

APPOINTMENTS, PROMOTIONS,

and

TENURE MANUAL



UNC
GILLINGS SCHOOL OF
GLOBAL PUBLIC HEALTH

The UNIVERSITY of NORTH CAROLINA *at* CHAPEL HILL

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Appointment, Promotion and Tenure Policies

Hiring a New Faculty Member

Position authorization is required to ensure appropriate oversight on the part of the Dean. Therefore, searches for a new faculty, to include tenure-track/tenured and fixed-term at the rank of Associate and Full may only begin after the Dean has approved the search in writing. Additionally, when beginning a recruitment and search process be especially careful to observe all guidelines by the Equal Opportunity Office.

I. General Policies on Appointments, Promotions and Tenure

- A. New appointments to the tenure track ranks should be proposed only when necessary and appropriate for the total academic program of the department and the school. Tenure-track appointments should not be made simply to satisfy the requirements of a particular project.
- B. Any appointment, reappointment or promotion that will result in tenure should be given careful attention and consideration. Tenure is not a right but a privilege that is conferred at the discretion of the University. Each recommendation that confers tenure shall be based upon considerations of the candidate's demonstrated professional performance and of the needs and resources of the University.
- C. Joint appointments can occur between departments within the School of Public Health or between the School of Public Health departments and departments located in other schools within the University of North Carolina at Chapel Hill. Joint appointments are encouraged to facilitate inter-disciplinary research, teaching and practice, achieve important departmental goals and enable departments to acquire needed expertise.

Whenever a joint appointment is proposed, a primary department and a secondary department must be proposed. The primary department is the faculty member's administrative home. The primary department has ultimate responsibility for the faculty member's salary and for initiating reappointment, promotion and tenure actions. The primary department should consult with the joint department regarding these actions.

The percent of time that a jointly appointed faculty member can spend in the secondary department can vary from 5% to 50%. Also, the percent salary paid by the secondary department also can vary, from no salary coverage, to up to 50%.

Applications for joint appointments at the rank of associate professor or professor are reviewed by the School's Appointments, Promotions and Tenure Committee. The Chair's letter should clearly indicate the following: which department is primary and responsible for the faculty member's salary, expectations for the faculty member within the School and proposed role for the faculty member in the School of Public Health department. Most confusion regarding joint appointments arises,

because the Chair is imprecise about expectations for the faculty member and the rationale for the joint appointment.

Applications for joint appointments within the School of Public Health must conform to the School's criteria and procedures as specified in this manual. If a candidate for joint appointment had external letters of evaluation provided for the primary appointment, new external letters need **not** be provided with the package that is reviewed by the Appointment, Promotions, and Tenure Committee.

- D. Departmental transfers sometimes are necessary due to the changing academic needs of a faculty member and the primary department. A departmental transfer can occur within the School of Public Health, between a School of Public Health department, a department located in another school, or another school. As departmental transfers place continuing obligations on the School, the Chair of the appointing department should obtain approval from the Dean prior to initiating the transfer. Criteria to be considered are similar to those listed above in paragraphs 1-3 above. If the academic rank of the departmental transfer is at associate professor or professor, the required documentation is the same as that for appointment at the proposed rank. The application must be reviewed by the School's Appointments, Promotions, and Tenure Committee and approved by the Dean.

II. Types of Appointments

Appointments, promotions, and tenure in the School of Public Health are governed by University regulations in: The Faculty Code of University Government; Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill and, Academic Personnel (<http://hr.unc.edu/EPA/faculty/index>). These documents are incorporated herein by reference and in case of conflict; the policies set forth therein are to be considered governing. A general description of appointment at each rank is as follows:

A. Tenure-Track Appointments

1. *Professor*--Appointment or promotion to the rank of professor confers permanent tenure.
2. *Associate Professor*--Promotion to the rank of associate professor from the rank of assistant professor confers permanent tenure. Appointment to the rank of associate professor is for a probationary period of five years. Under exceptional circumstances, an initial appointment with permanent tenure may be made.
3. *Assistant Professor*--Appointment to the rank of assistant professor, or promotion to the rank of assistant professor from the rank of instructor, is for a probationary term of four years, and subsequently reappointed for a probationary term of two years. A faculty member is no longer required to spend the seventh year at the assistant professor rank, he/she can be promoted immediately after the action has been reviewed and approved by the Board of Trustees. Therefore, six years is the usual time to serve as assistant professor. However, there may be a special circumstance that warrants the use of the seventh year, in such cases the Department Chair must explain this in the letter of recommendation. A second reappointment at the assistant professor rank confers tenure. Reappointment at the rank of assistant professor following expiration of the second probationary term should be made only in clearly exceptional circumstances.
4. *Instructor*--This rank is appropriate for persons for whom there is a reasonable expectation that in the normal course of events he or she will progress to the regular rank of assistant professor. The appointment is for a probationary term of one year, renewable for three additional successive one-year terms: a total of four years. No reappointment beyond four years is allowed.

Tenure-track appointments can be for 12 months of the year or for 9 months. Both are considered full-time appointments. The schedule of review for promotion is the same for 9- and 12-month appointments. The documentation required for these appointments can be found in [Appendix 2a](#).

B. Non Tenure-Track, Fixed-Term Appointments

Faculty in the fixed-term ranks described below provide important services and activities to departments and to the School. Because fixed-term contracts are of limited duration, employing faculty in these ranks gives departments and the School flexibility that is not possible with tenure-track appointments. Therefore, the School encourages departments to employ fixed-term faculty when it is appropriate to do so.

1. Lecturer

Appointment to the lecturer rank may be made for a fixed term of one to five years. The following guidelines and policies apply to lecturer appointments:

- a. the individual primarily will be engaged in teaching activities;
- b. appointments may be renewed (i.e. reappointed) for fixed terms of one to five years;
- c. the individual may not acquire tenure by virtue of initial appointment or reappointment to the lecturer rank;
- d. the individual may not be promoted within this rank, but may receive salary increases;
- e. the amount of time that an individual contributes to university-related activities may vary from 5% to 100% effort.

2. Clinical Appointments

This category includes: clinical professor, clinical associate professor, clinical assistant professor, and clinical instructor. The following guidelines and policies apply to clinical appointments:

- a. In the clinical track, the individual will be engaged in one or more of the following types of activities:
 - (1) teaching;
 - (2) providing a practice or service activity;
 - (3) supervising students in clinical or field settings.
- b. The individual may be given an initial appointment of one to five years and may be renewed (i.e. reappointed), for fixed terms of one to five years.
- c. The individual does not have, and may not acquire, tenure by virtue of initial appointment or reappointment to a clinical rank.
- d. The individual may be promoted within the clinical ranks based on the appropriate criteria specified in this manual (see Section VI. A., below)
- e. The amount of time that an individual contributes to university-related activities may vary from 5% to 100% effort.
- f. Appointment or promotion to the rank of clinical associate professor or clinical professor must be reviewed and approved by the School's Appointments, Promotions, and Tenure Committee.

3. Research Appointments

This category includes: research professor, research associate professor, research assistant professor, and research instructor. The following guidelines and policies apply to research appointments:

- a. The individual will be engaged primarily in research activities. However, he or she may be assigned as the primary instructor of a course, may co-teach a course, or may be invited to give guest lectures in courses.
- b. The individual may be given an initial appointment of one to five years, and may be reappointed for a fixed term of one to five years.
- c. The individual does not have, and may not acquire, tenure by virtue of initial appointment or reappointment to the research ranks.
- d. The individual may be promoted within the research ranks based on the appropriate criteria specified in this manual (see Section VI. B., below). The steps that a promotion within the research ranks must go through are specified in Section VI of this manual.
- e. The amount of time that an individual contributes to university-related activities may vary from 5% to 100% effort.
- f. Appointment or promotion to the rank of research associate professor or research professor must be reviewed and approved by the School's Appointments, Promotions, and Tenure Committee.

4. Professor of the Practice Appointments

This fixed-term category requires prior approval from the Dean. This category is intended to match more accurately than any of the existing fixed-term designations the nature and scope of the mission for senior individuals who are field-specific experts from outside of academia that we may occasionally attract to the campus. Such individuals typically are successful professionals in the given field, whose contribution to teaching, research or service upon joining the university community has its foundation in their prior nonacademic achievements. Hence, the existing fixed-term prefix modifiers (i.e., clinical and research) are either inaccurate as to their qualifications or may fail to capture their duties or the seniority of the position.

The professor of the practice designation generally will have an associated field identifier in the title, such as Professor of the Practice of Public Health or a specific discipline such as Professor of the Practice of Biostatistics. In some cases, the field designator may be crafted to recognize interdisciplinary interests such as a Professor of the Practice of Health Communications. It is intended that the professor of the practice designator be used primarily to facilitate the recruitment of senior individuals to the School for specified periods of time. The individual may be given an initial appointment of one to five years and may be reappointed for fixed terms of one to five years. The professor of the practice category is intended for full-time, salaried appointments, or at the very least, half-time salaried appointments.

The professor of the practice title is not intended to replace existing fixed-term designators. Professor of the practice may not be used for individuals on the tenure track whose basis for promotion or tenure is practice.

Appointments as assistant professor of the practice or associate professor of the practice are not authorized.

5. Adjunct Ranks

This category includes: adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor. Guidelines and policies that apply to adjunct appointments include the following:

- a. The individual is employed outside the university or has a primary appointment in a university unit different from that making the adjunct appointment. The individual has limited responsibilities in the department making the adjunct appointment. The individual may occasionally be involved in teaching, research, practice or service activities. The individual does not receive regular salary from the appointing department but may in some instances receive compensation for specific services or activities performed. In the case where an individual is employed full-time by the university, and receives a salary on that basis, the individual would not usually be eligible to receive additional compensation from the department making the adjunct appointment.
- b. Special faculty members who are unpaid may be appointed for a specified term of service or at will.
- c. The individual does not have and may not acquire tenure by virtue of initial or reappointment to the adjunct ranks.
- d. The individual may be promoted within the adjunct ranks based on appropriate criteria that relate to the individual's functions in the appointing department.
- e. The title "adjunct" connotes a part-time commitment of the individual to the appointing department.

C. Visiting Appointments

These appointments are normally offered to individuals of faculty rank who are here for temporary periods of one year, renewable for another term up to one year with the maximum allowable time of two years in a visiting capacity. In situations where further renewals are desired, appointments to one of the tenure-track ranks or one of the non-tenure-track ranks should be considered.

III. Standards for Appointments and Promotions: Tenure-Track Ranks

A. General

There are three major elements that are at the core of our mission, and therefore determine the major criteria by which appointments, promotion and tenure are judged:

1. Research, or the creation of new knowledge pertinent to public health;
2. teaching, or the dissemination of knowledge to students, health professionals and the public; and
3. practice, or the advancement of the innovative application of knowledge (and evaluation of the impact of this application) to enhance the health of the public.

It is expected that before being granted tenure, all faculty members will demonstrate an impact upon research or practice, and will make important contributions in teaching. Each department within the school needs to excel at these tasks as well, and it is important that the Dean, Department Chair and the faculty member define individual milestones that need to be reached to be judged excellent as a part of the intellectual community of the department and the school. In addition, it is important that the faculty member contribute to the department, school, university, profession, and community through professional and public service appropriate to the rank.

Each of these elements used for evaluation for appointments, promotion and tenure are explained below in [Section V](#). Please review the flow charts for tenure-track appointments listed [Appendix 10](#) for an overview of the review process.

B. Demonstrated Impact

Research and Practice

Faculty are expected through their research and practice to impact (and have the potential to impact) improvements in the health of the public or to advance the science and practice of the discipline. The impact of faculty research and practice is evaluated formally at recruitment, annual review, and at the time of promotion and tenure decisions. The Career Focus Statement prepared by the faculty member (and reviewed by the Department Chair) should explicitly state what knowledge they created or applied and what impact it has had or may likely have in the future. Numbers of publications weighted by the impact factor of the journals they appeared in, participation on national panels, national presentations, major interventions directed, policy changes accomplished, and peer-reviewed funding can all be supporting measures for this assessment; this listing is not all-inclusive. The ultimate assessment of impact is the advancement of the public's health that can be attributed to the contributions of the faculty member.

