

**School of Nursing**

**Appointment, Promotion, and Tenure Guidelines**

(Formerly titled APT Procedure Manual)

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**Purpose of Guidelines**

The purpose of the Guidelines is to support faculty in applying for promotion, series or track changes, and tenure. The document includes references to SON APT policy 60-01.10 (revised June 2019) and procedures 60-01.10 (revised May 2017) for completing an application and dossier.

**Table of Contents**

[1.0 Guidelines for Promotion and Tenure 3](#_Toc34748328)

[1.1 Policies 3](#_Toc34748329)

[1.2 Terminology 3](#_Toc34748330)

[1.3 Staff Support to the APT Council and APT Process 4](#_Toc34748331)

[2.0 Applications Requiring External Evaluation 4](#_Toc34748332)

[3.0 Applications Requiring A Dossier 5](#_Toc34748333)

[3.1 Introduction to Dossier Preparation 5](#_Toc34748334)

[3.2 Overview of Dossier Instructions to Candidates 6](#_Toc34748335)

[3.3 General Guidelines for the Dossier 6](#_Toc34748336)

[3.4 Order, Format and Content for Dossier 7](#_Toc34748337)

[3.5 Initial Dossier Review 9](#_Toc34748338)

[4.0 Promotions Reviewed by APT Council but not Requiring Dossier 10](#_Toc34748339)

[4.1 Series or Track Changes at Associate Professor or Above 10](#_Toc34748340)

[5.0 Promotions not Reviewed by APT Council 10](#_Toc34748341)

[5.1 Series or Track Change Based on Earned Doctorate 10](#_Toc34748342)

[5.2 Series or Track Change at Assistant Professor Level 10](#_Toc34748343)

[5.3 Promotion from Lecturer to Instructor Based on Earned Master’s Degree. 10](#_Toc34748344)

[6.0 Review and Voting by APT Faculty 10](#_Toc34748345)

[7.0 APT Council Procedures 11](#_Toc34748346)

[7.1 Finalize and Publish the Timeline and Guidelines. 11](#_Toc34748347)

[7.2 Notification of Faculty Who May Wish to Become Candidates. 11](#_Toc34748348)

[7.3 APT Council Review. 11](#_Toc34748349)

[8.0 APT Voting Meeting 11](#_Toc34748350)

[8.1 Opportunity for Candidate Response 12](#_Toc34748351)

[8.2 Dean’s Review 12](#_Toc34748352)

[8.3 Final Notification of Candidate 12](#_Toc34748353)

[8.4 Final Notification of Faculty 12](#_Toc34748354)

1. **Guidelines for Promotion and Tenure**
   1. **Policies**

APT Policy (60-01.10, revised June 2019) and Procedures (revised May 2017) govern APT in the School of Nursing. The process differs depending on the reason for the request. In general, the process includes reviews by the APT Council and APT Voting Faculty who make a recommendation to the Dean, who makes a recommendation to the Provost for final approval. Exceptions to this process are described in this document.

Related OHSU policies are 03-15-020 (Faculty Series and Ranks) and 03-15-025 (Faculty Appointments).

APT Procedures contains Appendices A-E at the end. There are three versions of Appendix A, Criteria for Appointment, Reappointment and Promotion: one for the Professorial Series (academic and clinical); one for the Instructional Series; and one for the Research Professorial Series. Other appendices to the Procedures include the forms necessary to apply for APT review and examples of evidence tables.

