

**STATE UNIVERSITY OF NEW YORK
DOWNSTATE HEALTH SCIENCES UNIVERSITY
SCHOOL OF PUBLIC HEALTH**

**SUB-COMMITTEE ON ACADEMIC AND
PROFESSIONAL QUALIFICATIONS (CAPQ)**

POLICIES AND PROCEDURES

1. Constitution and Function of the CAPQ

The Sub-Committee on Academic and Professional Qualifications (CAPQ) is a standing sub-committee of the Executive Committee of the School of Public Health. The constitution and function of CAPQ are described in the By-Laws of the Faculty and Professional Staff Assembly of the School of Public Health.

The CAPQ charge includes reviewing the credentials of colleagues who are presented for appointment or promotion to the rank of Associate Professor or Professor, and who are presented for continuing appointment (tenure). After review, CAPQ makes recommendations to the Dean of the School of Public Health.

2. Membership

A. The Sub-Committee on Academic and Professional Qualifications shall consist of five (5) tenured faculty.

B. Members of the Sub-Committee shall be elected in the Spring by the Assembly from a slate of candidates presented to the Assembly by the Dean and the Sub-Committee on Nominations, Elections and By-Laws.

C. No more than two Departmental Chairpersons may be elected to membership of the Sub-Committee and no more than two members of the same Department should serve at the same time unless an exemption is approved by the Executive Committee. However, should a member of the Sub-Committee be promoted to chair, they may remain on the Sub-Committee to serve out their term of office.

D. Members shall serve for three (3) years. Should any member be unable to complete their term of office, the Presiding Officer with the majority vote consent of the Executive Committee shall appoint a temporary tenured replacement until the next election.

E. If there are insufficient numbers of tenured faculty in the School, members of the Sub-Committee may be faculty whose primary appointment is in a School or College of Downstate outside of the School of Public Health. A maximum of two members of the Sub-Committee may be faculty whose primary appointment is in a School or College of Downstate outside of the School of Public Health.

3. Procedures

A. As specified in the School's Constitution and By-Laws, the Sub-Committee shall establish procedures for its operations and submit such procedures to the Executive Committee for its approval.

B. The Sub-Committee shall elect its own Chair and Vice-Chair. The Chair shall facilitate/lead an agenda-driven discussion and would be the liaison with the Executive Committee. The Chair shall also work with the Senior Executive Director for Administration and Finance to coordinate record keeping, setting and distribution of a meeting agenda, and documenting Sub-Committee proceedings. The Vice-Chair would serve in these roles if the Chair is absent.

C. The Sub-Committee shall review existing criteria of qualifications for each rank and for attainment of tenure in consultation with the Dean and submit recommendations for revisions to such criteria to the Executive Committee for approval.

D. Procedures of operations and recommendations for qualification for each rank and attainment for tenure shall be made available to all SPH faculty.

E. The Sub-Committee shall review the credentials of individuals presented for appointment at the Associate Professor or Professor level and make recommendations to the Dean. Nominations for promotion to Associate Professor or Professor can be made to the Sub-Committee by the Chairperson of that faculty member's Department or by the Chairperson of the Alternate Route Committee.

F. A quorum shall consist of four (4) members.

G. For votes for tenure and/or promotion, three (3) affirmative votes are required.

H. In situations in which the members require additional information beyond what has been submitted in a promotion/tenure package, an ad-hoc fact-finding committee of up to three (3) tenured faculty members will be appointed by the CAPQ, and decisions will be tabled until all requested materials are received. The ad-hoc fact-finding committee shall include SPH or Downstate Assembly members, and may include current members of the SPH CAPQ. Members of the ad-hoc committee cannot be members of the same Department as the candidate.

I. There is no proxy voting. Absences will be considered absent votes. If such votes reduce the number present to below that of a quorum, the vote is not considered official, and the recommendation will be tabled until the next meeting.

J. The CAPQ shall invite the proposing Chairperson (the Chairperson of the Department of the faculty member applying for promotion and/or tenure, or the Chairperson of the Alternate Route Committee) in the case of an underperforming application, but may choose to not invite the proposing Chairperson in the case of the supporting materials providing the basis for an affirmative decision. Requests to meet with the CAPQ initiated by the candidate's Department Chairperson or Chairperson of the Alternate Route Committee shall be honored.

