# SUNY Downstate College of Medicine

## Committee on Academic and Professional Qualifications (CAPQ)

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Constitution and Function of the CAPQ

The Committee on Academic and Professional Qualifications (CAPQ) is a standing sub-committee of the Executive Committee of the College of Medicine. The constitution and function of CAPQ are described in the By-Laws of the Faculty and Professional Staff Assembly of the College of Medicine. The relevant section of those By-Laws is included in the Appendix.

The CAPQ consists of tenured faculty from the College of Medicine. Its charge includes reviewing the credentials of colleagues who are: (1) presented for appointment or promotion to the rank of Associate Professor or Professor; (2) presented for continuing appointment (tenure). After review, the CAPQ makes recommendations to the Dean of the College of Medicine for a final decision on appointment, promotion or tenure.

Faculty Appointment and Promotion: Overview, Process & Tracks

Overview

A recommendation for promotion or tenure typically originates from the Departmental Chairperson. Recommendations may also originate from a Departmental Promotions and Tenure Committee (the Alternate Route Committee), which is described in the By-Laws (see Appendix).

Process

**For a proposal that involves tenure (typically, together with promotion),** the completed package, including CV, letters of recommendation, and any other supporting documentation, is forwarded to an *ad hoc* sub-committee of the CAPQ constituted to review that specific proposal. The sub-committee comprises a member of the CAPQ (chair of the *ad hoc*) and two additional tenured faculty from the College of Medicine. Members of the *ad hoc* committee cannot be from the same department as the candidate being proposed for tenure.

In addition to reviewing documentation in the package, the *ad hoc* committee meets with the candidate, the Department Chair, faculty, residents, fellows, and students (as appropriate) from the candidate’s department, from other departments, or from programs (e.g., medical school, graduate school) within the institution.

The *ad hoc* committee subsequently prepares a written report and recommendation that is reviewed by the CAPQ. After review and discussion, the CAPQ votes on the proposal, and that vote, together with a recommendation and a copy of the *ad hoc* committee report, is sent to the Dean of the College of Medicine for further consideration. A copy of the *ad hoc* committee report and the CAPQ recommendation are also sent to the candidate and the Department Chair or Chairperson of the Alternate Route Committee.
For a proposal that involves appointment or promotion without tenure, the completed package, including CV, letters of recommendation, and any other supporting documentation, is reviewed by the CAPQ at its monthly meeting. Packages must be completed at least two weeks before any given meeting to be considered by the committee at that meeting. Incomplete packages will be held until all documents or letters are received. After review and discussion, the CAPQ votes on each proposal and that vote, together with a recommendation, is sent to the Dean of the College of Medicine for further consideration. A copy of that recommendation is also sent to the candidate and to the Department Chair or Chairperson of the Alternate Route Committee.

All recommendations of the CAPQ are advisory to the Dean of the College of Medicine and to the President, and all appointment, promotion and tenure decisions are subject to final approval by the Chancellor.

Tracks
At the SUNY Downstate College of Medicine, there is a five (5) track appointment and promotion system. The five tracks are:

1. Academic Track
   - Tenure-eligible
   - Voluntary (not tenure-eligible)
2. Academic Clinical Track
   - Tenure-eligible
   - Voluntary (not tenure-eligible)
3. Qualified Research Track (not tenure-eligible)
4. Qualified Clinical Track (not tenure-eligible)
5. Qualified Teaching Track (not tenure-eligible)

The guidelines used by the CAPQ in each track are described in the following section, followed by the list of materials (CV, letters of recommendation, etc.) required by the committee for review and consideration of proposals for appointment, promotion, or tenure, and a detailed outline of the required curriculum vitae format.
CAPQ Guidelines

In reviewing candidates for appointment, promotion, or tenure, the CAPQ uses, in part, a “point system” to help evaluate a candidate’s qualifications. In this system, points are assigned within each category (Research/Scholarship; Teaching; Professional Service) during the review process based on documentation and interviews, and those assigned points are compared with the minimum point distribution requirements for the position and track under consideration. The guidelines for this system are detailed below.