Teaching

Teaching excellence is assessed through an evaluation of the currency and relevance of the content, the effectiveness and efficiency of delivery, and whether students are learning how to think critically and solve problems. Innovation, adoption of course materials by others, contributions to teaching methodology, all can be supporting measures for this assessment, but this listing is not all-inclusive. The teaching portfolio is the primary source document employed by reviewers to assess teaching excellence.

C. Other Factors

The capacity to sustain and build collegial relationships is an important marker of excellent faculty members. They build teams that effectively work together and they catalyze others to reach optimal performance. They collaborate in research and practice. They involve and mentor students but do not exploit them. They find a substantial part of their reward in the success of other people whose work they have facilitated or stimulated. They are seen as assets by the department, school, university and national organizations because they can lead, reach consensus, and motivate others.

The decision for appointment, promotion and tenure will examine what faculty accomplish in the absence of external cues and incentives. Faculty members should exceed the required norm of performance: They should be leaders who make new programs happen; innovate, rather than follow, and are influential at the national level. Outstanding faculty and departments build programs beyond narrowly defined areas. They have expanding, rather than contracting, domains of personal learning and expertise; and they deliver on academic commitments in a timely and high-quality manner.

Faculty members are expected to treat others with courtesy and respect. They are expected to maintain high moral and ethical standards that bring credit to the School and to the University.

D. The Tenure-Track Ranks

The impact of the work of a faculty member is expected to increase as rank increases. The expectations for each tenure-track rank are as follows:

1. *Instructor*--Persons appointed to the instructor rank should have the potential for promotion to the assistant professor rank, and should normally hold either the terminal degree or be actively working toward the achievement of the terminal degree.
2. *Assistant Professor*--Persons may be promoted from instructor to assistant professor upon satisfactory performance in the rank of instructor. Initial appointments at, or promotions to, the rank of assistant professor should be made only to persons who show promise for promotion to higher ranks, and should be made only to persons who hold the terminal degree.

3. *Associate Professor*--Appointment or promotion to associate professor should be considered only for those who have, without question, demonstrated outstanding ability in discharging responsibilities without supervision. Self direction and independent scholarship are marks of academic maturity. Assistant professors who are proposed for promotion to associate professor with tenure, or those newly recommended for appointment as associate professor must show excellence in either research or practice, evidence of high quality teaching, and adequate service. The faculty member must be able to show how his or her work collectively has led, or is likely to lead to, improved public health. Those being proposed for the rank of associate professor must also demonstrate that they are on a course for national leadership in their discipline.

4. *Professor*--Appointment or promotion to the highest rank should be reserved only for those who have demonstrated sustained achievement and outstanding character. Candidates must have obtained national recognition and must have demonstrated sustained and high quality accomplishment in teaching, and sustained excellence in either research or public health practice. In addition, candidates must have demonstrated sustained contributions in professional and public service. Those being proposed for promotion to professor must clearly demonstrate how their work has enabled improvement in the public's health or the advancement of the science or practice of their discipline. Candidates for professor must be able to clearly demonstrate that they are national leaders in their discipline and/or in public health.

IV. Specific Criteria for Appointments and Promotions: Tenure-Track Ranks

A. Teaching

In the School of Public Health, teaching occurs in a variety of settings and a variety of ways. While teaching does occur in the traditional classroom, it also occurs in a number of other less traditional and less obvious settings both for residential and distance education students. Even in classrooms, teaching may involve less traditional methods such as team teaching, the use of small groups of students, and the use of new teaching technologies such as the Internet. Teaching also occurs in research laboratories, in the context of research projects, and in practice settings. Teaching also occurs when faculty supervise master's theses, doctoral dissertations, other forms of student directed research, and field training activities. Furthermore, teaching occurs in the faculty-student academic advising process. Faculty in the School of Public Health also do a considerable amount of continuing education in the form of workshops, short courses, etc. For the purposes of promotion and tenure, continuing education is considered to be within the "teaching" category.

Teaching has three components: process, content and outcomes. Process is how one teaches, i.e., the use of a variety of appropriate and up-to-date teaching methods; content is what one teaches, and outcomes are the result or the impact of teaching on the student (i.e., what the student learns or can do as a result of teaching).

It is the responsibility of each tenure-track faculty (and appropriate fixed-term faculty) to develop and maintain a teaching portfolio. This portfolio should be updated annually, and should be presented at the time of promotion and tenure. For promotion and tenure in the School of Public Health, all three components of teaching, i.e., process, content and impact, should be evaluated and documented.

Evidence of high quality teaching can be demonstrated by including the following types of materials and information in the teaching portfolio:

Process

1. Documentation of the courses taught, including continuing education courses, for the preceding four years, with numbers of students involved. Evidence of innovative approaches to teaching should be included.
2. Numbers of undergraduate, master's and doctoral students advised or supervised. Evidence that student advising is effective; this includes, but is not necessarily limited to, academic advising and supervision of student research and field training experiences.
3. Evidence of successfully mentoring undergraduate and/or graduate students through the honors paper, thesis, or dissertation process.
4. Scope of teaching activities such as size and level of teaching load, and any exceptional responsibilities undertaken, e.g., teaching more than the "usual" or standard load for the department.

5. Evaluation by students of courses taught including a summary statement, tables, or charts, indicating how the numerical evaluations have progressed over time and how they compare to other faculty in the department.

Content

6. New developments in the discipline should be reflected in course content.
7. Development of content or synthesis of existing content that affects how the discipline is taught.
8. Evidence that teaching methods and course content are periodically peer-reviewed. Peer review includes the following (done by senior faculty, or other outside experts): classroom visitations, review of course syllabi and other related materials, and review of student evaluation of teaching.

Impact

9. Evidence of impact of all forms of teaching (e.g. classroom and distance education teaching, supervising students in research and field experiences, academic advising, and continuing education) on the professional careers of former students, colleagues, and junior faculty.
10. Evidence of annual self-evaluation of teaching.

In addition to the above minimum requirements, high quality teaching can be demonstrated by presenting the following types of materials and information:

11. Documentation of activities in curriculum and program development.
12. Evidence of innovation in teaching methods, course content, other learning experiences, curriculum development or revision, and use of appropriate technology.
13. Evidence that contributions to teaching are being adopted or are affecting teaching programs at other institutions.
14. Evidence that teaching has a significant impact on students beyond what is considered usual or normal.
15. Awards received in recognition of outstanding teaching.
16. Publication and adoption of textbooks.
17. Invitations from other institutions to serve as lecturer, trainer, or visiting professor.
18. Invitations to serve as consultant in educational programs and methods.
19. Grants to support instructional activities (where these can be construed as an individual faculty member's accomplishments).
20. Grants to support research activities which also have some impact on teaching; e.g., research grants which involve students, or where new laboratory equipment is also used for teaching purposes.

Responsiveness and Collaboration

21. Evidence of capacity to sustain and build relationships and teams for teaching.
22. Engagement in collaborative interdisciplinary teaching.
23. Contributions to department and School teaching missions.

Support Structure

24. Contributions to teaching support structures of the department and School.
25. Mentoring and advising of junior faculty and students.
26. Participation in programs (certificate programs, executive education, workshops) directed to enhancing skills of practitioners.
27. Evidence of leadership in the design, delivery and evaluation of teaching programs that catalyze others to achieve their maximum potential.

B. Research

Research is defined to include the systematic collection and analysis of information for the generation of new knowledge or for solving important public health problems. Included under research are studies which involve laboratory, field, clinic, library and other sources of information. Also included are studies which are conducted in collaboration with public or private organizations and/or communities for the purpose of helping them assess public health problems, ensure the delivery of public health services, ensure the quality of health services, or develop public health policies.

Excellence in the creation of new knowledge is assessed by the following:

Quality of Research

1. The research area is judged by others to be important relative to the faculty member's discipline or the health of the public.
2. Research attributable to the faculty member represents a contribution moving a discipline forward. For collaborations, the portion of the work attributable to the investigator represents a major contribution moving a discipline forward.
3. Publications in high quality, high impact journals with documentation that publications have impact by reference to a citation index.
4. Presentations with high impact. Contributions to policy and program design.
5. Evidence that the research has stimulated the work of other researchers or provided new breakthroughs in the field.
6. Independent judgment of recognized experts concerning the quality and impact of the research.
7. Awards received in recognition of outstanding research.
8. Election or appointment to leadership positions of national and international scientific organizations in recognition of outstanding research accomplishments.
9. Selection as editor or reviewer for scientific publications and grant evaluations.
10. Appointments to serve on scientific review or advisory committees which are based on research accomplishments.
11. Ability to procure research funding, especially peer-reviewed funding.

Innovation

12. Identification of new areas or application of new methods or approaches in research that address the health of the public.
13. Ability to incorporate new developments in the discipline and transfer knowledge and techniques to current problems influencing the health of the public.

Responsiveness/Collaboration

14. Evidence of capacity to sustain and build relationships and teams.
15. Engagement in collaborative research.
16. Contributions to departmental and school missions.

Support Structure

17. Contributions to research support structures of the department and school.
18. Advancement of a research enterprise through service on panels, mentoring, etc.
19. Leadership in the design delivery and evaluation of research that catalyzes others to achieve their maximum potential.

C. Public Health Practice

For promotion and tenure on the basis of public health practice, innovative application of knowledge must be deemed to be “scholarly.” That is, the practice must be shown to have affected not only a given policy, community, agency or program, but it must also be shown that the practice has in some way contributed to advancing the state-of-the-art of public health practice itself. Evidence of accomplishment in application of knowledge should be provided for one or more major projects. As rank increases, it is expected that both the quantity and quality of practice will also increase.

Excellence in the application of new knowledge through public health practice is assessed by the following:

Quality of Practice

1. The practice area is important relative to human health.
2. Development of new programs and policies that have impact on the health of the public.
3. Ability to incorporate new developments in the discipline and apply knowledge to current problems influencing the health of the public.
4. Research on practice attributable to the faculty member represents a contribution moving a discipline forward.
5. For collaborations -- the portion of the work attributable to the faculty member represents a major contribution moving a discipline forward.
6. Publications in high quality, high impact journals with evidence that these works are cited by others.
7. Presentations with high impact.
8. Participation in task forces and joint ventures.
9. Documentation that the practice contributions have had important effects on policy, and/or on a community, organization or program.
10. Evidence that the practice activities involved or resulted in the creation or development of new public health or similar systems for the improvement of the public’s health.
11. Evidence that the public health practice activities have contributed to the teaching activities of the faculty member and/or the department; for instance, that teaching

is directed at practice issues such as assessing health problems, assuring the delivery of health services, or developing health policies.

12. Evidence that new knowledge, methods, or policies derived from the candidate's public health practice have diffused to other communities or health organizations.
13. Evidence that new practice ideas, policies, programs, methods, etc. have been disseminated through publications. In addition to articles in refereed journals, "publication" can mean producing technical reports that are used by organizations and/or communities to help them assess public health problems, assure the delivery of public health services, or develop public health policies.
14. The equivalent of peer review of such technical reports is evidence of their impact (e.g., letters indicating that a technical report was used to help assess health problems, assure the delivery of health services, or develop health policies). The impact of technical reports should also be documented by independent reviewers.
15. Receiving honors or awards in recognition of outstanding contributions to public health practice.
16. Invitations by other institutions or health agencies to help plan, organize or review public health practice activities.
17. Appointments to national commissions, committees, boards, etc. related to public health practice.
18. Grants and contracts received to fund public health practice activities. Competitive peer-reviewed funding is a marker of practice quality.

