skills, knowledge, expertise and a professional network. A successful mentoring relationship is the single largest predictor of faculty success in academic institutions.
- **Take your annual review seriously.** What seems as a mundane chore each spring is actually an exercise that will, if taken seriously, help you stay on track. The electronic annual report can serve as an electronic academic portfolio that allows you to document your activities in teaching, scholarship and service. Be exhaustive in what you include each year as it is easy to forget past achievements when the time comes to prepare your promotion dossier. The annual review process is a logical time to take stock of your career, review past goals and objectives, and to set new ones. Each year you should have at least one goal in each of the areas of teaching, scholarship and service.

Preparing your Dossier

Your promotion dossier is the collection of documents upon which you will be evaluated for promotion. It is lengthy and can take several months to prepare. Think of a promotion dossier in the same way you would think about a grant proposal. If something is required, then you must include it. Understand the criteria, and make sure you present enough material that demonstrates you meet them. Your evaluation by the school APT committee will be conducted by faculty members who may not know you at all. The committee has members from all departments across the school – clinical, basic science and health sciences. All they may know about you is what is in your dossier. Incomplete or poorly constructed dossiers do not work in your favor.

As you prepare your dossier, consider filling out the grid below. It is not a required portion of the dossier, but it may help ensure you demonstrate that you have met the promotion criteria. In each cell of the grid below, enter examples of how items in your dossier support promotion to the next level. If you think there are areas of weakness, discuss this with your chair. He or she may be able to address this in their chair memo. They also have a broader context to compare you to faculty members in your department who were promoted in the recent past. There may be an area where your dossier may be strengthened with some strategic letters of support from other faculty, students, or trainees. Or, if you are not ready, develop a plan so that you are prepared to apply in another year or two.

Self-Check Grid for meeting the School APT Criteria

	Teaching	Scholarship	Service
Sustained effort			
Pattern of Growth			
High quality or impact (to a higher degree for full professor)			
Regional or National recognition in at least one area			

The Dossier

The following is a list of the required elements of your dossier with some information on how to best prepare each section.

Cover Letter from Department Chair

The cover letter from your chair introduces you to the APT committee and sets the tone of your dossier. In some departments it may not be written until after your application has been reviewed and endorsed by the departmental APT committee. The Committee will then offer input so that the chair's letter of support more fully captures the significance of your accomplishments in the areas of teaching, scholarship and service. The chair memo also provides a context for your accomplishments in your department and your discipline. This is critical so that all the members of the school APT committee may better understand the specific challenges and practices of your field. In that regard, it may be the most important part of your dossier – especially if your achievements do not fit the typical academic mold.

Provide your chair with good information. Faculty members often are not self-promoters, so the chair letter does your promoting for you. Don't be shy or bashful-your chair meeting is the time for shameless self-promotion behind a closed door. Share the grid in the preceding section with him or her so that the chair letter is consistent with how you will be portraying yourself. Also, sharing the teaching, scholarship and service reflective statements described in later sections can help your chair write a more supportive letter. Be frank during your conversation with your chair so that the chair letter complements the dossier you have prepared.

Cover Letters from Secondary Chair(s)

You also must have a letter of support from the department chair of every department where you have a secondary or courtesy appointment – even if it is in another school within GW. Your primary chair may assist in the process, but you should contact the chair of your secondary department, send them your CV, and ask for the letter. While these are sometimes viewed as perfunctory, you should not assume them to be. Offer to meet with the chair of your department(s) of secondary appointment and provide them with what they need to write a supportive letter.

Curriculum Vitae

Your CV, *IN GW REQUIRED FORMAT*, is the backbone of your dossier. The school APT committee may refuse to review your dossier if the CV is not in the correct format. The required format can be found on the SMHS faculty affairs website: smhs.gwu.edu/faculty/resources-faculty/appointments-promotions-tenure

Your CV should be comprehensive. If in doubt about whether or not something is important enough to include in your CV, include it. It is acceptable to annotate or expand certain elements in your CV if they are truly important. For example, if you receive a national award, an extra sentence describing the importance or prestige of the award may be useful. If one of your listed publications was recognized as "paper of the year" or was especially influential in your field, make an annotation with an extra line. The same goes for an award-winning national presentation. *If you are middle author, but played a key role in the paper you can add an extra line to describe this – or describe in your research narrative.* Some faculty list the number of times a paper has been cited and the impact factor of the journal, although this is not required.