RESEARCH/SCHOLARSHIP

**Level 1** Participates in investigation/research leading to publications in peer-reviewed journals.

**Level 2** Conducts focused investigation/research program with steady or improving rate of publication in peer-reviewed journals; evidence of independence.

**Level 3** Supervises independent, productive investigative/research programs; addresses major and significant problems; solid record of original and important publications in peer-reviewed journals; attracts students and fellows; evidence of respect by independent experts (e.g. letters of recommendation, invited lectures, reviewed articles, authorship of standard textbooks, etc., competitively awarded grant support sufficient to support work, and citation of published work).

**Level 4** In addition to Level 3, achieved wide national or international reputation for contributions or comparable distinction as a scholar; recognized as having had a major influence on his/her field.

TEACHING

**Level 1** Participates in departmental or institutional teaching programs. Teaches competently, effectively and with commitment. Relates well to students and other teachers.

**Level 2** Exceptional instructor, substantial teaching responsibility, uses innovative and creative methods, assumes significant responsibility for course planning and administration.

**Level 3** In addition to Level 2, substantial, primary responsibility for organization and administration of major departmental or institutional teaching obligations, for example as Clerkship Director, Unit Director, Residency Director.

**Level 4** In addition to Level 3, individual has achieved a national or international reputation in health science education by publication and presentation of educational innovations.
PROFESSIONAL SERVICE

Level 1  Accepts and performs administrative and governance duties; interacts in a positive way with faculty and students.

Level 2  Is a significant contributor to administration, governance and/or clinical service at HSCB and/or its affiliates, e.g., holds direct managerial responsibility for a major clinical service in a department.

Level 3  In addition to Level 2, shows substantial evidence of leadership in and/or outside the institution. This may be significant professional service on editorial boards, NIH study sections or professional society planning boards.

Level 4  In addition to Level 3, individual represents a “magnet” for their expertise to attract graduate students, house staff, and/or patient referrals.

POINT DISTRIBUTION REQUIREMENTS

ACADEMIC TRACK
Associate Professor:  2 Research/Scholarship; 1 Teaching; 1 Service (min=5)
Professor:  3 Research/Scholarship; 1 Teaching; 1 Service (min=6)

ACADEMIC CLINICAL TRACK
Associate Professor of Clinical:  1 Research/Scholarship; 2 Teaching; 2 Service (min=5)
Professor of Clinical:  1 Research/Scholarship; 2 Teaching; 2 Service (min=6)

QUALIFIED RESEARCH TRACK
Research Associate Professor:  2 Research/Scholarship; 1 Teaching; 0 Service (min=3)
Research Professor:  3 Research/Scholarship; 1 Teaching; 0 Service (min=5)

QUALIFIED CLINICAL TRACK
Clinical Associate Professor:  0 Research/Scholarship; 1 Teaching; 1 Service (min=3)
Clinical Professor:  1 Research/Scholarship; 1 Teaching; 2 Service (min=5)

QUALIFIED TEACHING TRACK
Teaching Associate Professor:  0 Research/Scholarship; 2 Teaching; 1 Service (min=3)
Teaching Professor:  1 Research/Scholarship; 3 Teaching; 1 Service (min=5)
Materials Required by CAPQ

Proposals for appointment, promotion, or tenure must include all required documents listed below. Please ensure that the candidate’s CV is in the correct format and that the package includes the required number of external and internal letters of recommendation. Incomplete or incorrectly formatted packages will not be reviewed.