K. Voting will be by secret ballot. CAPQ members will write down their vote on a piece of paper and put the paper in a container. The Chair will pull out all the papers, read the votes, and record the votes in front of the Sub-Committee. In case of non-approval, the reasons will be recorded. These results will be detailed in the CAPQ Recommendation Report and forwarded to the Dean.

L. Members of Departments, including Department Chairpersons, serving on the CAPQ will be included in discussions but excluded from voting on members of their own Departments. If this exclusion reduces the Sub-Committee membership below that required to reach quorum, the SPH Executive Committee will ask a tenured faculty member from SUNY Downstate to participate in the Sub-Committee on an ad-hoc basis. Any current full-time tenured faculty

member at Downstate who is not already on the SPH CAPQ or the SPH Appeals Board is eligible.

M. Materials required by the CAPQ for tenure decisions and for recommendations other than Tenure:

1. A cover letter from the candidate, including brief descriptions of the candidate's approaches to and key accomplishments in research and scholarship, teaching, and professional and community service and leadership.
2. More detailed statements by the candidate on their teaching, research, and leadership and service accomplishments.
3. A Curriculum Vitae, formatted in accordance with instructions provided on the last pages of this document.
4. A letter of recommendation from the Department Chairperson (including an interim Chairperson) or the Chairperson of the Alternate Route Committee. At a minimum, the letter should include a summary of teaching responsibilities over the years, School of Public Health activities, community and institutional service, leadership roles, mentoring, scholarship, and outside research support including source, role, and amount. The letter should address specific qualifications as related to the candidate's appointment and promotion track. The proposing Chairperson should also evaluate syllabi for teaching and learning innovations, contributions to student growth and development, and a summary of student course evaluations.
5. A minimum of five (5) external letters are required for recommendations to the rank of Associate Professor and Professor. External letters are from faculty outside of SUNY Downstate. Letters for promotion to Professor must attest to the candidate having achieved a national reputation. These letters must be written by individuals who have verifiable national or international reputations. A maximum of two of the five external letters can be from former or current scientific / academic collaborators.
6. A minimum of three (3) letters of reference from faculty at SUNY Downstate. Only one of these letters can be from a colleague in the same Department as the candidate's primary appointment. The internal letters of reference should be from faculty members 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 from Professors for those be considered for promotion to Professor).

7. The Chairperson of the CAPQ should be notified by the Department or Alternate Route Committee Chairperson from whom the external letters were requested. It is the responsibility of the proposing Chairperson to solicit these letters. The proposing Chairperson should specify in writing to the external reviewer the candidate's track and clarify to the reviewer the nature of and expectations for promotion on the track being considered, including the School's CAPQ guidelines and point system so that the requirements for the promotion are clear. The external letter writers should be asked for objective measures of the candidate's research, service, and teaching. The candidate can provide suggested names of external letter writers to the proposing Chairperson. It is expected that the Department Chair or the Chair of the Alternate Route Committee will solicit external and internal letters from at least several of the people suggested by the candidate..
 8. Pdfs of 3-5 articles.
- N. All materials should be submitted to the Senior Executive Director for Administration and Finance or equivalent. Once the application package is complete, the Senior Executive Director for Administration and Finance must distribute copies of the package to the Sub-Committee to review, through a folder on OneDrive.
- O. The confidentiality of dossier information shall be respected. Dossier information shall not be circulated beyond the members of the CAPQ, the candidate, the proposing Chairperson, the Alternate Route Committee (if applicable), the Senior Executive Director for Administration and Finance (or equivalent) and the Dean.
- P. With the exception of new hires being offered tenure-eligible positions at the Associate Professor or Professor level, packages will be reviewed in July and February of each academic year. Packages that are complete by June 1 and January 1 will be reviewed at that time. Incomplete packages will be tabled until the next full review. Additional meetings may be held upon request of a Department Chairperson, Chairperson of the Alternate Route Committee or the FAPSA Executive Committee.
- Q. For each action taken by the CAPQ, a letter will be sent to the proposing Chairperson, with copies to the candidate, informing them of the CAPQ recommendation to the Dean. Included with the letter will be procedures for appealing the CAPQ decision, should the decision be negative.