Teaching Portfolio

The next required section is a teaching portfolio. If teaching is an area of excellence for you, the teaching portfolio must be robust. It takes several years of planning and data collecting as an educator to have a well prepared teaching portfolio. The required elements of a teaching portfolio can be found on the GW Provost website tlc.provost.gwu.edu/sites/tlc.provost.gwu.edu/files/downloads/TLC-TeachingPortfolioGuidelines-Nov-2013.pdf

Just like an artist's portfolio contains their best works, your teaching portfolio should be a systematic collection of materials that document your excellence as an educator. They are described briefly here.

1. **A teaching Narrative Statement** - This is a narrative statement, three pages or less that reflects upon your approach to teaching, what you have learned as an educator, how you have sought to improve your teaching and how you will continue to develop. It should NOT be a rehash of your teaching activities that will come later.
2. **Teaching Activities** - For some faculty members this will be an actual listing of university courses where they have been the lead instructor. For many faculty members, this will be a listing of major teaching activities such as bedside rounds, conferences, lectures, etc. Every random lecture does not need to be listed, but if you play a regular educational role in any course, clerkship, graduate or clinical program you should include it. Teaching at regional and national meetings should be included, too. In addition, provide a list of the learning objectives, a description of the teaching approach and teaching activities used to meet the objectives, and examples of how you assessed learner outcomes for at least one, and not more than three, of the teaching activities listed. You should also insert a list or grid of your mentees, as mentorship is also an important form of teaching. The following grids are examples of how you might present this material:

Example Teaching Activity Grid

Activity number	Title of course or teaching activity (include course # if applicable)	# of learners	Type of learner	Ongoing/ new/ or course redesign?
1	Lecture on rashes	10 students per rotation, 6 rotations per year	Medical students, PA students	ongoing
2	Bedside teaching on inpatient rotation	3-6 at a time. On service 2 weeks of the year	Medical students, PA students, residents, fellows	ongoing
3	Workshop on team teaching at AAMC	10	Fellow faculty at a national meeting	New course
4	Introduction to health information GW course #xxxxx	15	Graduate health science students	Re-design of existing course

Illustrative example grid for one to three above listed teaching activities:

Example Teaching Activity - EKG Course For Medical Students

Learning objective	Teaching approach/activity	Assessment method
1. Define the EKG findings of acute MI	1. Chapter 2 of text required reading 2. Lecture on EKG manifestations of ischemia 3. Practice EKG interpretations	1. EKG interpretation test
2. Compare the utility of the EKG to other cardiac testing for coronary ischemia	1. Problem based learning exercise	1. Multiple choice test questions on this topic on exam 2. Performance on managing a standardized patient with chest pain in the simulation lab.

Example Mentoring Grid

Mentee	Type of learner	Dates	Type of mentorship	Current position	Evidence of mentee accomplishment
Jane Smith	Cardiology fellow	2010-2014	Research, general advising	Cardiology faculty at UNC	Is now fellowship co-director, board certified, list of mentee publications and grants
Tim Jones	PA student	2009-2011	Academic and professional advising	Private practice primary care	Board certified, lead PA in the practice, officer in specialty society
Karla Moore	Post doc	2012 - present	Research related to receptor analogues	Post doc in my lab	List publications, presentations, grants and awards of mentee

3. **Teaching Effectiveness** - Documenting excellence as an educator is more than providing a list of your teaching activities. What is required is an effort to provide a more formal evaluation of your performance. There are several ways you can proceed:

- A. **Student/learner teaching evaluations** - These should be supplied for multiple years. If you have statistics for other faculty in your department, be sure to include them so that your teaching may be compared to your peers.
- B. **Peer reviews** - The SMHS Peer Evaluation of Teaching Program was developed to provide faculty with a review of their teaching effectiveness by a graduate of the Master Teacher Program. Some departments have a teaching peer review process and a teaching peer review program is also available through the Teaching and Learning Center in the University. Details are available in the Office of Faculty Affairs.