Innovation

19. Identifies new areas or applies new methods or approaches in practice that address the health of the public.
20. Participation in new partnerships.
21. Cost-effectiveness of practice approaches developed.

Responsiveness and Collaboration

22. Evidence of capacity to sustain and build relationships and teams.
23. Engagement in collaborative practice projects.
24. Contributions to department and School practice missions.
25. Ability to incorporate new developments in the discipline and transfer knowledge or technique to current problems influencing the health of the public.

Support Structures

27. Contribution to practice support structures of department and School.
28. Advancement of practice enterprise through service on panels, mentoring, etc.
29. Leadership in the design, delivery and evaluation of application of knowledge.

D. Service

Each faculty member derives benefits from the community of scholars and from the local, state, and national communities in which our enterprise is embedded. Accordingly each faculty member has a responsibility to work to the benefit of other members of these broader communities. Professional service, i.e., service to the scholarly community,

occurs in various arenas: the School of Public Health, the University, institutions specific to a discipline, at the local, state, and national levels. Similarly public service may also occur with communities, governments, or organizations at the local, state, national, and international levels.

Professional service includes but is not limited to service on departmental, school, and university committees, leadership in professional organizations, reviewing manuscripts and other editorial endeavors, and review of faculty who are being considered for advancement at other institutions. Public service involves the faculty member in service to the broader community at the local, state, national, and international levels in cases where this involvement builds upon the faculty member's expertise. Service on panels and commissions, testimony before legislative bodies, and consultations to public agencies are some examples. Community involvement such as service on your child's PTA or leadership in a civic or religious organization, while laudable, is not considered public service for purposes of appointment, promotion, and tenure decisions.

All tenure-track faculty must share in the work necessary to maintain the operation of the School. Furthermore, faculty are expected to contribute to the growth of the School through efforts that are aimed at improving programs and facilities. Faculty are also expected to contribute to the maintenance and growth of their profession. Finally, faculty are encouraged to serve the community at large in a professional capacity that enhances the stature of the University and provides benefits to broader society.

Examples of professional service activities related to the University, the profession, and public service to the broader professional community include:

1. Mentoring junior faculty.
2. Membership on committees of the department, School, University, or within the profession.
3. Other contributions to faculty governance (e.g. conducting special studies for the department, School, or University).
4. Serving in an administrative capacity for the department, School, center, or University (e.g., Department Chair, Deputy Chair, Dean, Associate Dean, Center Director).
5. Membership in, or leadership of, a professional organization.
6. Serving as an editor or on the editorial board of a professional journal.
7. Reviewing manuscripts for professional journals.
8. Participation or consultation to an accreditation or other educational review board (e.g., membership in a CEPH site visit team).

Examples of public service activities to the community, state, nation, or world include the following:

1. Membership on or leadership of public boards, commissions, or panels where the appointment is based on the faculty member's professional expertise.
2. Consultations with local communities, states, or nations or organizations where such consultation is requested because of the faculty member's professional expertise.
3. Supervision of student projects in communities and organizations where a primary result of the project was a benefit to the client organization.

4. Testimony before boards, commissions, or government bodies where such testimony is directly related to the faculty member's professional expertise.
5. Preparation of studies, reports, surveys, or analyses, which were responsive to requests from community organizations or governmental bodies.
6. Acting as a resource to community organizations or governmental bodies to assist in networking with other experts or locating information sources requested by these organizations.

E. General

Transcending the specific criteria enumerated above, other factors which are important for promotion and tenure include

- Ethical and collegial behavior
- Intellectual integrity
- Good rapport with students and colleagues
- Moral probity
- Reliability and responsibility

Also transcending the specific criteria is the extent to which the institution judges there will be a need in the future for the likely contributions of the faculty member being considered for promotion or tenure. Thus, the decision to promote or tenure an individual has both individual and collective components. It is possible that a faculty member would not be tenured if the implied long term commitment to this individual would be inconsistent with the strategic directions of the academic unit.

F. Collaborative Contributions

The evaluation of collaborative contributions in the areas of teaching, research and public health practice must include an explanation of the contribution of the candidate to each such collaborative undertaking. As faculty members advance in rank, their roles in collaborative ventures should be more as leaders and independent investigators.

G. Time in Rank and Early Promotions

Assistant Professor

Six years is the usual time to serve as assistant professor. In cases where other professional responsibilities have intervened between the time of the award of the final degree and the appointment to assistant professor at the UNC School of Public Health, and where these other responsibilities are germane to the professorial role, the time spent in these other responsibilities may be credited toward the expected time in rank. The equivalency of these prior professional responsibilities will be assessed by the department, the Department Chair, and the Appointments, Promotions, and Tenure Committee on a case-by-case basis.

In truly exceptional cases, early promotions may also be considered when a faculty member has met all the criteria for promotion, even if the time period is shorter than is normally expected. By definition, the candidate must present evidence that the *rate* of productivity exceeds the required norm of performance that would ordinarily be considered at the regular interval. Requests for early promotions are carefully scrutinized

at the School and University levels and, therefore, must be exceptionally well documented.

The minimum time in rank is 18 months (see the Trustee Policies and Regulations Governing Tenure in UNC-CH, July 1, 1994 at http://www.unc.edu/faculty/faccoun/documents/tenure/tenureregs/Tenure_Regs.pdf).

Associate Professor

At least five years is the ordinary length of time to spend between appointment to the rank of associate professor and promotion to professor. Candidates for promotion at an earlier time must present credentials as strong as those for faculty under consideration at the regular interval. Early promotions are possible in truly exceptional cases but the department and the candidate must be aware that early promotions invite extraordinary scrutiny at all levels of review.

The minimum time in rank is 18 months (see the Trustee Policies and Regulations Governing Tenure in UNC-CH, July 1, 1994 at http://www.unc.edu/faculty/faccoun/documents/tenure/tenureregs/Tenure_Regs.pdf).

H. Special Provisions for Extending the Maximum Probationary Period (Extension of the Tenure-Clock)

For reasons of health, requirements of childbirth or child care or similar compelling circumstances, a faculty member holding a probationary term appointment at the rank of assistant professor or associate professor may request that the maximum probationary period be extended in increments not to exceed 12 months, up to a maximum of 24 months (including any extension that may have been granted previously). Any request pursuant to the above must be initiated no later than 24 months before the end of the term to which it is to apply and must be approved by the Chancellor (see the Trustee Policies and Regulations Governing Tenure in UNC-CH, July 1, 1994 at http://www.unc.edu/faculty/faccoun/documents/tenure/tenureregs/Tenure_Regs.pdf).

V. Specific Criteria for Appointments, and Promotion: Fixed Term Ranks

A. Clinical Appointments

Faculty members with clinical appointments serve the departments and the School through teaching and/or public health practice. Each of these categories is explained further, below.

Faculty with clinical appointments may teach courses, direct teaching programs, supervise student field work, and provide other important teaching-related activities. In order for faculty with a clinical appointment to be appointed to the rank of, or reappointed at the higher rank of, clinical associate professor or clinical professor, it must be demonstrated that the candidate is fulfilling important teaching needs of the department and/or the School. Furthermore, high-quality teaching as outlined above in [Section IV.A.](#) must be achieved. Evidence of high quality teaching should be demonstrated through student evaluations of courses, peer review of teaching, and a teaching portfolio.

Faculty in clinical appointments can also serve their department and the School by performing public health practice activities as described above in [Section IV.C.](#) In order to be appointed to the ranks of clinical associate professor or clinical professor, faculty whose work primarily involves public health practice must demonstrate that they are fulfilling important practice needs of the department and/or school and they must meet the criteria listed above in [Section IV.C.](#)

B. Research Appointments

Faculty members with research appointments provide important services to the departments and to the School. In many departments research faculty work on teams of faculty and graduate students to write grants and/or to carry out research projects once they are funded. While in some cases research faculty have their own research programs, often such faculty provide various types of support to tenure-track faculty. The availability of such support is often critical to the ability of tenure-track faculty to write research grants and to carry out funded research projects. The criteria for appointment to the ranks of research associate professor or research professor may be somewhat different than for tenure-track faculty.

To be appointed to the higher ranks, a faculty member in the research track must demonstrate a consistent record of having provided important research services to the department and/or the School. Such services include, but are not limited to: assisting in writing grant proposals that are funded, assisting department faculty in carrying out funded research projects, assisting department faculty in producing scholarly research products such as journal articles, book chapters, presentations at professional meetings, etc. In some cases research faculty direct their own research programs: they write their own grant proposals; they are the principal investigators of their projects; they involve (and support) graduate students in their projects; and they produce scholarly products of their research. In such cases, the criteria for appointment to the higher ranks are very similar to those for a tenure-track faculty (see [Section IV.B.](#)) and should be judged by the criterion of “reasonableness.” That is, the quantity and quality of work should be deemed to be reasonable for the appointment being sought. Research faculty are often asked to

contribute to the teaching mission of their department and/or the School. Where a research faculty member teaches his or her own course, high-quality teaching as outlined above in [Section IV.A.](#) must be achieved. Evidence of high quality teaching should be demonstrated through student evaluations of courses, peer review of teaching, and a teaching portfolio.

C. Professor of the Practice

Faculty with professor of the practice appointments may serve in teaching, research, mentoring, and advising roles appropriate to their experience and fields of interest. The professor of the practice designator is to be employed primarily to attract persons with highly distinguished careers in non-academic settings to the School for specific periods of time. These individuals may have served in government, the private sector, or not-for-profit organizations. The marks of distinction include their seniority in the organizations in which they have served, their reputation among their peers, the impact of their professional contributions, and their demonstrated ability to bridge the academic and practice communities to assist faculty and students to translate their work more effectively into practice.

Evaluation of professors of the practice will be based on their contributions to the teaching, research, and outreach missions of the School. The precise mix of teaching, research, mentoring and advising, and public service activities to be pursued by a professor of the practice must be defined at the time of initial appointment and will likely differ from individual to individual. In part, evaluations may be based on evidence of continued engagement and achievement in their professions outside their University responsibilities, as evidenced by relevant research and writing; service on major governmental commissions; service on other professional commissions, task forces or comparable groups.

VI. Procedures

A. General

The Department Chair has the responsibility to assemble and send forward to SPH Administration all material necessary for an appointment, reappointment, promotion, and tenure.

B. Equal Opportunity

All appointments and promotions must comply completely with equal opportunity rules and regulations. It is the policy of the School of Public Health to enforce vigorously the university's equal opportunity procedures in both letter and spirit. The details of these procedures are published in the Equal Employment Opportunity Plan, a copy of which can be located at: <http://www.unc.edu/depts/eooada/>. but may be stated briefly as giving all candidates, including minority racial and ethnic groups, persons with disabilities and women, an adequate opportunity to know of, apply for, and receive genuine consideration for any available position. Furthermore, such employees shall receive equal treatment in salary increase decisions and promotion considerations.

The Dean's Office strongly encourages all departments/centers/programs within the School to use the following approved EEO statement for all faculty recruitments and advertisements:

"The Gillings School of Global Public Health is actively committed to diversity. We strongly encourage applications from women, minorities and individuals with disabilities. The University of North Carolina at Chapel Hill is an Equal Opportunity Employer"

C. Committee on Appointment, Promotion and Tenure

1. All appointments, reappointments or promotions that result in permanent tenure, and all appointments to the rank of associate professor and above (including fixed-term appointments) must be reviewed by the School's APT Committee;
2. This is a standing committee appointed by, and advisory to, the Dean with membership representing various academic disciplines;
3. Membership is for a period of three years and the committee will consist of representative members of the faculty at the rank of professor;
4. Members of the APT committee may be present during discussion of a candidate who is from their own department or a department in which they have a joint appointment. They may brief the committee on promotion standards within that department and answer questions about the standards if questions arise, but they should not present the candidate's dossier nor advocate for the candidate. They may vote on the candidate;
5. A quorum shall consist of the majority plus one, of the members eligible to vote on any given candidate;

6. When necessary for University review/approval deadline purposes, at the request of the Dean an expedited Appointments, Promotions and Tenure Committee review can take place.