* 1. **Terminology**

**Series:**

* + - Instructional
    - Professorial (note: within Professorial there are two **Tracks**: academic and clinical)
    - Research

**Ranks Within Series**:

|  |  |
| --- | --- |
| **Series** | **Ranks** |
| Within **Instructional Series** | * Lecturer * Instructor |
| Within **Professorial Series – Academic Track** | * Assistant Professor * Associate Professor * Professor |
| Within **Professorial Series – Clinical Track** | * Assistant Professor of Clinical Nursing * Associate Professor of Clinical Nursing * Professor of Clinical Nursing |
| Within the **Research Series** | * Research Assistant Professor * Research Associate Professor * Research Professor |

**Categories of Activity**:

* Teaching
* Research & Scholarship
* Clinical Care/Practice
* Service

**Levels of Evidence**: Pertains only for promotion to Associate or Full Professor (Academic or Clinical track) or for Tenure

|  |
| --- |
| **Satisfactory Record** – Sufficient, acceptable contributions in the category that impact the profession, the university or community. |
| **Substantial Record** – Sustained contributions in the category that impact the profession, the university, or community. |
| **Outstanding Record** – Significant contributions to the category that impact the profession, the university, or community. |

* 1. **Staff Support to the APT Council and APT Process**

A staff person supports the APT Council and assists faculty with the process. Throughout this document, “support staff” refers to this person.

1. **Applications Requiring External Evaluation**

Required for promotion to Associate or Full Professor (Academic or Clinical track) or for Tenure

External reviewers. Candidates are responsible for submitting to the support staff the names (*and contact information, including an email address and webpage information*) of five potential reviewers who are external to OHSU and are at the rank/tenure sought or higher. Candidates should make sure those they nominate are at the rank the candidate is seeking. To avoid personal bias, ideal external reviewers have minimal to no working relationship with the candidate and are expert in the candidate’s field of study or a closely related field. Colleagues who have been co-authors, co-investigators, or any other form of professional collaboration benefitting the candidate should not be named.

The Program Director or Campus Associate Dean reviews the candidate’s list of potential external reviewers and generates her/his own list of five additional reviewers. The APT Chair reviews and refines the list and consults with the Dean for final selection of external reviewers. No more than one-half of the external reviewers should be from the candidate’s list.

Request for external review. The APT Council Chair is responsible for obtaining agreement from four qualified external reviewers and from other units at OHSU in which the candidate has an appointment or a substantial professional involvement, whether compensated or not. Upon agreement, the APT Council Chair provides each reviewer with the OHSU SON criteria for Promotion and Tenure, and copies of the candidate’s current curriculum vitae, dossier statement, and selected publications or other relevant materials. Each outside reviewer is asked to indicate name, title, rank, and institutional affiliation; and relationship, if any, to the candidate. Letters of external review are addressed to the Chair of the APT Council for inclusion in the candidate’s dossier.

*Note to Candidates: Information about whether or not you have waived access to external reviewer letters, as indicated on Procedures Appendix C (explained below), is included in requests to reviewers.*

1. **Applications Requiring A Dossier**

Applies to candidates for promotion to Associate Professor, Professor (both academic and clinical track) and/or Tenure and series change from Instructional to Professorial Series with master’s preparation for rank of Assistant Professor of Clinical Nursing

Before proceeding, faculty should work proactively with their supervisor to assess readiness for promotion or series change. Faculty interested in applying for tenure must have first transferred to the tenure track. This is done by submitting a request with justification to the Dean and requires approval by the Provost.

Upon deciding to go forward, candidates notify APT Council of intent to seek promotion and/or tenure or series change with master’s degree by submitting to support staff two forms found at the end of the Procedures document: Appendix B (Promotion and Tenure Application and Eligibility Form) and Appendix C (Declaration of Option to Access Review Materials, which gives the candidate the choice to waive or not waive access to internal and external review materials solicited as part of promotion and tenure process).

*Note: When number of years in position or at rank is referenced, it means the number of years completed at the time the eligibility form is submitted.*

* 1. **Introduction to Dossier Preparation**

Materials provided by the Candidate. Candidates prepare a dossier documenting their accomplishments relevant to the series, track (if relevant), rank being sought, and categories of activities (e.g., teaching, research & scholarship, service). See below for process details and specific items to be included in the dossier. Candidates submit an electronic copy of the full dossier with accompanying evidence to the support staff. The candidate retains a personal copy of the dossier.

