**STATE UNIVERSITY OF NEW YORK
DOWNSTATE MEDICAL CENTER
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 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, he/she may remain on the Sub-Committee to serve out his/her term of office.

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 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. 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 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 its approval.

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

D. 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 an Appeals Board.

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

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

G. 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 will be appointed by the CAPQ, and decisions tabled until all requested materials are received.

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

I. The proposing Chairperson may be invited to meet with the CAPQ prior to voting. In no instance will the CAPQ certify a negative action without prior opportunity of the proposing Chairperson to address the Sub-Committee. However, in cases in which the submitted materials are of such outstanding character as to provide a sufficient basis for an affirmative decision, the Sub-Committee may forego the Chairperson's visit. In no instance will a Chairperson who specifically requests to meet with the Sub-Committee regarding a recommendation be deprived of that opportunity.

J. Voting will be by secret ballot and the results will be recorded. In case of non-approval, the reasons will be recorded. These results will be forwarded to the Dean.

K. Members of departments serving on the CAPQ will be included in discussions but excluded from voting on members of their own departments. If this exclusion brings the Sub-Committee below the required quorum, a tenured faculty member from SUNY Downstate may be asked to participate in the Sub-Committee on an ad hoc basis.

L. Materials required by the CAPQ for tenure decisions and for recommendations other than Tenure:
- A cover letter from the candidate including a statement on teaching, research, and leadership and service accomplishments.
- Curriculum vitae, formatted in accordance with instructions provided on the last pages of this document.
- A letter of recommendation from the Department Chairperson. 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 Chair should also include observations of teaching, evaluation of syllabi and exams based on peer review, teaching and learning

innovations, contributions to student growth and development (e.g., job placements and career achievements), and a summary of student course evaluations.

- A minimum of five 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 themselves have verifiable national reputations. In addition to these five external letters, faculty can choose to include a maximum of two letters from former or current scientific / academic collaborators.

- A minimum of three 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 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).

- The Chairperson of the CAPQ should be notified by the Department Chairperson from whom the outside letters were requested. It is the responsibility of the Department Chairperson to solicit these letters.

- A letter from the candidate briefly describing approaches to and key accomplishments in research and scholarship, teaching, and professional and community service and leadership.

- Reprints of 3-5 articles.

M. All materials should be submitted to the Associate Dean for Administration. Once the application package is complete, the Associate Dean for Administration will distribute copies of the package to the Sub-Committee to review.

N. 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.

O. For each action taken by the CAPQ, a letter will be sent to the Department Chairperson, with copies to the candidate, informing them of the CAPQ recommendation to the Dean.

Included with the letter will be procedures for appealing to the CAPQ decision, should the decision be negative.

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. An Appeals Board can also serve as an Alternate Route committee, in instances where the Department Chairperson is unwilling to propose an applicant for promotion or tenure. For further details regarding the Appeals Board, refer to the SPH Faculty and Professional Staff Constitution and By-Laws document.

5. **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 tenure eligible and two (2) are non-tenure eligible.

C. Non-tenure-track faculty appointments do not come to the CAPQ for consideration. Such appointments are proposed by Departmental Chairs 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 non-tenure eligible and will be used for faculty whose <u>central</u> 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 Chair 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 Chair, the Dean, and the President or his designee. Faculty members should regularly consult with their Department Chair 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.

6. 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. Those 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. Participates in scholarship/research leading to publications in peer-reviewed journals, contributes to peer review of scholarship/research.

2. In addition to **Level 1**, conducts a focused scholarship/research program with steady or improving rate and quality of publications in peer-reviewed journals (e.g., article citations, publications in higher quality journals, evidence of leadership on published work (primary and senior authorships), evidence that work has impacted public health policy or practice); evidence of research independence (e.g., leadership on research initiatives, continued efforts in procuring research funding to support research, conference presentations, service as principal investigator and/or team leader on research projects).

3. In addition to **Level 2**, supervises independent, productive investigative/research programs; addresses major and significant problems; solid record of original and important publications in high quality peer-reviewed journals in one's field; attracts students and fellows; evidence of respect by independent experts (e.g., letters of recommendation, invited lectures, authorship or co-authorship of standard textbooks, federal advisory groups and study sections, competitively awarded grant support sufficient to support work, and citation of published work).

4. In addition to **Level 3**, is nationally or internationally recognized for contributions or comparable distinction as a scholar; recognized as having had a major influence on his/her field.

B. TEACHING

Level:

1. Participates in the departmental teaching program. Teaches competently, effectively, and with commitment. Relates well to students and other faculty and staff.

2. In addition to **Level 1**, demonstrates strong commitment and provides evidence of effectiveness as a high quality instructor (e.g., student and departmental chairperson evaluations, teaching awards or recognition, review of teaching, syllabi, and on-line materials, participation in mentorship initiatives), assumes substantial teaching and student mentorship responsibility, uses innovative and evidence-based methods of instruction, maintains a significant amount of responsibility for course planning, development, and administration.

3. In addition to **Level 2**, is a nationally or internationally recognized as an expert in public health education (e.g., publication and presentation of educational innovations, participation in educational task forces and other education focused initiatives, textbook authorship).

C. PROFESSIONAL AND COMMUNITY SERVICE AND LEADERSHIP

Level:

1. Is involved in a variety of service activities of both a professional and community-based nature. Makes contributions to the governance of the SPH, including service on committees. Accepts and appropriately performs assigned administrative responsibilities within the SPH.

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

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

4. In addition to **Level 3**, is nationally or internationally recognized for outstanding community and professional service activities (e.g., leadership in national organizations, testimony to government agencies). Demonstrates outstanding administrative leadership that is reliable and dependable, and which wins the high respect of peers and superiors. Demonstrates outstanding abilities as a mentor for junior faculty, and achieves wide respect for mentoring activities. Performs as an outstanding leader in community public health initiatives.

7. <u>Point Distribution Requirements</u>

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)

<u>Guidelines for Preparing a CV and Other Supporting Documentation:</u>
<u>Sub-Committee on Academic and Professional Qualifications</u>

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 Sub-Committee's review that information be organized into the following categories: Demographics, Background Information, Teaching, Service and Leadership, and Research/Scholarship. The curriculum vitae 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 double-up entries (e.g., by listing both a spoken presentation and the published abstract from the same meeting).

Teaching
• Specify the level (e.g. medical students, residents, MPH, DrPH) and the nature of the teaching (e.g. lecture, conference, laboratory, rounds, course director).
• Specify dates (at least by identifying the years), 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 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.

<center>**Curriculum Vitae: Required Format**</center>

<center>**All information under each category should be presented with the most recent**</center>

<center>**information first, and the oldest information last.**</center>

Section 1:   Background Information

Personal Information

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

Education

Degrees

- Last degree achieved (MD, PhD, 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)

- Fellowship
- Residency
- Internship
- Post-Doctoral

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

<u>Courses given</u>

• 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

<u>Courses developed</u>

• Course title / Course number / number of credits

• School or Program; Department within that School or Program

• Course type (elective or core)

<u>Educational lectures /Guest speaker (non-research)</u>

• 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

<u>Professional organization leadership</u>

• Name

• Role / Office held

• Appointed, elected, voluntary service

• Date

<u>Community organization leadership</u>

• Name

• Role / Office held

• Appointed, elected, voluntary service

• Date

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

Section 4: Research and Scholarship

<u>Research Support</u>

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