D. Documentation for Appointment, Reappointment, Promotion and Tenure **(Except in the instance where the Chair Candidate is an outside applicant, refer to Sections F and G below)*

1. In preparing written materials for appointment, reappointment, promotion and tenure, departments are required to use the university's AP2 form. ([Appendix 2a](#) lists the usual contents of a promotion and tenure "package.")
2. Written materials must include a letter from the Department Chair that clearly indicates: the criteria upon which the faculty member is being recommended for appointment or promotion; how the faculty member meets the criteria specified in this manual; and the vote of the assembled full professors of the department. The Chair's letter must also indicate what impact the faculty member's work has had, or is likely to have, on the health of the public. If a promotion is early, the letter must include a strong justification, and the materials must clearly document and attest to the earliness.
3. Each tenure-track faculty member being recommended for appointment or promotion at the associate professor or full professor rank must include in the written materials a personal statement that indicates how the work of the faculty member has had, or is likely to have, an impact on the public's health. The statement should also indicate the faculty member's future plans for research, teaching, practice and service.
4. For all tenure-track appointments, promotions and tenure decisions, a minimum of four letters from independent¹ reviewers are required. All four from outside the institution, all from individuals independent of the candidate, two from a list of names provided by the candidate and two from individuals selected by the Department Chair, Dean or the Dean's designee (i.e. Search Committee Chair), as appropriate. Ideally, all of the letters should come from Research I Institutions. Please refer to [Appendix 8](#).
5. For fixed-term appointments, two letters from independent reviewers are required. In addition to the two independent letters, in some cases it may be appropriate to include additional letters from writers who have supervised, worked with, or collaborated with the candidate.
6. Reappointments to assistant professor for a second probationary term of three years are not reviewed by the Appointments, Promotions and Tenure Committee in the School. These actions are reviewed by the Health Science Advisory Committee, Provost, Chancellor and Board of Trustees (see Appointment Review

¹ An "independent" reviewer is one that has not collaborated with the candidate on research and publication. Service together on committee boards and commissions is not considered a threat to independence.

Table on [page 64](#)). No external letters are required for reappointments. Many departments now encourage candidates to assemble all other elements of the package required for promotion to associate professor to facilitate the latter process. However, the University's minimum requirements for 2nd term reappointment at the Assistant Professor level are:

- AP2
- Full curriculum vita—in the preferred order ([Appendix 8](#))
- Teaching evaluations
- Peer Evaluations
- Any additional information

E. LETTERS OF RECOMMENDATION

1. Outside Letters of Recommendation

Four outside letters of recommendation are required for tenure track appointments and promotions; two are required for appointments and promotions in the non tenure track. Letters should be from individuals qualified to judge the candidate's performance and/or potential in the areas of teaching, research or public health practice, and service. Letters should be solicited by the department chair, and include all letters received, not a selected subset.

Candidate must provide names and contact information for potential references at least six (6) months prior to submission of the APT package.

It is required that the letters come from scholars or others with whom the candidate has not collaborated on a project, publication, or in any other way which will create a conflict of interest or the appearance of a conflict of interest. In some cases, e.g., where the primary area is practice, it may be necessary to document a candidate's performance on a project or other similar endeavor. In such cases it is acceptable to have letters of reference from people who were involved in the project such as funders, principal investigators, project coordinators, etc.

2. Letter from the Department Chair

This letter must contain the recommended date of appointment. If the appointment is earlier than University guidelines dictate, a detailed justification must be given. The vote of the assembled full professors must be given. Any information regarding pertinent discussions at this assembly would be helpful.

The chair's letter must specify whether research or practice is the primary area of excellence. Support for this designated area of excellence must be provided. In addition, how the candidate has achieved high quality teaching should be summarized. Also, service activities and accomplishments should be summarized. Lastly, any other information about the candidate not already documented should be included.

Refer to [Appendix 8](#), Chair's Letter section of "*Presenting an Effective Promotion/Tenure Dossier*".

Department Chair Appointments

F. Administrative Department Chair Appointments

Administrative appointments to the position of Department Chairs are internal appointments made at the discretion of the Dean and therefore do not require SPH APT Committee review or approval.

Administrative appointments of Department Chairs are made for a period to be reviewed not less than every five years. The Dean recommends each appointment and reappointment to the Executive Vice-Chancellor/Provost, with final approval by the Board of Trustees. The official notification will come from the Chancellor to the candidate.

G. External Department Chair Appointment

External candidates who apply from outside the University and who are then put forward for new appointments as Chair and Professor require review and approval by the SPH APT Committee. From an academic standpoint, the Professor appointment carries permanent tenure and must comply with the University and School requirements for an appointment with permanent tenure. As such, the package must include a letter of recommendation from the Dean to the Executive Vice-Chancellor/Provost (in most cases, the letter of recommendation is drafted by the Search Committee Chair on behalf of the Dean). In this particular instance, the procedural process differs from the process outlined above in [Section D, #2](#), in that the letter of recommendation is prepared by the Dean rather than the current Department Chair. This policy distinction is the result of the administrative reporting relationship between the Chair, Dean, and Provost. This process is pre-established by the Office of the Provost and is consistent across campus for administrative Department Chair appointments.

As previously stated in [Section D, #2](#) above, the letter must clearly indicate: (1) the criteria upon which the candidate is being recommended for appointment; (2) how the candidate meets the criteria specified in this manual for a Full Professor appointment; (3) and the vote of the assembled Full Professors of the department where the candidate's appointment will be held. The Dean's letter must also indicate what impact the candidate's work has had or is likely to have on the health of the public.

On behalf of the Dean, and in consultation with the Search Committee members and faculty from the home department, the Chair of the Search Committee will solicit external letters from independent, impartial reviewers (as outlined in [Section D, #4](#) above).

Once the external letters of reference have been received, the departmental Manager/HR facilitator will begin assembling all other documentation listed in [Appendix 3](#) (*APT Committee Checklist*) and [Appendix 8](#) (*How to Present an Effective Promotion/Tenure Dossier*). As well, the Manager/HR Facilitator will then coordinate the review and voting process of the assembled full professors within the home department.

H. Processing Steps

The chart listed on pages 64-66 ([Appendix 11](#)) provides guidance in setting due dates and compiling documents for appointments, reappointments, promotions, joint appointments, and other miscellaneous actions requiring multiple level reviews. The initial process will begin with the candidate's home appointing department and ultimately the SPH APT Committee.

I. Appeals

The procedure whereby a faculty member may appeal a non reappointment decision is specified in the Trustee Policies and Regulations Governing Academic Tenure in UNC-CH, July 1, 1994 (see Section 4, "Non reappointment of faculty members on a probationary term appointments")

http://www.unc.edu/faculty/faccoun/documents/tenure/tenureregs/Tenure_Regs.pdf).

VII. Faculty Mentoring

The primary mentoring of a faculty member should occur in his or her department, with the School also offering supportive mentoring. The mentor(s) will foster a relationship with his or her assigned faculty member that includes:

- Engaging in discussions on career planning and personal goal-setting;
- Providing feedback on performance that will foster success in the School, e.g., discussion of desirable skills and ways to overcome limitations and challenges;
- Providing protection (as needed) by offering support, strategizing about with whom to talk and how to create time, space and support for reaching goals;
- Opening doors with individuals who can help the faculty member succeed in the School and University setting; and
- Recognizing, formally and informally, the faculty member's accomplishments.

Expectations of mentoring processes are as follows:

1. All assistant professors should have one or more formal mentors. Different departments have different approaches to mentoring, e.g. assignment vs. self-reflection.
2. The Dean will request a status report on each Assistant Professor at each Chair's annual review meeting. Yearly faculty reviews should clearly document progress toward re-appointment and promotion using department and School criteria. There should be full disclosure in writing and shared with the faculty member of any concerns about his/her likelihood of successful promotion.
3. At least 18 months prior to review for promotion from Assistant Professor to Associate Professor and from Associate Professor to Full Professor, the Chair should meet with the faculty member (alone or in addition to the faculty mentor). The faculty member should be given an individualized schedule indicating materials expected for promotion and respective due dates. This includes due dates for: potential reference names for external letters, faculty member's CV, professional statement, teaching portfolio (including department peer review) and other elements of the required package. The HR Director can work with departmental staff on this. It also would be helpful for Chairs to reinforce how important it is for faculty members to be very familiar with the APT Manual.
4. Before advancing a promotion package, a meeting with the Associate Dean of Academic Affairs and the Chair of the APT committee is strongly encouraged so that they can review the faculty member's CV and let the Chair know if they anticipate any problems with the promotion process.
5. There is a high bar for reappointment after a junior faculty member's first term. Decisions about such reappointments should be done in consultation with the Chair, the Associate Dean for Academic Affairs, the Dean and, if appropriate, legal consultation. The School's HR Director will be helpful in understanding

how much time is required before expiration of faculty appointments and any other specifics that may relate to that appointment.

6. Chairs are responsible for making judicious hires and then optimally supporting and mentoring those faculty members. We are committed that no faculty member should fail to be promoted for lack of adequate mentoring.

In addition to the above, a school-wide introduction to SPH and UNC resources, such as those for research, APT processes and academic programs will be provided each year for new faculty members.

VIII. Post-Tenure Review Guidelines

A. Statement of Purpose

The purpose of post-tenure review at the School of Public Health is to contribute to achieving the School and University mission of educational excellence. The review process of all faculty having permanent tenure should assist individual faculty members in their ongoing professional development, in particular in their efforts to enhance their skills as teachers, their accomplishments as scholars, and their contributions to the profession and the public. Should performance deficiencies be found, the process should constructively address these in specific ways intended to aid the faculty member in achieving a productive career at the School of Public Health.

B. General Policy

The SPH policy and process will conform to the Framework for Implementation of the Trustee Policy for Review of Tenured Faculty, revision 9/1/98, or subsequent revisions of this document.

Each tenured faculty member is to be reviewed at least once every five years following conferral of permanent tenure. More frequent review may be made at the discretion of the department chair. The review must examine all aspects of faculty activities and performance. Criteria for evaluation will be determined by each department, but must conform to those documented in the School's Appointments, Promotion, and Tenure Manual, dated January 2010 or subsequent revisions, a copy of which is located at: www.sph.unc.edu.

The review process must involve faculty peers and be conducted by at least three persons who will constitute the Post-Tenure Review Committee. Comprehensive evaluations conducted for other purposes, such as promotion, may be substituted for or combined with post-tenure review. A review may be delayed for compelling reasons approved by the Dean.

C. Expectations of Faculty Members

All members of the faculty are expected throughout their careers to maintain the standards of excellence in teaching, scholarship, and service that are set forth in the School's tenure and promotion policy. Evaluation of performance will take into account changing expectations at different stages of faculty careers. Faculty may expect nurture, aid, and support by more senior faculty and the department chair toward the development and realization of a productive and successful career at the School of Public Health.

D. Post-Tenure Review Procedure

1. Cycle of Review, Notice, and Participation of Faculty

- The number of faculty members to be reviewed in any given year will be approximately 20% of the number of tenured faculty in the department.

- Each faculty member who is to undergo review will be advised by the department chair of the upcoming review at least six months before the start of the review.
- Each faculty member who is to undergo review in a given year will take an active role in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with colleagues and the chair, and participating in creation of a development plan, if needed, to address deficiencies in performance.

2. Composition of Post-Tenure Review Committee

- The department chair shall provide for an ad hoc committee--the "Post-Tenure Review Committee"--established each year, and comprised of at least three tenured faculty members. The PTR Committee should consist of tenured faculty within the primary/home appointment base of the faculty member being reviewed.
- In the case of review of a chair, the Dean will assume the responsibilities normally assumed by the chair.