Significant additional information may be submitted during the process (e.g., new publications or funding) to be added to the dossier before the APT Council completes its review but no later than March 1 every year (or the following Monday if that date falls on a weekend).

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

* 1. **Overview of Dossier -- Instructions to Candidates**

Professorial (academic and clinical) series faculty seeking promotion or tenure, and faculty seeking series change from Instructional to Professorial and rank of Assistant Professor submit a dossier that reflects their accomplishments at the desired rank.

APT Council may request supplemental information from a candidate; however, no data from sources outside the dossier, such as personal knowledge of a candidate by an APT Council member, are included in the APT review process.

There is a hierarchy of strength in evidence. First authored peer-reviewed publications (especially data-based publications, high-impact journals, and journals both inside and outside of nursing) and approved grant applications and funded grants (especially as PI) are considered strongest and expected at the higher ranks.

Using the criteria for promotion found in the appropriate section of Appendix A, located at the end of the APT Procedures document, construct an Evidence Table (see Appendix D for format). Divide materials into sections by category and list the evidence for the appropriate series, track, and rank.

* 1. **General Guidelines for the Dossier**
     1. Dossiers must be in **Adobe PDF** format as a single file, using appropriate **bookmarking** to divide the file into sections that match the table of contents for easy reference. Dossier pages are numbered.
     2. Focus on accomplishments since hire or last promotion.

3.3.3 Write only to the examples in the relevant Appendix A that you are addressing. Evidence is not required for every exemplar in Appendix A. Be specific and give only the pertinent details; clearly link evidence to the criteria. Simply listing something in a CV is not evidence.

3.3.4 Quality is better than quantity.

3.3.5 Seek mentorship from your reporting Associate Dean/Program Director and previous successful candidates before you submit your dossier.

3.3.6 The support staff has examples of successful dossiers for review.

3.3.7 Seek technical advice and problem-solving assistance from support staff. Plan ahead to ensure that support staff has adequate time to assist.

3.3.8 The file must be paginated, and support staff assists with this. The pagination of the final electronic dossier is done by the support staff at the time of submission, and no changes to the final dossier are possible after that is complete.

3.3.9 Page Limits -- The letter from the applicant, summary statements and evidence table together should not exceed 20 pages. Submitted evidence is not counted in this page limit. Total number of pages, including the evidence and letters of support, should not exceed 100 pages for candidates at the Assistant Professor rank and 200 pages for candidates at the Associate or Full Professor ranks or for tenure.

3.3.10 Identify evidence by section and/or numbering system using the bookmark function in Adobe.

**3.4 Order, Format and Content for Dossier**

***Note:*** *For faculty requesting review for tenure****,*** *please refer to APT Procedures 8.3-8.5 for guidance. A candidate for tenure review must already be on the tenure track, having earlier submitted a request with evidence to the Dean and approved by the Provost.*

**Dossier Content by Sections**:

**Section 1**: **Letter from the Candidate**

Identify your current rank and desired rank or tenure, and which of the categories (Teaching; Research & Scholarship; Clinical Care/Practice; or Service) you are addressing. Provide a list of up to four people from whom you requested letters of support or evaluation. (Note: these are not external letters of evaluation that are solicited by the APT Chair, but rather up to four letters of support a candidate may request themselves.)

**Section 2:** **Summary Statements** (up to two pages per category for those categories the candidate chooses.

* Summary statements should capture a summary of the strongest evidence and the candidate’s *reflection* about their growth and career trajectory.
* State the category (Teaching, Research & Scholarship, Clinical Care/Practice, or Service) of each Summary Statement.
* For candidates seeking promotion to the rank of Associate or full Professor or tenure, provide rationale for the candidate’s claim of level of accomplishment for the category (satisfactory, substantial, outstanding) by summarizing achievements that are evidence of the level. See Appendix A in the Associate Professor and Professor columns for directions.
* For masters prepared candidates seeking series change from Instructional to Professorial and rank of Assistant Professor of Clinical Nursing, do not include a claim of level of accomplishment (i.e., do not specify satisfactory, substantial, or outstanding).