R. All recommendations of the CAPQ are advisory to the Dean of the School of Public Health and to the President of Downstate, and all appointment, promotion and tenure decisions are subject to final approval by the Chancellor. If the Dean rejects a positive recommendation of the CAPQ, the Dean shall put the reasons in writing to the CAPQ, the proposing Chairperson and the candidate.

S. The CAPQ Chairperson or designee compiles proceedings of the CAPQ meetings in the form of minutes. These do not include details of discussions, but include the name of the candidate and the position for which he/she was considered, the substance of a members comments explicitly stating whether criteria were met or not, any concerns about the suitability of the candidate, and voting record giving number for or against. These minutes will be uploaded to OneDrive and forwarded within three weeks of the meeting to the Executive Committee for approval. Minutes shall be available to the members of the CAPQ, the proposing Chairperson, the Alternate Route Committee (if applicable), the Senior Executive Director for Administration and Finance (or equivalent) and the Dean.

4. Appeals of decisions of the CAPQ

If the CAPQ turns down an application for promotion or tenure that has been proposed by the Department Chairperson, then the faculty member and/or Chairperson may initiate an appeal to an Appeals Board. For further details regarding the Appeals Board, refer to the SPH Faculty and Professional Staff Constitution and By-Laws .

5. Alternate Route Committee

A. A recommendation for promotion or tenure may originate from the Alternate Route Committee, if a Departmental Chairperson chooses not to recommend a candidate to the CAPQ for promotion and/or tenure. For further details regarding the Alternate Route Committee, refer to the SPH Faculty and Professional Staff Constitution and By-Laws.

B. The Alternate Route Committee shall elect a Chairperson, assemble dossiers, and review applications from faculty. The Alternate Route Committee shall meet with the candidate's Department Chairperson, review the request for promotion and/or tenure and report their

findings directly to the CAPQ within three (3) months of the request. A letter of recommendation from the Chairperson of the Alternate Route Committee should be addressed to the Chairperson of CAPQ. This letter should include:

1. The level of appointment or promotion being proposed.
2. An appropriate and detailed description of the candidate's qualifications, their role in the Department and contribution to the mission of the Department and the institution.
3. The Committee'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.

6. Non-discrimination and equity in promotion

The composition of the CAPQ shall include diverse representation of faculty members. The CAPQ will implement policies and procedures that promote transparency, clarity, accessibility, and equity in the promotion and tenure process. This includes efforts to make sure that policies are shared and made readily accessible through faculty handbooks and electronically. The CAPQ will ensure that policies and guidelines use language that is clear. Faculty will have the opportunity to meet with a member of the CAPQ to review policies and ask for clarification at any time during the promotion and tenure process without impacting the Sub-Committee's decision. The CAPQ will conduct annual reviews of the faculty promotion and tenure process to ensure that the policies and procedures are applied consistently and are in compliance with SUNY Downstate's non-discrimination policy. The CAPQ will conduct annual reviews of the policies to ensure that they are responsive to the shifting environment and social context. If modifications to the policies are made, this information will be shared with all faculty and applied uniformly. In addition to research, teaching, and service, the CAPQ will consider faculty efforts to promote diversity, equity, and inclusion (DEI), such as mentoring, community outreach, serving on the admissions committee, giving seminars or lectures pertaining to DEI topics, and other efforts to promote DEI at SUNY Downstate or nationally.

7. Faculty Appointment and Promotion Tracks

A. Faculty appointments at the SPH are made in conformance with the SUNY Policies of the Board of Trustees, Article XI, and guidelines established by the CAPQ. The general criteria for

academic appointment and promotion are teaching, research and scholarship, and professional and community service.

B. Within the SPH, there exists a four (4) track appointment and promotion system. Of these, two (2) are eligible for tenure and two (2) are ineligible for tenure.