3. Information to be Considered During Review Process

- The review process will be conducted in a way that provides the faculty member being reviewed, the chair, and the members of the Post-Tenure Review Committee with relevant information concerning the faculty member's accomplishments and plans in the areas of teaching, scholarship and service in relation to the mission of the department, School, and University, at least over the last five years.
- Faculty are expected to provide the Post-Tenure Review Committee with a current curriculum vitae; teaching evaluations (that have been maintained on file with the chair since the date completed) and a teaching portfolio; scholarly work completed since the last review; information concerning significant professional and public service; and other relevant materials.
- The faculty member being reviewed should provide a concise written summary of accomplishments since last review and plans. The department chair may also provide the Committee with additional information that may be pertinent, including information developed during periodic merit reviews and information relating to the faculty member's ongoing work within the department or School.

4. Consultation Between Faculty Member Being Reviewed, Post-Tenure Review Committee, and Chair

- As appropriate, the faculty member being reviewed may meet with the Post-Tenure Review Committee and the chair in order to discuss teaching, scholarship, service, and other accomplishments.

5. Determination Regarding Overall Performance and Reporting

- The Post-Tenure Review Committee will use all the evidence provided by the faculty member being reviewed and the chair in evaluating performance, as outlined in General Policy, above.

- The Committee will advise the faculty member being reviewed and the chair whether it believes that the faculty member being reviewed is performing at a satisfactory level or has substantial deficiencies in performance that need to be addressed through creation of a development plan.
- The Committee will provide a written summary of its conclusions with regard to overall performance and any recommendations.
- The Committee may also provide informal peer advice and recommendations to the faculty member being reviewed and to the chair.
- The faculty member being reviewed may provide a written response to the report of the Committee. Based on this response, the chair may ask the Committee to re-visit its recommendations.

6. *Recognition of Outstanding Performance*

- In instances in which the faculty member being reviewed is found to have evidenced outstanding overall performance, the chair will endeavor to recognize that performance through appropriate forms of positive recognition, including but not limited to nominations for awards.

7. *Establishment and Monitoring of Development Plan*

- In the event that the Post-Tenure Review Committee concludes that the faculty member being reviewed has a record of overall performance that reflects substantial deficiencies that need to be addressed, and has recommended the establishment of a development plan, the chair and the faculty member being reviewed will meet to construct a development plan designed to assist the faculty member.
- Faculty development plans will be individualized and flexible, taking into account the faculty member's intellectual interests, abilities, and career stage, as well as the needs of the department.
- The development plan will include clear goals, indicators of goal attainment, a clear and reasonable time frame for the completion of goals, and a statement of consequences if the goals are not reached.
- The performance of a faculty member who has been found to have substantial deficiencies in overall performance and who is working on completion of a development plan will be reviewed by the chair on an annual basis for a period of up to three years until such time as substantial deficiencies have been remedied.
- The chair shall acknowledge in writing the faculty member's clear improvement or successful completion of a development plan.
- In the event that substantial deficiencies in performance continue to exist at the end of the three-year period, the chair will notify in writing the faculty member and make a recommendation to the Dean regarding any remedial action.
- The Dean will consider whether action should be initiated pursuant to the Trustee Policies and Regulations Governing Academic Tenure or other steps be taken to address the substantial deficiencies in performance.

E. Reports and Appeals to the Dean

1. Annual Reports Filed with Dean

- The chair will file annual reports with the Dean specifying the names of faculty members reviewed during the previous year, the names of faculty members for whom a development plan was recommended and established, and the names of faculty members who were subject to review in that year but for whom a delay was requested with the reasons for delay.

2. Appeals of Findings of Substantial Deficiencies and Development Plans

- Faculty members found by the Post-Tenure Review Committee and the chair to have substantial deficiencies in performance and for whom a development plan is established may appeal the finding of substantial deficiency or the terms of the development plan within 30 days of receiving a final letter from the chair including such findings.
- The appeal is to the Dean, whose decision shall be final.

F. Records and Confidentiality

1. Maintenance of Written Record

- The chair will maintain the Committee's written review summary and the response, if any, by the faculty member being reviewed as part of that faculty member's confidential personnel file, along with all background information, other materials used in connection with the review, and a development plan, if required.

2. Obligation of Confidentiality

- All matters relating to post-tenure review will be regarded as confidential.
- All those who participate as members of the Post-Tenure Review Committee or who otherwise advise on individual cases should be advised of their obligation to abide by this requirement.

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1. Definitions and Faculty Recruitment Requirements

A. “Appointment” refers to the initial faculty title and/or rank assigned to an individual selected from outside the School. It also applies to a person who is transferring from the SPA category, or from one category of EPA appointment to another.

B. “Promotion” refers to an increase in rank within a given category of EPA appointment.

C. “Tenure-track” appointments are those appointments to the regular teaching faculty having the possibility of promotion or reappointment to permanent tenure. The tenure track ranks are: professor, associate professor, assistant professor and instructor. “Tenure” may be withheld on any grounds other than those specifically stated to be impermissible in the Trustee Policies and Regulations document. Tenure is not earned, rather it is bestowed by the University following an assessment of institutional needs and resources and demonstrated professional performance, evidence of service to the academic community, commitment to the welfare of the University, and potential for future contribution. At prescribed times a tenure-track appointment can be changed or terminated through decision processes described in Section II, A, Tenure-Track Appointments.

D. “Probationary term” refers to the period of time at the assistant professor or associate professor rank that persons serve in “tenure track” appointments before tenure is conferred. Initial appointments as an assistant professor are always probationary for a term of four (4) years. An initial appointment as an associate professor may be probationary for a term of five (5) years or may be with permanent tenure.

E. “Lecturer equivalent” (i.e., non tenure track) are those faculty ranks that are not on the tenure track: e.g., “lecturer,” “clinical,” “research,” or “adjunct.” Any of these titles (except lecturer) may be prefixed to a regular faculty rank, e.g., clinical assistant professor. Such faculty appointments are appropriate for individuals who possess unusual qualifications for teaching, research, or public health practice, but for whom the regular faculty ranks are not appropriate because of the limited duration of the mission for which they are appointed, because of concern for continuing availability of special funding for the position, or for other valid institutional reasons.

F. “Fixed term” refers to the period for which lecturer and lecturer equivalents are appointed. The fixed term may be for a period of one to five years. Non tenure-track appointments are referred to as fixed-term appointments.

Appendix 2(a)

MAIN CONTENTS of AN APPOINTMENT or PROMOTION PACKAGE for A TENURE-TRACK POSITION

1. School of Public Health checklist.
2. Letter from Department Chair addressed to the Dean of the School of Public Health. The letter must include:
 - The vote of the assembled full professors in the department regarding the appointment or promotion. Must include the exact vote of the assembled full professors and an explanation for any abstaining or against votes.
 - An effective date for the recommended appointment, promotion and/or tenure action. If it is an early promotion, provide a rationale for the early action.
 - A clear statement of the person's area of excellence (i.e., research or practice).
 - A summary of the person's teaching, research or practice, and service accomplishments. A statement of the impact of the faculty member's work on the health of the public.
 - For promotion to full professor, evidence must be provided showing the faculty member's national prominence and leadership.
3. A completed extended AP2 form.
4. A current CV in preferred order.
5. Four letters from independent,² outside reviewers; and a copy of the letter by the Department Chair soliciting the reviews. Each outside letter should have a designation in its upper right hand corner indicating whether the writer of the letter was suggested by the candidate or was chosen by the Department Chair or Dean. External reviewers are not people who have co-authored papers or collaborated with this person. Additional external letters may be included when the external letter writer is discussing the candidate's contribution to a project that the letter writer directed. ***(Please use Provost Office suggested sample as reflected in Appendix 4(a) for tenure-track actions).***
6. A written *Career Focus* statement by the faculty member summarizing prior phases of his/her career and defining objectives or goals in the next phase of his/her career. The statement should summarize the main themes of the faculty member's work so far and anticipated future directions. The statement must also address the impact of the faculty member's work on the health of the public.
7. A teaching portfolio (not to exceed 25 pages in length).
8. Three publications (one copy of each).

² "Independent" means that the faculty member has non collaborated on research, or co-taught or co-authored with the letter writer.

Appendix 2(b)

MAIN CONTENTS of AN APPOINTMENT or PROMOTION PACKAGE for A FIXED-TERM POSITION

1. School of Public Health checklist.
2. Letter from the Department Chair addressed to the Dean of the School of Public Health. The letter must include:
 - An effective date for the recommended appointment or promotion action.
 - The vote of the assembled full professors (if the package is for a multi-year appointment, or if the package is for an appointment or promotion as the Associate Professor or Full Professor level).
 - A clear statement of the person's area of excellence (i.e., research or practice).
 - A summary of the person's teaching, research, or practice accomplishments.
 - A statement of how the person has (or will) contribute to the department's and/or School's teaching, research or practice missions.
3. A completed extended AP2 form.
4. A current CV in preferred order.
5. A *Career Focus* Statement
6. Two letters from independent³, outside reviewers. Each outside letter should have a designation in its upper right hand corner indicating whether the writer of the letter was suggested by the candidate or was chosen by the Department Chair or Dean. External reviewers are not people who have co-authored papers or collaborated with this person.
7. A copy of the solicitation letter.
8. Three publications or other representative scholarly work (one copy).
9. Teaching portfolio (only required for those being promoted in clinical track who primarily teach; not to exceed 25 pages in length).

³ "Independent" means that the faculty member has not collaborated on research, or co-taught or co-authored with the letter writer.

Appendix 3

APPOINTMENTS, PROMOTIONS, *and* TENURE COMMITTEE CHECKLIST

Name of Candidate: _____
Requested Action: _____
Department: (Home) _____
(Joint) _____
Effective Date: _____

Letter from Department Chair to the Dean

- ___ Statement of area of excellence (research or practice).
- ___ Vote of the assembled Full Professors must include exact vote (such as “ten in favor, zero against” or “six in favor, four against”), then explain the vote.
- ___ Statement indicating that outside letters are all from individuals independent of the candidate, denoting that two are from a list of names provided by the candidate and two are from individuals selected by the Department Chair.
- ___ Effective date for the recommended action. (For probationary faculty at the rank of Assistant Professor or Associate Professor, the effective date could be as early as the paperwork can make it through the HSAC and the other review committees including the BOT and BOG.)
- ___ If an application is for early promotion (e.g., from Assistant Professor to Associate Professor with tenure or Associate Professor with tenure to Full Professor), *clear* justification must be provided.

AP2

- ___ The AP2 form must be completed and submitted to the APT Committee with this checklist. The on-line AP2 can be used. Note that much of the information requested on the AP2 (line #7) must now be submitted within the CV (see below).

Full Curriculum Vitae

- ___ (Submit a full CV in the “Preferred Order”—in every subhead, reverse chronological, most recent first); ***CV must also include the date that it was last revised as well as page numbers.***

Personal

Education

Professional Experience

Honors

Memberships

Publications (Bibliography – on all items, show author order)

- ___ Books and Chapters, **including pages**
- ___ Refereed papers/articles – indicated with an asterisk, **including pages.**
- ___ Refereed unpublished oral presentations and/or abstracts.
- ___ Other unrefereed works, including presentations and book reviews.

Articles

- ___ Three recent pertinent articles are provided (or other similar written materials).

Teaching activities

- ___ List courses for the **past three years**, number of students taught by section.
- ___ Give names of graduate students supervised, thesis or dissertation titles, and completion dates for degree work since employment at UNC-CH.
- ___ Undergraduate honors projects should be included as well.