A) Materials required for proposals for appointment, promotion, or tenure in the ACADEMIC TRACK or the ACADEMIC CLINICAL TRACK

For proposals in these tracks please submit a complete package that includes the following documents:

1. An up-to-date curriculum vitae, including all relevant sections, formatted as described on pages 8-12.

2. A letter of recommendation from the Department Chair or Chairperson of the Alternate Route Committee (addressed to the Chairperson of CAPQ). This letter should include:
   a) The level of appointment or promotion being proposed.
   b) An appropriate and detailed description of the candidate’s qualifications, his/her role in the department and contribution to the mission of the department and the institution.
   c) The Chair’s evaluation of how the candidate’s qualifications meet or exceed the minimum requirements of the point distribution for the level and track being proposed.

3. A minimum of five (5) letters of reference from faculty at institutions outside SUNY Downstate. Letters should be addressed to the Chairperson of CAPQ. These letters must be from individuals who can give an independent, authoritative evaluation of the candidate. Letters from former mentors or trainees will not count toward the required letters. A maximum of two (2) letters can be from former or current scientific/academic collaborators.

   The external letters of reference must be from faculty who hold a position of Associate Professor (or equivalent) or higher at their institution. Ideally, letters should be from faculty who hold a position at or equivalent to the candidate’s proposed position (e.g., letters of recommendation from Professors for a candidate being considered for promotion to Professor).

4. A minimum of three (3) letters of reference from faculty at SUNY Downstate. Letters should be addressed to the Chairperson of CAPQ. Only one (1) letter can be from a colleague in the same department as the candidate’s primary appointment.

   The internal letters of reference should be from faculty who hold a position of Associate Professor or higher at Downstate. Ideally, letters should be from faculty who hold a position at or equivalent to the candidate’s proposed position.
(e.g., letters of recommendation from Professors for a candidate being considered for promotion to Professor).

5. Copies in PDF format of 3 to 5 reprints of peer-reviewed publications.

B) **Materials required for proposals for appointment or promotion in the QUALIFIED RESEARCH TRACK, QUALIFIED CLINICAL TRACK, or QUALIFIED TEACHING TRACK**

For proposals in these tracks please submit a complete package that includes the following documents:

1. An up-to-date *curriculum vitae*, including all relevant sections, formatted as described on pages 8-12.

2. A letter of recommendation from the Department Chair (addressed to the Chairperson of CAPQ). This letter should include:
   a) The level of appointment or promotion being proposed.
   b) An appropriate and detailed description of the candidate’s qualifications, their role in the department and their contribution to the mission of the department and the institution.
   c) The Chair’s evaluation of how the candidate’s qualifications meet or exceed the minimum requirements of the point distribution for the level and track being proposed.

3. A minimum of three (3) letters of reference from faculty at institutions outside SUNY Downstate. Letters should be addressed to the Chairperson of CAPQ. These letters must be from individuals who can give an independent, authoritative evaluation of the candidate. Letters from former mentors or trainees will not count toward the required letters. A maximum of two (2) letters can be from former or current scientific/academic collaborators.

   The external letters of reference should be from faculty who hold a position of Associate Professor (or equivalent) or higher at their institution, and should ideally be from faculty who hold a position at or equivalent to the candidate’s proposed position (e.g., letters of recommendation from Professors for a candidate being considered for promotion to Professor).

4. A minimum of two (2) letters of reference from faculty at SUNY Downstate. Letters should be addressed to the Chairperson of CAPQ. Only one (1) letter can be from a colleague in the same department as the candidate’s primary appointment.

   The internal letters of reference should be from faculty who hold a position of Associate Professor or higher at Downstate, and should ideally be from faculty who hold a position at or equivalent to the candidate’s proposed position (e.g., letters of recommendation from Professors for a candidate being considered for promotion to Professor).
### College of Medicine CAPQ Checklist

When preparing a package for submission to the CAPQ, please review all items for completeness, check off here, and submit this checklist together with the package.

<table>
<thead>
<tr>
<th>Candidate’s Name:</th>
<th>Proposed Rank:</th>
<th>Tenure proposal? (Yes or No)</th>
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#### Who?