**Section 3: Forms B and C**

Include copies of forms B and C (explained in section 3.0 above) previously submitted to support staff.

**Section 4**: **Tables**

**Evidence Table**

Using the relevant criteria from Appendix A of the Procedures document, construct an evidence table to reflect the specific categories in the series, track, and rank requested. Appendix D of the Procedures document shows the format for the evidence table. Include the following in the table:

**Category/Assessment of level of accomplishment**.

* For category, select from Teaching, Clinical Care/Practice, Research & Scholarship, or Service as appropriate.
* For Assessment, indicate the level of accomplishment for each category – Satisfactory, Substantial, or Outstanding. (Only for candidates for promotion to Associate Professor, Professor, or Tenure.)

**Rank Sought**:

* For Professorial Series/Academic Track: indicate Assistant, Associate or Professor.
* For Professorial Series/Clinical Track: indicate Assistant, Associate, or Professor of Clinical Nursing.
* For Research Series: indicate Research Assistant, Research Associate, or Research Professor.

**Examples** – specify the examples from Appendix A for the rank requested.

***Note: Appendix A*** *provides examples only. Candidates are not required to address every example; other examples may be used. Not every criterion must be addressed, therefore be selective.*

**Rational –** describe how your evidence demonstrates the criterion.

**Location of Evidence** – use a numbering or identification system that allows reviewers to easily find and match the evidence to the criterion. Please consult with APT support staff about how to do this well.

**Table for Teaching Activity and Evaluations**

Use Appendix E of APT Procedures for a table on teaching activity and evaluation. If appropriate, also construct a table on Graduate Student Mentorship. Also, if appropriate, construct a table on Service/Citizenship.

**Section 5:** **Current CV** formatted to the SON CV template. The template is included with the FPR materials found on O2, School of Nursing, Quick Links, Annual Faculty Data Gathering page.

**Section 6**: **Other evidence to include:**

* Select publications carefully as evidence that relate directly to the example.
* If you work in course teams or on committees, delineate what part of the product was yours and avoid implying ownership of the accomplishments or taking more credit than due.
* Do not include entire Sakai discussion section postings; if you wish to use something as evidence, one example is enough.
* Do not include PowerPoint presentations. List the presentations in the CV, and if truly significant, mention this in your Summary Statement. You may include a single title slide or the program from a conference as evidence for truly significant presentations.
* Include an abstract or face sheet for grants only, not the entire grant. Indicate if the grant is pending or funded.
* Candidates may provide the APT Council with new information as an addendum to their dossier. Examples include newly funded grants or newly published articles (not previously cited as in press), significant new awards or honors, and appointments to a major state or national committee or board. Information that the candidate forgot to include in the original dossier cannot be added later. In addition, materials generated from activities that were largely carried out after submission of the dossier deadline are not new. The addendum should include one bulleted page. Two additional pages may be added if needed to provide photocopies of evidence such as a notice of grant award or other notification. The deadline for any such additions is March 1 every year (or the following Monday if that date falls on a weekend).

**Section 7**: **Letters**

* A letter of evaluation must come from the candidate’s direct supervisor or appropriate Associate Dean.
* If desired, up to four additional letters of support can be sought by the candidate (note: these are not the same as letters of external evaluation); letters of support should state:
* How the writer knows the applicant’s work.
* That the writer has no personal or professional conflict of interest in providing the letter. Candidates should avoid asking for letters from those with conflicts of interest, such as personal friends, faculty of lower rank, or students, unless those faculty or students are providing specific evidence such as mentorship.
* Specific information relative to the category (e.g., teaching, research, etc.).