- C. **Letters from learners** - These can be very useful if they attest to your excellence as a teacher/mentor, and if they describe how the learner has been positively affected by your efforts.
- D. **Teaching awards**
- 4. **Teaching Impact** - Excellent educators have impact on the broader educational mission of the department, the University and their discipline. Ways you can demonstrate impact include:
 - A. **Curricular contributions** - Describe the name of the curricular innovation, your role in development, and any documented curricular outcomes or evaluations.
 - B. **Downstream peer letters documenting impact** - For example, if you teach physical diagnosis to medical students, a peer letter of support from a clinical educator on a later clinical rotation can attest to the impact of your teaching efforts. Similarly, if you teach a foundations level course, letters of support from downstream course instructors can attest to your impact of the preparation of students for their course.
 - C. **Textbooks and other teaching materials used by others** - This may include problem based learning case, simulation cases, or other teaching materials or methods.
 - D. **Mentoring or training other faculty to become better educators.** (This is different than research and academic mentoring of trainees described above)
 - E. **Contributions to assessment methods**, such as question writing for national exams, block or program assessments, etc.
 - F. **Scholarship of teaching** - You may briefly describe your overall efforts in educational scholarship and refer the reader to the research section of your dossier. Otherwise, you can list your publications or presentations related to educational scholarship here.
- 5. **Professional Development and Improvement as an Educator** - In this section you should list or describe any professional development activities in which you have participated to improve your skills as an educator. You should also list any new degrees or certifications related to teaching that have been received. This is also where you can provide a brief narrative on what you have learned by implementing new teaching techniques and efforts on collaborative teaching with others.

Research /Scholarship

The Scholarship Reflective Statement

The scholarship narrative should be one to three pages and describes your growth and accomplishments as a scholar or researcher. It should not be a re-listing of items on your CV. There is no required format or content, but things you may want to include are:

- Formative or mentoring experiences that impacted your career as a researcher or scholar
- Major themes or research questions in your scholarly pursuits
- A broad description of the extramural funding you have secured as a scholar
- Major outcomes of your research or scholarship
- How your research or scholarship may have impacted yourself, others, the school, your discipline, patients, or society

- A description of any research-related awards or prizes
- Your future plans as a scholar
- For tenure track faculty you should describe how you have “future promise” as a scholar

Team Science

If your scholarship is largely represented by efforts in team science this should be included in your research reflective statement. The explanation should include a description of the purpose of or goals of your collaborative research or scholarly team(s). Additionally, describe how your specific expertise contributed to the field, the community, or the scholarly or research pursuits of the team as well as any team successes. Share this information with your department chair so he or she can emphasize these points in the chair letter as well.

Outside Evaluations

Comments from outside, independent evaluators provide valued insight into your national or international recognition in your field. The evaluators must be truly independent from you, your chair, your department, and GW so that the evaluations of your accomplishments are not affected by personal relationships. They are asked to evaluate your academic achievements in light of the rank being requested; as a result, the evaluator must be a faculty member who has already attained the rank you are seeking. The outside, independent evaluator is primarily asked to evaluate and comment on your scholarship. However, if you are non-tenure track and scholarship is not one of your main areas of excellence, then your chair may ask your outside evaluators to also evaluate your service and teaching accomplishments.

This section of the dossier will be created by your department chair and administrator. It will consist of copies of the actual letters received from the outside evaluators. The evaluations will not be shared with you. Each department chair handles solicitation of the letters a little differently. You may be asked to identify names of potential outside evaluators, or this may be done solely by your chair or departmental APT committee. Your chair will insert a narrative statement into your dossier describing how your outside evaluators were selected. The narrative should include the list of names recommended by you or your departmental APT committee, the list of outside evaluators who did not respond to the request, the credentials of the evaluators who provided the letters, and a copy of the materials sent to the evaluators.

Your outside evaluators should be as independent from you as possible and should not include former mentors/mentees, research collaborators, co-authors, or others with whom you have a close professional or personal relationship.