C. Non-tenure-track faculty appointments are not considered by the CAPQ. Such appointments are proposed by Department Chairpersons to the Dean of the SPH who renders a decision about them.

D. The following is a description of each track:

(a) Academic Track

The academic track is a full-time tenure-eligible track, with expectations that faculty in this track are expected to make substantial contributions in research and/or scholarly activities, to engage in teaching and mentorship, and to contribute to professional and community service.

Promotions in the academic track will be based upon clear and reasonable expectations. The campus titles in this track are the same as the official SUNY titles: *Assistant Professor*, *Associate Professor*, and *Professor*.

(b) Education and Community/Professional Service Track

The Education and Community/Professional Service Track is a full-time tenure eligible track in the SPH for faculty who are expected to make substantial contributions to teaching and to professional and community service. This track is appropriate for faculty whose principal efforts are largely devoted to teaching and professional and community service. Faculty in this track are also expected to be productive in the areas of scholarship/research, but to a lesser degree than those faculty in the Academic Track. Promotions in this track are based on clear and reasonable expectations. The campus titles and official SUNY titles for this track are *Assistant Professor*, *Associate Professor*, and *Professor*.

(c) Research Track

The research track is not tenure-eligible and will be used for faculty whose central contribution to the SPH is almost entirely in the research and scholarly area. Usually, teaching duties will be

very modest. The campus titles and official SUNY titles in this track are *Research Assistant Professor, Research Associate Professor, and Research Professor*.

(d) Voluntary, Adjunct, and Clinical Faculty Track

The purpose of this non-tenure-eligible track is to recognize voluntary and paid adjunct faculty, as well as full-time paid faculty, who participate in the SPH's administrative, service, teaching and research activities. The campus titles for those in this track are the same as in all other tracks. The campus titles and official SUNY titles in this track are *Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor*.

Faculty may, at various points in their careers, decide in conjunction with their Department Chairperson to change from their initial appointment track to another track. Such changes require the concurrence of the faculty member involved and the approval of the Department Chairperson, the Dean, and the President or the President's designee. Faculty members should regularly consult with their Department Chairperson in order to make timely decisions concerning their potential for meeting the requirements established for their current appointment track and/or discuss other options available to them.

The Senior Executive Director for Administration and Finance or the person or equivalent role, shall maintain updated records of the title, Department, status and track of all faculty members, which should be summarized and available for inspection by the CAPQ.

8. Promotion and Tenure Decisions

Promotion and tenure decisions of the CAPQ are guided by a point system in which points are assigned for various types of activities such as teaching, research/ scholarship, professional and community service, and sustained and reliable leadership. The last listed is of great importance for those being considered for the rank of Professor and encompasses mentorship of junior faculty in both research and teaching. Candidates being considered for the rank of Professor must have achieved a national or international reputation in areas appropriate to their track.

A. RESEARCH/SCHOLARSHIP

Level:

1. The candidate participates in scholarship/research leading to publications in peer-reviewed journals and contributes to peer review of scholarship/research.
2. In addition to **Level 1**, the candidate serves as principal investigator and/or team leader on research projects in a scholarship/research program that focuses on well-defined domain or domains of public health. The candidate shows evidence of research independence and leadership with primary and/or senior authorship in peer-reviewed journal publications with a steady or improving rate, conference presentations, and/or continued efforts in procuring extramural research funding to support research. The candidate's publications have steady or improving quality as measured by article citations, higher quality journals, evidence that work has impacted public health policy or practice, or other evidence of research impact
3. In addition to **Level 2**, the candidate supervises independent, productive investigative/research programs that address major and significant research questions and supervises students and postdoctoral fellows. The candidate has a solid record of original and important publications in high quality peer-reviewed journals. The candidate demonstrates evidence of respect by independent experts through, for example, letters of recommendation, invited lectures, authorship or co-authorship of standard textbooks, service on federal advisory groups, service on federal or private foundation grant study sections, service on editorial boards of high-impact journals, competitively awarded grant support sufficient to support work, and citation of published work.
4. In addition to **Level 3**, the candidate is nationally or internationally recognized for contributions or comparable distinction as a scholar and recognized as having had a major influence on their field.