Contracts & Grants

- ___ Title or topic of funded grants is provided.
- ___ Status as principal or co-investigator is clearly indicated.
- ___ Duration of each award with beginning and ending dates noted.
- ___ Amount of award for entire period of project is indicated. (Note whether award amount is "total" or "direct" funding).

Service

- ___ Service at the Department, School, University, state and national levels is documented and explained.
- ___ Professional and public service is explained.

Practice

- ___ Practice activities are described.
- ___ Evidence presented that new practice ideas have been disseminated.
- ___ Evidence presented of linkage between practice and teaching.

Teaching Portfolio (The contents of teaching portfolio should not exceed 25 pages)

- ___ Documentation of courses taught.
- ___ Number of undergraduate, masters and doctoral students advised. (Specify if chair or committee member and if graduated or current).
- ___ Student evaluations of courses, including summary table.
- ___ Evidence of peer review of teaching.
- ___ Evidence of impact of teaching.
- ___ Self-evaluation of teaching.

Faculty Mentor Program

- ___ Candidate has received appropriate faculty mentoring towards successful promotion and tenure process.
- ___ Candidate is aware of the School and University timeline for promotion review process and committee deadlines.

- ___ Candidate has provided a list of names and contact information for potential references at least six (6) months prior to submission of the appointment/promotion/reappointment packages.

Letter from External, Impartial Reviewers

- ___ At least four letters for tenure-track faculty (two letters for fixed-term faculty) are required from independent, impartial reviewers with rank at least equivalent to the requested rank. Include all letters received, not a selected subset.
- ___ Each outside letter should have a designation in its upper right hand corner indicating whether the writer of the letter was suggested by the candidate or was chosen by the Department Chair or Dean.
- ___ External reviewers are not people who have co-authored papers or collaborated with this person. *This rule applies to all appointments, including joint appointments for which the primary appointment may be in another school.*
- ___ Additional external letters may be included when the external letter writer is discussing the candidate's contribution to a project that the letter writer directed.
- ___ Copy of a letter from the Chair used to solicit outside letters from reviewers. (***Please use Provost Office suggested sample as reflected in Appendix 3(a) for tenure-track actions.***)

Career Focus Statement

- ___ A written statement that indicates the faculty member's selected area of emphasis (research or practice); a summary of their career up to the present; and defined goals for the next phase of his/her career. The statement should indicate how the candidate's work has affected the health of the public and/or the public health profession. The statement should also address teaching, research, practice and service goals. *

* The "Career Focus Statement" can be submitted in place of the "Teaching Statement" and "Research Statement" as required in the new *Presenting an Effective Promotion/Tenure Dossier document*.*

Revision Date: July 2008

Appendix 4 (a)

EXAMPLE of A LETTER SOLICITING AN EXTERNAL LETTER of RECOMMENDATION for A TENURE-TRACK POSITION

Dear _____:

The School of/Department of _____ at the University of North Carolina at Chapel Hill is reviewing the qualifications of _____, for promotion from Assistant Professor to Associate Professor with tenure (or Associate to full Professor with tenure, or Associate without tenure to Associate with tenure). The School/Department will base its recommendation concerning _____ on the value of his/her research, teaching, and service. I write to seek your opinion about _____ worthiness for this promotion. To aid in your review of his/her qualifications and contributions, his/her curriculum vitae and most recent and (according to him/her) most important publications are enclosed.

We are particularly interested in placing _____ scholarly work in a national context. We would value, therefore, your evaluation of the importance of his/her area of study and of the significance of his/her contributions to it. We are also interested in your opinion of his/her stature relative to his/her peers nationally.

Please refer to the following criteria of the School/Department Tenure and Promotion policy in giving your assessment of _____. [List criteria here]

Appointments or promotion to the rank of Associate Professor must demonstrate outstanding ability. The candidate must demonstrate outstanding scholarly contributions, show independence and leadership in research or practice, and have a growing national reputation in his/her area of expertise.

For promotion to the rank of Full Professor the candidate must continue to demonstrate high quality teaching, make outstanding scholarly contributions, and have a national reputation in his/her area of expertise. There must be strong evidence that his/her scholarly work has stimulated the work of other researchers or practitioners, has provided "breakthroughs" or has otherwise important impact on the field, and that, in general, other scholars are paying close attention to the candidate's work.

In addition to the above, we would appreciate your comments concerning _____ collegiality and interpersonal skills, organizational citizenship, and other relevant observations to the extent you are able to provide them. **

Under current policies of this institution, peer evaluations, such as that being requested from you, are regarded as confidential within limitations imposed by law. They are for limited use within the University. However, North Carolina state law provides that such written evaluations become part of the personnel file of the individual. As such, they become open by petition to the faculty member about whom they are written.

(A final paragraph of thanks, the deadline, whom to contact for further information, etc.)

Sincerely,

** Optional Addition:

We would also appreciate knowing whether you would recommend _____ for this promotion at your university (or organization). Please explain the reasons for your opinion.

Revised May 19, 2009

*More details concerning these criteria can be found in the School of Public Health document "Appointments, Promotion and Tenure Manual," and is available upon request

Appendix 4 (b)

EXAMPLE of A LETTER SOLICITING AN EXTERNAL LETTER of RECOMMENDATION for A FIXED-TERM, RESEARCH-TRACK POSITION

Dear _____:

The Department of /Curriculum in _____ in the University of North Carolina School of Public Health is reviewing the qualifications of _____, for promotion from Research Assistant Professor to Research Associate Professor (or Associate to Full Professor). The Department will base its recommendation concerning _____ on the value of his/her contributions to research. I write to seek your opinion about _____ worthiness for this promotion. To aid in your review of his/her qualifications and contributions, his/her *curriculum vitae* and most recent and (according to him/her) most important publications are enclosed.

We are interested in evaluating _____ in the context of his/her work environment. In particular, we are interested in whether he/she makes significant contributions to a research team or independently conducts high quality research.

All fixed-term research faculty in the School of Public Health are expected to demonstrate excellence in research either independently or as part of a research team. Please refer to the following criteria of the UNC School of Public Health in giving your assessment of _____.*

For appointment or promotion to the rank of Research Associate Professor a person must demonstrate an ability to make significant contributions to public health research, either independently or in a team, as needed. The quality of their research must be manifest in peer-reviewed publications.

For promotion to the rank of Research Full Professor the candidate must continue to demonstrate high quality research, contribute to outstanding scholarly publications, and must either have a national reputation of his/her own in a particular area of expertise, or be an integral part of a nationally recognized research team.

In addition to the above, we would appreciate your comments concerning _____ interpersonal skills and other such intangibles. We would also appreciate knowing whether you would recommend _____ for this promotion at your university (or organization). Please explain the reasons for your opinion.

(A final paragraph of thanks, the deadline, whom to contact for further information, etc.)

Sincerely,

*More details concerning these criteria can be found in the School of Public Health document "Appointments, Promotion and Tenure Manual," and is available upon request.

Appendix 4 (c)

EXAMPLE of A LETTER SOLICITING AN EXTERNAL LETTER of RECOMMENDATION for A FIXED-TERM, CLINICAL-TRACK POSITION

Dear _____:

The Department of/Curriculum in _____ in the University of North Carolina School of Public Health is reviewing the qualifications of _____, for promotion from Clinical Assistant Professor to Clinical Associate Professor (or Associate to Full Professor). The Department will base its recommendation concerning _____ on the value of his/her teaching or public health practice. I write to seek your opinion about _____ worthiness for this promotion. To aid in your review of his/her qualifications and contributions, his/her *curriculum vitae* is enclosed.

We are interested in evaluating _____ in the context of his/her work environment in the UNC School of Public Health. In particular, we seek your assessment of his/her contributions to the teaching or practice missions of the School.

All clinical faculty in the School of Public Health are expected to demonstrate excellence in either teaching or public health practice. Please refer to the following criteria of the UNC School of Public Health in giving your assessment of _____.*

For appointment or promotion to the rank of Clinical Associate Professor a person must demonstrate an ability to make significant contributions to the teaching or practice missions of the School. The candidate must demonstrate an ability to work independently or in a team, as needed, in teaching or applying public health. Their contributions must be highly valued among faculty in the School and among the students.

For promotion to the rank of Clinical Full Professor the candidate must have a substantial history of providing high quality teaching or practice, that is highly valued by students and fellow faculty.

In addition to the above, we would appreciate your comments concerning _____ interpersonal skills and other such intangibles. We would also appreciate knowing whether you would recommend _____ for this promotion at your university (or organization). Please explain the reasons for your opinion.

(A final paragraph of thanks, the deadline, whom to contact for further information, etc.)

Sincerely,

*More details concerning these criteria can be found in the School of Public Health document "Appointments, Promotion and Tenure Manual," and is available upon request.

Appendix 5

TEACHING PORTFOLIO⁴

What is a teaching portfolio?

A teaching portfolio is a factual description of a professor's teaching accomplishments. A portfolio includes documents and materials which collectively suggest the scope and quality of a professor's teaching performance. The portfolio is to teaching as lists of publications, grants and honors are to the documentation of research and scholarship.

A teaching portfolio is not an exhaustive compilation of all the documents and materials that bear on teaching performance. Rather, it presents selected information on teaching activities and evidence of their effectiveness. A teaching portfolio is not to exceed 25 pages in length. Just as statements in a *curriculum vitae* should be supported by convincing evidence (published papers, reports, research data, etc.), so claims in the teaching portfolio should be supported by firm empirical evidence.

Items that might be included in a teaching portfolio:

Candidates are encouraged to include the following list of items in their teaching portfolios noting that item 13 below is a requirement. Whatever is included, one should keep in mind that the purpose is to present a careful, thoughtful compilation of documents and materials that make the best case for the candidate's teaching effectiveness.

Materials from oneself:

1. Statement of teaching responsibilities, including specific courses, and a brief description of the way each course was taught. This statement could include description of student advising, including advising of theses and dissertations. It could also include description of students supervised in laboratory or field settings.
2. A reflective statement by the candidate describing personal teaching philosophy, strategies, and objectives. This statement could apply to courses and to teaching/supervising individual students in research, laboratories, or field settings.
3. A personal statement by the candidate describing teaching goals for the next five years.
4. Representative course syllabi which detail course content and objectives, teaching methods, readings, assignments, student evaluation procedures as well as a reflective statement as to why the class was so constructed.
5. Description of steps taken to evaluate and improve one's teaching. This might include changes resulting from self-evaluation, time spent reading articles or books on improving teaching, participation in seminars, workshops and professional meetings on improving teaching, obtaining instructional development

⁴ Two references were used to prepare this statement on teaching portfolios. Seldin, Peter, *The Teaching Portfolio: A Practical Guide to Improved Performance and Promotion/Tenure Decisions*. Bolton, MA: Anker Pub. Co., 1991. Seldin, Peter, *Successful Use of Teaching Portfolios*. Bolton, MA: Anker, Pub. Co., 1993

grants, and consulting with the Center on Learning and Teaching or other similar organizations.

6. Description of curricular revisions, or revisions in other forms of teaching, including new course projects, materials, class assignments, or other activities.
7. Self-evaluation by the candidate. This would include not only a personal assessment of teaching-related activities but also an explanation of any contradictory or unclear documents or materials in the teaching portfolio.
8. Contributing to, or editing, a professional journal on teaching in the candidate's discipline.
9. Additional information about direction/supervision of student honors papers, theses, dissertations, laboratory work, field work, or other forms of individual teaching of undergraduate or graduate students.