**3.5 Initial Dossier Review**

Dossiers will be checked by the APT Chair for completeness and compliance with these guidelines. If there are deficiencies or concerns as a result of administrative review, dossiers will be returned to the applicant with a specific request for remedy and a date by which the dossier must be resubmitted (or corrected).

1. **Promotions Reviewed by APT Council but not Requiring Dossier**
   1. **Series or Track Changes at Associate Professor or Above**

See Procedure Section 7.1.

# **5.0 Promotions not Reviewed by APT Council**

## **5.1 Series or Track Change Based on Earned Doctorate** – see Procedure Section 7.3

## **5.2 Series or Track Change at Assistant Professor Level** – see Procedure Section 7.3

## **5.3 Promotion from Lecturer to Instructor Based on Earned Master’s Degree** – see Policy 50-01.10.

1. **Review and Voting by APT Faculty**

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

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

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

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

**Dossier Review**. The APT Council and support staff prepare the materials for eligible faculty review, to include the candidate’s dossier, external evaluation letters, and the administrative recommendation letters. The support staff arranges for the availability and security of the dossiers for review by voting faculty who must request access by noon on the Friday before Spring break. Electronic dossiers shall be password protected. Only faculty eligible to vote on a candidate may request the dossier for review. Faculty must sign a Confidentiality and Conflict of Interest form assuring confidentiality for the candidate and indicating that they have reviewed the dossier to establish eligibility to vote on the promotion and/or tenure of the candidate.

1. **APT Council Procedures**

## **7.1 Finalize and Publish the Timeline and Guidelines.**

The APT Council updates the Timeline document annually as needed for the following year. Also, in collaboration with FAC, APT Council keeps this Guidelines document up to date.

## **7.2 Notification of Faculty Who May Wish to Become Candidates.**

During the first week of Spring term, the ex officio member of APT Council notifies all faculty of APT documents (policy, procedures, timelines and guidelines) needed by faculty who may wish to become candidates in the subsequent year.

**7.3 APT Council Review.**

The APT Council conducts a systematic review of candidates’ dossiers and external letters of evaluation vis-à-vis the appropriate criteria. For the APT Voting Faculty, the APT Council generates a summary of the candidate’s qualifications, strengths, and any areas of concern and includes a recommendation for action. Minority opinions are noted in the summary.

1. **APT Voting Meeting**

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

The Chair of the APT Council conducts the voting meeting. The APT Council presents a summary of each candidate’s qualifications and achievements in the categories candidates specify (teaching, research & scholarship, clinical care/practice, service) in relation to the criteria.

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

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

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

The APT Council Chair notifies each candidate of the recommendation of the faculty by the end of the next business day. The Chair also notifies faculty who voted on each candidate of the outcome of the vote. The Chair submits the candidates’ dossiers, external letters, the APT Council summaries, and the faculty vote to the Dean.

* 1. **Opportunity for Candidate Response**

The candidate may provide the APT Council with written comments on the decision for inclusion in the dossier within 10 days of notification of the faculty vote. Such comments are limited to clarifying the nature and significance of existing content included in the dossier submitted at the beginning of the process. The APT Council may provide a written response to the candidate’s comments for inclusion in the dossier. Only one iteration of comments on the review is permitted.

* 1. **Dean’s Review**

The Dean reviews each dossier, external evaluation letters, the APT Council summary, and the faculty vote. The Dean prepares a separate written assessment of the candidate and makes a recommendation to the Provost for inclusion in the dossier. The Dean reports back to the APT Council with his/her recommendation, and in the case of a different recommendation, provides a written rationale for such decision. The Dean notifies the candidate of her/his recommendation to the Provost.

* 1. **Final Notification of Candidate**

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

* 1. **Final Notification of Faculty**

At the first meeting of the Faculty Council in the next academic year, the Dean announces all new promotions and/or tenure.