<table>
<thead>
<tr>
<th>Item</th>
<th>Specifics</th>
<th>check</th>
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<tbody>
<tr>
<td><strong>Candidate</strong></td>
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<tr>
<td>CV</td>
<td>Dated</td>
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<td>Proper format</td>
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<td></td>
<td>Grants listed properly</td>
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<tr>
<td>Statement about commitment to</td>
<td>Research</td>
<td></td>
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<td></td>
<td>Teaching</td>
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<td></td>
<td>Service</td>
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<tr>
<td>3-5 Reprints (as PDF files)</td>
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<tr>
<td><strong>Department Chair or Alternate Route Committee</strong></td>
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<tr>
<td>Letter outlining</td>
<td>Correct title of promotion / track</td>
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<td></td>
<td>Tenure or not</td>
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<tr>
<td>Achievements/Qualifications</td>
<td>Research</td>
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<td>Teaching</td>
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<td>Service</td>
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<td><strong>Letters of Reference:</strong></td>
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<td>For promotion and/or tenure in the Academic or Academic Clinical Track:</td>
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<td>A minimum of 5 external letters &amp; A minimum of 3 internal letters (from Downstate faculty)</td>
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<td>OR</td>
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<td>For promotion in the Qualified Research, Teaching or Clinical Track:</td>
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<td>A minimum of 3 external letters &amp; A minimum of 2 internal letters (from Downstate faculty)</td>
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<tr>
<td>LOR # 1 (external)</td>
<td>Rank of letter writer</td>
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<td></td>
<td>Referencing to CAPQ guidelines</td>
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<tr>
<td>LOR # 2 (external)</td>
<td>Rank of letter writer</td>
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<td>LOR # 3 (external)</td>
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<td>Referencing CAPQ guidelines</td>
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<tr>
<td>LOR # 4 (external; can be collaborator)</td>
<td>Rank of letter writer</td>
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<td>Referencing CAPQ guidelines</td>
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<td>LOR # 5 (external; can be collaborator)</td>
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<td>LOR # 6 (internal)</td>
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<td>LOR # 7 (internal)</td>
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<tr>
<td>LOR # 8 (internal)</td>
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<td>Referencing CAPQ guidelines</td>
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Curriculum Vitae: General Guidelines

Please be sure to organize your CV using the structure and sequence shown in the following section (“Curriculum Vitae: Required Format”). It is critical for the committee’s review that information be organized into the following categories:

- Demographics
- Background Information
- Research/Scholarship
- Teaching
- Service

Other achievements, activities and skills not listed above

The curriculum vitae and supporting materials must clearly address the CAPQ requirements and guidelines. This helps the Committee to identify relevant contributions in each area. A poorly organized CV increases the probability that important contributions of the candidate may be missed by the committee. Below are suggestions to help avoid common errors:

Research/Scholarship

- List peer-reviewed publications separate from non-peer-reviewed publications.
- Papers that are submitted or are in preparation receive little or no consideration and should be kept separate from papers that are in press.
- Do not double-up entries (e.g., by listing both a spoken presentation and the published abstract from the same meeting).

Teaching

- Every rank in every track has a teaching requirement, and the CV must clearly document teaching responsibilities at Downstate or its affiliates.
- Specify the level (e.g. medical students, residents, graduate students) and the nature of the teaching (e.g. lecture, conference, laboratory, rounds).
- Specify dates (at least by identifying the years), the number of contact hours and the courses.

Service

- Service responsibilities at Downstate or its affiliates should be clearly specified.
- Distinguish between appointed and elected positions.
- Provide dates (at least by identifying years) for service commitments.