Service Reflective Statement

You are required to prepare a Service Reflective Statement that is one to three pages long. It should not be a re-listing of the service items listed on your CV. This is an opportunity to describe the quality and impact of your service achievements. For tenure track faculty, remember that tenure gives you a faculty appointment that lasts until you leave or retire. Therefore, include some sort of description of the impact of your service activity to the University. There are no required elements but items you may want to reflect upon include:

- The general areas of service where you have been most active
- Your specific contributions to committees, task forces, or other service activity
- Leadership roles you have had related to your service activities
- Descriptions of how your service activities have positively impacted the department, school, university, discipline or larger community
- Future goals related to service

Additional Letters of Recommendations

These are optional, but you may include other letters of support in your dossier. They may be from students, trainees, colleagues, and others who are familiar with your academic work. If you have letters of support from past learners or mentees in your teaching portfolio, you do not need additional letters for this section. If they are from other faculty, the letter writers should be at least at the rank to which you are seeking promotion.

Work with your chair to develop a strategy of what additional letters of recommendation will truly support your promotion. If your scholarship or academic activities are non-traditional, letters of support can be invaluable in describing the quality and impact of your work to the APT committee members who may not be familiar with your area of specialization. For team science researchers, a letter from your team leader can corroborate your team science contributions that have not yet resulted in a publication. If service outside of the University is a large part of your service activities, consider an outside letter that can attest to excellence or impact in that capacity. A few additional letters can add value to your dossier. More than five is probably overdoing it.

Publications

Every candidate for promotion must submit copies of three recent publications. PDFs of the articles should be emailed to the Office of Faculty Affairs and they should be original PDFs obtained from the website of the journal or through the Himmelfarb Library's online subscriptions.. Publications are required even if scholarship is not an area of excellence for you. For tenure track faculty, the submitted publications must be peer reviewed. For non -tenure track faculty, peer-reviewed publications are preferred but non peer-reviewed publications, such as book chapters, papers in non-refereed journals, white papers, book reviews, etc., may be submitted.

Process

Departmental APT Committee

Your dossier is first reviewed by your departmental APT committee. Departments may set promotion criteria above and beyond the school criteria; your chair will inform you if this is the case for you. The departmental APT committee typically consists of senior faculty in your department – each department chooses its APT committee a little differently. If you are applying for tenure, only tenured members of your departmental APT committee may vote. It is only after a positive vote of the departmental APT committee that your dossier will be forwarded to the school committee. The departmental committee is considered “the will of the faculty” in this process. The departmental APT committee is the closest in expertise to your discipline, is more likely to understand the context of your achievements and therefore is in the best position to evaluate your dossier for excellence.

School APT Committee

The school APT committee provides advice to the Dean to assist the Dean in preparing the final recommendations to the Provost on tenure and promotion. The School APT committee reviews your dossier to ensure that the school's criteria have been met and to evaluate the strength of the candidate as presented in the dossier. The school APT committee may ask your chair or departmental committee to provide supplemental information before they make a final recommendation.

Non-concurrences

A non-concurrence occurs when the school APT committee, Dean, or Provost does not support the department's recommendation for promotion or tenure, in these cases the school APT committee, Dean or Provost must provide compelling reasons why the criteria were not met or the process not followed. The dossier and these compelling reasons are forward to the Executive Committee of the University Faculty Senate. Each school in the University is represented by one member on the Executive Committee of the Faculty Senate. This committee is advisory to the Provost and President of the University; the President is responsible for making the final decision.

Life After Being Promoted or Tenured

"I've just been promoted (or tenured). Now what?"

Defining some long-term goals is a good place to start, especially if you plan to seek promotion to the rank of full professor. However, long-term professional goals are important even for those who have reached the rank of professor. Having goals and a plan provide a strong foundation for future productivity and satisfaction. Once again, the annual process provides a regular opportunity to reflect and plan. Both elements are critical if you desire to be the driver of your professional career.

School of Medicine & Health Sciences

THE GEORGE WASHINGTON UNIVERSITY