Materials from others:

10. Statements from colleagues who have observed the candidate in the classroom as members of a teaching team or independent observers.
11. Statements from colleagues who have systematically reviewed the candidate's classroom materials, course syllabi, assignments, testing and grading practices, text selection, and reading lists.
12. Statements from colleagues who have systematically reviewed the candidate's out-of-class teaching activities (e.g., student advising, supervising students in laboratory or field settings, chairing theses or dissertations, etc.)
13. Student course and teaching evaluation data. All portfolios should include student evaluation of courses. It is also required that there be some evaluation and comparison of a candidate's student evaluations to the department as a whole.
14. A statement by a chair assessing the candidate's teaching contribution to the department and discussing how the department plans to use the candidate as a teacher in the future.
15. Information on the candidate's performance as a faculty advisor. This would come primarily from students, but supplementary information might also come from the department chair or program coordinator within the department. For instance, a doctoral or masters program coordinator could comment on the adequacy, effectiveness, timeliness, etc. of a candidate's student advising in that program. To avoid bias, student evaluations should be solicited by the department chair, or other designated person.
16. Honors or other recognition from colleagues such as a distinguished teaching award or appointment to a committee on teaching.
17. Invitations to teach from outside agencies. This includes continuing education. Requests to present a paper at a conference on teaching one's discipline or on teaching in general.
18. Invitations to teach at other universities. Participation in teaching/learning symposia.
19. A professional exchange with colleagues inside or outside the institution. The exchange might focus on course materials, or methods of teaching particular topics, or helping colleagues improve their teaching.
20. Participation in local, regional, state or national activities related to teaching courses in the candidate's discipline.
21. Documentation of teaching improvement or development through the Center for Teaching and Learning.
22. Involvement in research or practice that contributes directly to teaching.

23. An audio or video tape of the candidate teaching a typical class.

The products of good teaching:

24. Student scores on candidate-made or standardized tests before and after a course, as evidence of student learning.
25. Student papers, reports, field-work reports, laboratory work books or logs, or student publications on course-related work.
26. Information about the effect of the candidate's teaching (both formal courses and individual advising, supervision, etc.) on student career choices or help given by the candidate to secure student employment.
27. Information about students who succeed in more advanced courses of study in the field.
28. Statements by former students on the quality of instruction, and how it affected their careers.
29. Student publications or conference presentations on work supervised by the candidate.
30. Examples of graded student papers, reports, etc. showing excellent, average and poor work along with the candidate's comments as to why they were so graded.

SAMPLE CONTENTS of a TEACHING PORTFOLIO

Example A

1. Personal teaching philosophy or reflective statement
2. Statement of teaching responsibilities
3. Description of courses taught
4. Description of student advising
 - a. Number of undergraduate, masters and doctoral students advised (specify if chair of committee member and if graduated or current).
5. Sample course syllabus
6. Sample examination
7. Self evaluation of teaching
8. Peer evaluation of teaching
9. Student evaluation of teaching
10. Impact of teaching
11. Co-authored publications with students
12. Awards won by student advisees

Appendix 6

PEER REVIEW of TEACHING

Peer review of teaching must be done at least every two years. The packages for promotion to associate professor and for promotion to professor would typically then contain a minimum of two peer reviews of teaching when reviewed by the Appointment, Promotions, and Tenure Committee.

In the School of Public Health peer review of teaching can take several forms: review of teaching materials such as syllabi, lecture notes, lesson plans, professor-prepared teaching materials, peer observation of classroom teaching, and peer observation of teaching in the laboratory, field, or other similar settings. For promotion and tenure reviews some form of peer review of teaching is required. The following *suggestions*, while primarily directed at peer observation of classroom teaching also apply to other forms of peer review.

Peer Observation for Evaluation

Although peer evaluation of research is the norm in higher education, peer evaluation of teaching is considered a new and potentially threatening practice. The criteria for evaluation of research are basically consistent between academic disciplines, but the lack of parallel criteria for teaching makes peer review more problematic. Consequently, one of the first requirements for developing a peer evaluation system in a department is that the faculty reach consensus on the dimensions of teaching that will be evaluated.

No system of peer evaluation of teaching will work without the same commitment to collegiality and fairness that is applied in peer evaluation of research. If the system lacks integrity, it will fail.

Based on research studies and the experience of institutions in which peer review of teaching is practiced, the following elements for peer review of classroom teaching are considered good practice:

1. Developing a peer review system requires extensive discussion among the faculty in a department. Faculty should reach consensus on the purpose and procedures of the system, and be allowed to try it out before it is officially adopted.
2. Peer reviewers should be trained. One of the reasons faculty members object to peer review is the fear that their colleagues may be unqualified to assess their unique teaching style. At UNC, the Center for Teaching and Learning can provide appropriate training in the principles and practices of peer review.
3. Observers must use a standardized observation/report form to ensure greater reliability across observers. The form should reflect the dimensions of teaching that the department faculty believe are important to effective instruction in their field. Figure 1 lists aspects of teaching that commonly appear on observation forms. A variety of forms are available from CTL.
4. Teams of at least two colleagues should perform the observation (together). The teams can be drawn from a pool of trained faculty in the department, and the teacher being observed should help make the selection. (If it's not practical to have two faculty do an observation, it can be done by one person.)

5. At least two observation visits in a course are recommended for adequate sampling. The schedule of visits must be negotiated with the faculty member being observed and there should be no unannounced observations.
6. Pre-observation and post-observation conferences should be held between the visiting team and the teacher. In the pre-observation conference, the teacher can describe the course design, his/her teaching philosophy, the kinds of students in the course, the goals for the course, and his/her teaching methods. This conference provides an adequate context for the observations. A post-observation conference should be held as soon as possible after the last classroom visit. The observation team should present their draft report to the teacher at this time and discuss the strengths and weaknesses they perceived during their visits.
7. Copies of the final report should be sent to the teacher and the Department Chair. The teacher should have the option of adding his/her own report to that of the reviewers.
8. All procedures for the system should be clearly specified and consistently applied.

FIGURE 1: OBSERVATION *of* TEACHING

Structure and Goals

Does the instructor's presentation show clear signs of planning and organization? Are the various instructional elements (lecture, blackboard material, handouts, overheads, etc.) effectively integrated? Is the class time used efficiently? Is the material presented effectively? Does the instructor respond appropriately to unanticipated situations?

Teaching Behaviors

Does the instructor maintain sufficient eye contact with students? Is the oral delivery too rapid, too slow? Does the instructor exhibit distracting mannerisms? Is the language used understandable to students?

Instructor-Student Rapport

Does the instructor demonstrate fair and equitable concern for all students? Do the students seem receptive to the instructor's ideas? Are student questions answered clearly? Is the instructor sarcastic to students? How would you describe the instructor-student relationship?

Subject Matter

Does the instructor demonstrate adequate knowledge of the subject? Is the course content up-to-date? Have the course materials been used many years without updating? Are the course readings current? Is the course content appropriate for the level of students in the course? Does the instructor demonstrate enthusiasm for the subject?

Overall evaluation

Do you believe you can properly judge the teaching-learning process in the classroom visited? Would you recommend this instructor to students advised by you? Why or why not? What specific changes are needed to strengthen teaching performance? How would you rate this instructor against others teaching similar courses in the department?

(from Seldin, P. *Changing Practices in Faculty Evaluation*. San Francisco: Jossey-Bass, 1984. p. 144)

Qualities of Effective Peer Reviewers

The effectiveness of both formal and informal arrangements for peer observation depends, to a large degree, on the characteristics of the observers. In one UNC department, faculty members who were asked to describe the qualities of an effective observer generated the list of characteristics that follows:

1. Has sensitivity; empathizes with the person being reviewed.
2. Sees improvement as the primary objective of the evaluation process.
3. Is an experienced teacher.
4. Is a good listener.
5. Gives specific, constructive feedback and advice.
6. Has integrity; takes the process seriously; prepares for the observations.
7. Sees different styles of teaching as valid and acceptable.
8. Is not doctrinaire about teaching methods.

These characteristics consistently appear in the literature on peer review, and successful programs emphasize the necessity of keeping them constantly in mind when visiting classes. The basic task of a peer reviewer is to ascertain if the teaching methods being used seem to be effective, not whether they conform to notions of teaching derived solely from personal experience. There are many ways to be effective.

Constructive Criticism

When writing a peer review report, and especially when providing feedback to a teacher, it is important to exercise one's skills in giving constructive criticism. Constructive criticism is descriptive and specific; it is focused on the behavior rather than the person and is directed toward behavior that the teacher can change. Constructive criticism is also "affirming": achievements and efforts toward change should be acknowledged and suggestions for further change should be made in a

positive way. The paragraph below, taken from a peer observation report, exemplifies this last point:

“The time and energy you have devoted to the preparation of the class discussion questions is clearly well-received by the students—they do the work and are clearly interested in the subject. This is a definite plus. You might find that many of the detailed, fact-based questions could be provided for the student to self-test their comprehension, and design others as integrating questions for discussion in class. This tactic works especially well in small groups...”

Assistance

The staff of the Center for Teaching and Learning is available for consultation on all aspects of teaching evaluation: 966-1289.

Appendix 7

Special Provisions for Extending the Maximum Probationary Period “Extension of the Tenure-Clock”

Background and Rationale

Meeting the expectations for tenure requires that a person work diligently and persistently. A serious illness, the need to care for someone else who is seriously ill, or similar compelling circumstances can significantly set a professor back in his or her progress towards earning tenure. The university has a provision for people in such circumstances. They are allowed to request that the “maximum probation period” towards obtaining tenure be extended. Extensions under subsection (iii) of the *Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill*, may be granted in increments not to exceed 12 months, up to a maximum of 24 months (including any extensions that may have been granted under subsection (ii) [Amended May 20, 2004]. The present document describes how this process transpires in the School of Public Health.

Process for Requesting an Extension

1. The faculty member confers with his or her Department Chair about an extension, and initiates a request in writing no later than 24 months before the end of the current term.
2. If the Department Chair agrees that an extension is in order, the Chair completes an appeal form (attached). If the faculty member has a joint appointment, the two Chairs will need to confer with each other. The form is then passed on to the Associate Dean for Academic Affairs.
3. If the Associate Dean for Academic Affairs concurs that the rationale fits the criteria for an extension, then he or she signs the appeal document and passes it on to the Dean. To accommodate the event that the appeal is denied by the Dean, the appeal must arrive in the SPH Administration 24 months before the end of the probationary period for the initial appointment or the end of the second probationary term.
4. The Associate Dean for Academic Affairs notifies the Department Chair of the Dean’s final decision.
5. Final approval for a request for an extension occurs in the Chancellor’s Office.

Criteria for a Postponement of a Tenure Decision

The following criteria are taken from the Trustees Policies. Some of the criteria are not cut and dried; they entail an element of discernment on the part of those assessing the appeal. The reason(s) must have occurred during the time of employment in the tenure track at UNC.

1. Serious illness or injury
2. Child birth
3. Care for a child or close relative for an extended period of time (e.g., spouse or parent)
4. Similar compelling circumstances

Appeal for Extension of the "Tenure Clock"

Date of appeal: _____
month/day/year

Name of professor _____

Department(s) _____
Primary Department Joint Department (if any)

Date of initial appointment to the tenure track at UNC _____
month/day/year

Date by when decision regarding tenure would be made normally⁵ _____
month/day/year

Proposed extended date for the tenure decision⁶ _____
month/day/year

___ First Probationary Term Extension ___ Second Probationary Term Extension

Check the following:

- Letter from the Department Chair to the Dean giving the reason for the extension is attached
- Copy of the faculty member's original letter requesting the extension is attached.

Signatures:

Department Chair (Primary Department) _____
date

Department Chair (Joint Department) _____
date

Associate Dean for Academic Affairs _____
date

Dean _____
date

⁵ At least 24 months prior to the date tenure becomes effective if granted.

⁶ Up to 24 months later than the normal date.

(12/7/09)

Appendix 8

How to Present an Effective Dossier

To the Appointment, Promotion and Tenure Committee

The Appointment, Promotion and Tenure Committee (“APT Committee”) is the third level of faculty review of promotion and tenure decisions. The APT Committee, composed of 12 faculty members, makes recommendations to the Executive Vice Chancellor and Provost, who makes the final decision, subject to confirmation by the Board of Trustees. These guidelines are provided to Department Chairs and Deans in an effort to ensure that dossiers are presented in as effective a manner as possible.