Do not double-up entries across categories. For example, some committee memberships may relate to both teaching and service – select the most appropriate category and list each item only once.
Curriculum Vitae: Required Format

Demographics
- Name
- Mailing Address
- E-mail Address
- Telephone: Home, office, mobile
- Place of Birth
- Citizenship

Statement about commitment to the mission and goals (research, teaching, service) for advancement at Downstate

Background Information

Education
- Degrees
  - Last degree achieved (MD, PhD, other)
  - Graduate
  - Undergraduate

- Training (in reverse chronological order)
  - Fellowship
  - Residency
  - Internship
  - Post-Doctoral

- Additional education (In reverse chronological order)
  - Courses
  - Specialty seminars

Licensures
- Year obtained
- Expiration date
- State
- License #

Certifications
- (Board and other certifications, such as ATLS, etc.)
  - Year obtained
  - Year renewed
  - Certificate #

Appointments (in reverse chronological order)
Academic
- Title
- Dates

Clinical /Hospital
- Title
- Date

Other appointment
- Description of appointment
- dates

Awards and Honors (in reverse chronological order)

Society Memberships
- Name and Dates

Research and Scholarship
Grants (in reverse chronological order)
- Grant description, name of grant giver
- Role in grant (PI, Co-PI)
- Dollar amount (direct costs)
- Dates and funding period
- Grant number

Non–Grant supported research
- Role (PI, Co-PI, etc.)
- Dates

Publications
(in reverse chronological order)
Your name in Bold
- Peer reviewed journals
- Books
- Chapters
- Abstracts
- Reviews
- Open access journals
- Presentations
- Non-peer reviewed publications
- Other

Intellectual property and patents
• Patent description
• Patent id #
• Date

Other research

Teaching
Teaching responsibilities (in reverse chronological order)

Leadership roles
• Description of role
• Dates
• Impact

Courses given (Labs, seminars, etc.)
• Role in course / contact hours
• Subject
• Dates
• Audience

Lectures
• Title
• Date
• Audience

Grand Rounds
• Subject
• Date
• Audience

Invited lectures (list local, regional, national, international)
• Subject
• Date
• Audience
• Location

Mentoring
• List Mentees, incl. name, title
• Dates of mentoring
• Impact / Mentee success

Service
Committee membership
- Local / on campus / hospital
- Regional
- National
- International

For each committee, please provide the following details:
  - Name of committee
  - Organization
  - Role / office held
  - Dates

Peer reviewer
- Journal
- Date
- Number of articles

Study section member
- Organization
- Role
- Dates

Other service
- Clinical
- Departmental
- Recruitment
- Community Outreach

Other achievements, activities and skills not listed above
- Community Service/Volunteering
- Languages
- Non-medical publications
- Exhibits and presentations
- Specific life skills
Appendix

By-Laws of the Faculty and Professional Staff Assembly of the College of Medicine Relating to CAPQ

The narrative below is reproduced verbatim from the By-Laws of the Faculty and Professional Staff Assembly of the College of Medicine, and describes the constitution and function of CAPQ. The complete By-Laws are available online at: http://www.downstate.edu/college_of_medicine/pdf/ByLaws-2012.pdf

Item G ACADEMIC AND PROFESSIONAL QUALIFICATIONS (CAPQ) SUB-COMMITTEE

Membership:
The Sub-Committee on Academic and Professional Qualifications (abbreviated: CAPQ) shall consist of eleven tenured faculty, at least one of whom shall be on the staff of an affiliated hospital. The members of the committee shall be elected in the spring of each year by the FPACM from a slate of candidates presented to FPACM jointly by the Dean and the Committee on Nominations, Elections and Ballots and may be supplemented by nominations from the floor. No more than two Departmental Chairpersons may be elected to membership of the Committee, however, should a member of the committee be promoted to chair, he/she may remain on the committee to serve out his/her term of office. No more than two members of the same Department may serve on CAPQ at the same time unless an exemption is approved by the Executive Committee. Within one month of the presentation of nominees, a mail ballot shall be distributed by the Sub-Committee on Nominations, Elections and Ballots, as outlined in Article IV, Item H, Function d). Members shall serve for three years. Should any member be unable to complete his or her term of office, the Presiding Officer with the consent of the Executive Committee shall appoint a temporary replacement until the next election.