B. TEACHING

Level:

1. The candidate participates in their Departmental teaching program. Teaches competently, effectively, and with commitment, mentors student research through degree capstone projects and relates well to students and other faculty and staff members.
2. In addition to **Level 1**, the candidate demonstrates strong commitment and provides evidence of effectiveness as a high-quality instructor through, for example, implementation of evidence-based effective and/or innovative teaching practices, student and Department Chairperson evaluations, teaching awards or recognition, and/or review of teaching, syllabi, and online materials, and mentorship of graduate student, resident, fellow, and/or junior faculty research publications and presentations.

3. In addition to **Level 2**, is a nationally or internationally recognized as an expert in education relevant to their field of public health through, for example, publication, presentation and evaluation of educational innovations, participation in educational task forces or advisory committees and other education-focused initiatives, textbook authorship.

C. PROFESSIONAL AND COMMUNITY SERVICE AND LEADERSHIP

Level:

1. The candidate participates in a variety of service activities of both a professional and community-based nature. The candidate makes contributions to the governance of the SPH, including service on committees, and accepts and appropriately performs assigned administrative responsibilities within the SPH.

2. In addition to **Level 1**, the candidate demonstrates excellent performance in professional and community service activities. The candidate demonstrates ability to appropriately initiate extramural collaborations of mutual benefit to the SPH and its professional or community partners. The candidate contributes to extramural activities such as membership in community health initiatives, coalitions, or partnerships.

3. In addition to **Level 2**, the candidate demonstrates extensive activities partnering the SPH with community organizations and ability to lead community-based initiatives. The candidate serves on Downstate and SPH committees, external professional organizations, and editorial boards. The candidate demonstrates leadership in high administrative responsibilities with reliability and dependability when called upon to do so. The candidate demonstrates willingness and ability to mentor junior faculty in the areas of research, teaching and service..

4. In addition to **Level 3**, the candidate is nationally or internationally recognized for being an outstanding leader in community and professional service activities (e.g., leadership in national organizations, testimony to government agencies).The candidate demonstrates outstanding administrative leadership that is reliable and dependable, and which wins the high respect of peers and superiors, when called upon to do so.The candidate demonstrates outstanding abilities as a mentor for junior faculty members, and achieves wide respect for mentoring activities.

9. Point Distribution Requirements

The number of points listed before each category (such as Research, Teaching or Service) represent the minimum required for that category. The minimum number in parentheses at

the end of the line represents the total minimum score for promotion or appointment to that rank.

1. ACADEMIC TRACK

Associate Professor: 2 Research/Scholarship; 1 Teaching; 1 Service and Leadership (min=5)

Professor: 3 Research/Scholarship; 1 Teaching; 2 Service and Leadership (min=7)

2. EDUCATION AND COMMUNITY/PROFESSIONAL SERVICE TRACK

Associate Professor: 1 Research/Scholarship; 2 Teaching; 2 Service and Leadership (min=5)

Professor: 1 Research/Scholarship; 3 Teaching; 2 Service and Leadership (min=7)

3. RESEARCH TRACK

Research Associate Professor: 2 Research/Scholarship; 1 Teaching; 0 Service and Leadership (min=3)

Research Professor: 3 Research/Scholarship; 1 Teaching; 0 Service and Leadership (min=5)

4. VOLUNTARY, ADJUNCT, AND CLINICAL FACULTY TRACK

Clinical Associate Professor: 1 Research/Scholarship; 1 Teaching; 1 Service and Leadership (min=3)

Clinical Professor: 1 Research/Scholarship; 1 Teaching; 1 Service and Leadership (min=5)

**10. Guidelines for Preparing a Curriculum Vitae and Other Supporting Documentation:
Sub-Committee on Academic and Professional Qualifications**

The Curriculum Vitae (CV) should be prepared using the structure and sequence shown in the following section (“Curriculum Vitae: Required Format”). It is critical for the Sub-Committee’s review that information be organized into the following categories: Demographics, Background Information, Teaching, Service and Leadership, and Research/Scholarship. The CV and supporting materials must clearly address the CAPQ requirements and guidelines. This helps the Sub-Committee to identify relevant contributions in each area.

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 or already published.
- Do not duplicate entries (e.g., by listing both a spoken presentation and the published abstract from the same meeting).

Teaching

- Specify the level (e.g. MPH, DrPH, certificate, medical students, residents, fellows) and the nature of the teaching (e.g. lecture, conference, laboratory, rounds, course director).
- Specify dates (at least by identifying the semester and calendar year), the number of contact hours or credits and the courses.

Professional and Community Service and Leadership

- Distinguish between appointed and elected positions.
- Provide dates (at least by identifying years) for service commitments.

Do not duplicate 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

All information under each category should be presented with the most recent information first, and the oldest information last.

Section 1: Background Information

Personal Information

- Name
- Mailing Address
- E-mail Address
- Telephone: Home, office, mobile

Education

Degrees

- Last Terminal degree achieved (PhD, DrPH, MD, other), by institution and graduation date
- Graduate degrees, by institution and graduation date
- Undergraduate, by institution and graduate date

Training (with date and title/institution)

- Post-doctoral
- Residency
- Fellowship
- Internship/clerkship

Additional education, Licensures, Certifications (with date and title/institution)

- Courses
- Specialty seminars
- Licensures
- Certifications

Appointments

Academic

- Title

- Dates

Other Appointments, including clinical/hospital

- Title
- Dates

Awards and Honors

- Name and Dates

Society Memberships

- Name and Dates

Section 2: Teaching

Courses given

- Course title / Course number / number of credits
- Role in course
- School or Program; Department within that School or Program
- Course type (elective or core)
- Dates

Courses developed

- Course title / Course number / number of credits
- School or Program; Department within that School or Program
- Course type (elective or core)

Educational lectures /Guest speaker (non-research)

- Course title
- Course instructor
- Topic
- School or Program; Department within that School or Program
- Date

Grand Rounds

- Subject
- Date
- Audience
- School or Program; Department within that School or Program

Mentoring

- Mentee name
- Dates of mentoring
- Mentee level (undergraduate, masters, doctoral, postdoctoral)
- Title of project/thesis
- Your role (e.g., program advisor, doctoral dissertation / master's thesis chair, committee member)
- Impact / Mentee success/current position

Other teaching accomplishments

Section 3: Professional and Community Service and Leadership

Institutional Service (standing or appointed committees)

- Name
 - Role / Office held
 - Appointed, elected, voluntary service
- School or Program; Department within that School or Program
- Date

Other Institutional Service (workgroups, advisory groups, ad hoc groups)

- Name
 - Role
- School or Program; Department within that School or Program
- Date

Professional organization leadership

- Name
- Role / Office held
- Appointed, elected, voluntary service
- Date

Community organization leadership

- Name
- Role / Office held
- Appointed, elected, voluntary service
- Date

Other leadership (e.g., testimony to government agencies, etc.)

Section 4: Research and Scholarship**Research Support****Research and Scholarship Grants**

- Project Number, PI, Dates of Funding period
- Funding agency/organization
- Project title
- Brief project description
- Role on project
- Total dollar amount across entire funding period (in direct costs only; exclude indirect costs)

Non-Grant Supported Research

- Project Number, PI, Dates of Funding period
- Project title
- Brief project description
- Role on project

Publications (Your name in Bold, in AMA or APA citation format, list each type of publication below separately and under its own heading)

Peer reviewed articles

Books

Chapters

Other / non-peer reviewed publications (editorials, letters to the editor, commentaries)

Conference Abstracts and Presentations

- Title of presentation
- Name of meeting
- Role on abstract/presentation (lead author, presenter, co-author)
- Type of presentation (oral, abstract, panel)
- Dates

Invited Conference Lectures and Talks (excludes teaching or lectures in courses)

- Title of presentation
- Location
- Dates

Journal Peer reviewer

- Journal
- Date

Editorial board

- Journal
- Date

Study section member

- Organization
- Study Section Name/Number
- Role
- Dates

Section 5: Other achievements, activities and skills not listed above

- Type of activity/achievement
- Dates
- Brief description of how this activity / achievement relates to the goals and mission of the SPH