Functions:
a) The Sub-Committee shall establish procedures for its operations and submit such procedures to the Executive Committee for its approval.
b) The Sub-Committee may suggest changes in the criteria for qualifications for each rank and for attainment of tenure to the Faculty and Professional Staff Personnel Policies, Promotions and Appointments Sub-committee and to the Executive Committee for consideration.
c) Procedures of operations and qualification for each rank and attainment for tenure shall be attached to the minutes and be made available in the SUNY-DMC Archives following approval of the Executive Committee.
d) The CAPQ shall review the credentials of individuals presented for appointment and/or promotion to the rank of Associate Professor or Professor and for all individuals presented for continuing appointment (tenure), and make recommendations to the Dean for action.
Procedures for Recommendations for Tenure and Promotion

A recommendation for promotion or tenure may originate from the Departmental Chairperson, or a recommendation for promotion or tenure may originate from a Departmental Promotions and Tenure Committee (the Alternate Route Committee).

Each Department in the College of Medicine must have an Alternate Route Committee. The Alternate Route Committee shall consist of five tenured faculty in departments of 20 or more full time faculty and three tenured faculty in small departments. Committees in departments with fewer than the specified number of tenured faculty shall consist of three tenured or non-tenured faculty. All members of departmental committees shall be elected by the departmental faculty for a term of three years. Departmental chairpersons and members of the CAPQ may not serve on these committees.

A faculty member may request a review by the Alternate Route Committee of her/his academic and professional qualifications and credentials for tenure or promotion at any time with the following exception: only one review per academic year is allowed. The Alternate Route Committee must review the request for promotion and/or tenure and report their findings directly to CAPQ within 60 days of the request. The CAPQ shall take appropriate action and forward its recommendation (whether positive or negative) to the Dean of the College of Medicine.

Affiliated Hospital Procedures for Tenure

Faculty at all affiliates (major, graduate, or limited) should prepare curricula vitae and collect supporting materials, such as letters of recommendation, in accordance with CAPQ guidelines. It is recommended that each affiliate candidate have their application reviewed by the departmental promotions committee and/or Chairman of the corresponding clinical department at SUNY-Downstate in order to determine the suitability of the candidate for the requested title and to assure that the application materials are complete and properly prepared. A letter of recommendation from the promotions committee and/or Chair of the corresponding clinical department at SUNY-Downstate must accompany the candidate's application package.

All affiliated faculty, regardless of the affiliate's classification (major, graduate, or limited) will be reviewed on the basis of their contributions to the SUNY Downstate Medical Center including, but not limited to, research, teaching SUNY Downstate students and residents, service on SUNY Downstate committees, and/or service on committees at their home institution. The CAPQ will determine the "point" value of these activities using current CAPQ guidelines at the time of review and with an understanding of the affiliation type.

Should a faculty member feel that they are qualified for promotion and will not have a supporting letter from the corresponding Chair at SUNY Downstate, a departmental "alternate route committee" from SUNY Downstate can be utilized to provide a letter of recommendation to the CAPQ, in accordance to the guidelines for alternate route committees (see below).

SUNY Downstate committees for governance, including the CAPQ, have positions for faculty from affiliated institutions.

Appeals of Decisions of the CAPQ

1. If the CAPQ turns down an application for promotion or tenure that has been proposed by the Department Chairperson and/or the Departmental Promotions and Tenure Committee
(Alternate Route Committee), then either of these parties may initiate an appeal to the Appeals Board.

2. The Appeals Board shall consist of three voting members. One voting member shall be the Presiding Officer of the Faculty and Professional Staff Assembly; the Presiding Officer Elect shall serve as his or her alternate. The Executive Committee shall select four full professors, two from Basic Sciences Departments and two from Clinical Departments; one from each discipline shall serve as a full member of the Appeals Board and the other shall be the alternate. Members and alternates will serve a one-year term, but are eligible for reappointment by the Executive Committee.

3. The Appeals Board will review the submitted appeals, and each member will make an individual recommendation to the Dean, who will then make the final judgment