Recommended order of documents

- Form AP2
- CV (include the date last revised along with page numbering)
- Dean’s letter – demarked with a tab
- Chair’s letter
- Internal committee report, if submitted –demarked with a tab
- Sample solicitation letter for outside letters of reference
- Outside letters of reference – demarked with a tab
- Any other necessary material, including teaching evaluations if appropriate

AP2

Make sure the dates of all prior appointments are correct.

CV

The following is the preferred order for presentation of the CV. In every subheading, list items in reverse chronological order with most recent items first. Please date the CV so reviewers will know that they have the most recent version and number pages.

- Personal
- Education
- Professional Experience
- Honors
- Bibliography -- on all items, show author order
 - Books and Chapters, including pages
 - Refereed papers/articles, including pages
 - Refereed unpublished oral presentations and/or abstracts
 - Other unrefereed works, including book reviews, dissertations, monographs
- Teaching record
- Grants (source, amount, type of grant, role on project, starting and ending dates)

- Professional Service:
 - To discipline
 - Within UNC-Chapel Hill

Important Note: CVs should not include age, date of birth, marital status, or social security number (SSN). These items are not relevant and should always be omitted from the CV.

Additional Information

- Research Statement
- Teaching Statement
- Focus and brevity are appreciated in both the research and teaching statement; these should generally not exceed five pages. Both should include a short statement of future plans. (The SPH *Career Focus Statement* which includes all three areas, Teaching, Research, and Future Plans all into one comprehensive document will be accepted in-lieu of the three separate documents).

Dean's Letter

- Or signed endorsement on Chair's letter
- Must show the vote of School's Tenure and Promotion Committee
- Attach any document produced by School's Tenure and Promotion Committee.
- Should address any articulated concerns reflected in negative votes by School's committee of full professors.
- Need not, and should not, reiterate the Chair's letter.
- From Schools without departmental structure, the Dean's letter should incorporate the Chair's letter (information specified below).

Chair's Letter – The Most Important Recommendation

The Chair's letter should show clearly the considerations influencing the Chair's decision to recommend the candidate for tenure and/or promotion. The Chair should also frankly discuss any of his or her misgivings, reflected in negative votes or abstentions by any member of the department, or noted in any of the letters of reference. Open discussion of misgivings gives the Chair's ultimate decision much more credibility than an unalloyed letter of praise when the dossier indicates that some people have misgivings. If the Chair quotes from a departmental committee report, it should be attached.

The letter must show the vote of the full professors: yes, no, abstain.

If departmental policy calls for taking votes of other ranks, they should be reported also. Discuss any known or suspected reasons for negative votes or abstentions. (Abstentions are perceived as mildly negative votes.) State whether voting is closed (secret ballot) or open.

Discuss the research/scholarship career thrust, strategy and emphases of the candidate.

- Is there a clear path?

- How has it changed over time?
- What is the most promising outcome you can foresee for the scholarly trajectory?
- How does that trajectory mesh with departmental strategy and needs?
- What is the current national and international visibility and standing of the scholar?

Set the entries in context.

- Explain departmental standards and expectations for scholarship, teaching and service.
- Explain the importance, percentage of articles accepted, and relative standing of the journals in which the candidate has published.
- If the discipline is one of the rare ones in which certain conferences outrank the journals, explain that.

Discuss the research record in some detail.

- Explain relative roles in multi-author works, especially when multiple works have the same co-authors.
- Indicate the significance of author order, since disciplines differ radically in their customs in this matter.
- Indicate which items report work done as part of the candidate's dissertation, and which work has been done since joining the UNC Chapel Hill faculty.
- Indicate the relative weight of any publications completed by the candidate before joining the UNC Chapel Hill faculty.
- Note any external evidence of excellence of particular works: best paper awards, favorable reviews, high citation counts, etc.
- Insist that the status of unpublished works be precisely stated. *In press* means the work has been accepted without further revision and has left the author's hands; give the anticipated date of publication. *Accepted and under revision*, *submitted*, and *in preparation* all have precise meanings. *Under contract* does not; it must be supplemented with a clear indication of the state of completion.
- For books, indicate the standing of the press. Explain the relative importance of books versus articles in your discipline. Discuss the importance of textbooks and edited volumes in your discipline.
- If your field is one in which grant success is a common external measure of research quality, discuss the candidate's success in obtaining extramural funding (other than UNC Chapel Hill grant awards).

Letters of Evaluation

A minimum of four letters of evaluation are required: all four from outside the institution, all from individuals independent of the candidate, two from a list of names provided by the candidate and two from individuals selected by the Department Chair or Dean, as appropriate. Ideally, all of the letters should come from Research I Institutions: [research universities \(RU/VH\) with very high research activity](#). The purpose of these letters is to provide an independent and unbiased assessment of the individual's national and international reputation. Therefore, the request from the Department Chair or Dean to prospective writers of outside letters of evaluation

should be phrased neutrally and should not solicit an affirmative response or recommendation. **A copy of the letter requesting an evaluation of the candidate should be included in the dossier.** The letters may not be from individuals who have been directly involved with a candidate, e.g., a collaborator, mentor, previous co-worker, former dissertation chair, etc., but may be from individuals who know the candidate through professional interactions, e.g., reviewed the candidate's publications or service on review committees together.

- In addition to the minimum four required independent letters, any number of additional letters from any source may also be submitted. These may be from individuals within the institution with whom the candidate has collaborated or from former colleagues, collaborators, mentors or other individuals connected with the candidate.
- All letters of evaluation that are received must be made an official part of any appointment, promotion, and tenure package and must be part of the evaluation process of the candidate under consideration.
- In the appointment/promotion packet, each outside letter should have a designation in its upper right hand corner indicating whether the writer of the letter was suggested by the candidate or was chosen by the Department Chair or Dean.
- The letter to outside reviewers should include the following statement: "under current policies of this institution, peer evaluations, such as that being requested from you, are regarded as confidential within limitation imposed by law. They are for limited use within the University. However, North Carolina state law provides that such written evaluations become part of the personnel file of the individual. As such, they become open by petition to the faculty member about whom they are written."
- You are required, by rule and ethics, to include all the letters you received, not a selected subset.
- Explain which referees were solicited from the candidate's list and which were selected by you without any suggestion from the candidate.
- Tell any personal connection between candidate and referee, e.g., dissertation advisor, post-doc mentor.
- Explain why each referee was selected and the standing of each referee in the field, especially those of rank other than professor or from institutions that might be considered as lower rank than Carolina.
- Please don't quote extensively from the several letters, but a few-sentence summary of each is in order.
- Quoting just favorable sentences out of context hurts your credibility – APT members read the letters as well as your summaries of them.

Teaching and Service Record Discuss the teaching record, especially all assessments of teaching effectiveness.

- Include any quantitative data from student evaluations, and discuss trends over time.
- If you have a procedure for gathering non-quantitative student comment, report the results of that.
- Do not, however, provide input from selected individuals, as opposed to broad categories of students.

Discuss the service record. The important of service varies from unit to unit. Explain its role within your school or department, and discuss the candidate's service record.

A final word of advice for Chairs to give to candidates

The dossier will be read by many people; tell them what you would want to know if you were reviewing it. Be straightforward in your recitation of achievements, but omit the puffery, such as talks at your department's colloquium. Openness breeds respect; any perceived attempt to manipulate excites challenges.

Appendix 9

School of Public Health Post-Tenure Review Form

Name: _____
(faculty member being reviewed)

SPH Department: _____

Date of Last Review (includes last promotion): _____
(month/day/year)

Date of Post-Tenure Review (**current date**) _____
(month/day/year)

Review Delayed: Yes * _____ No _____
(*A delay requires approval by the Dean)

Development Plan Created: Yes _____ No _____
(If yes, attach a copy to this form)

**Attach a copy of current "Full C.V." to this form before sending to SPH Administration*

Signatures:

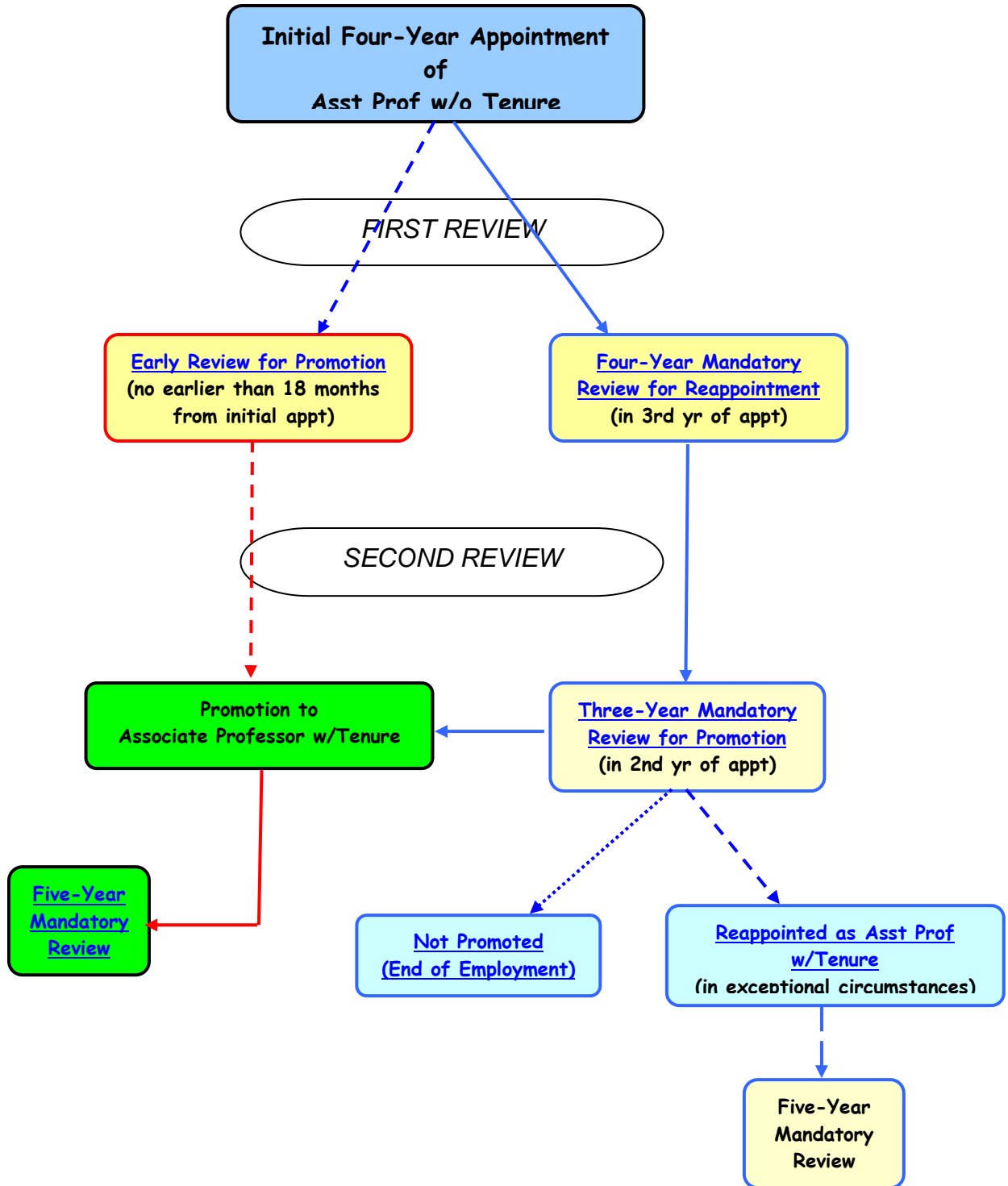
Faculty Member: _____ (Date)

Department Chair: _____ (Date)

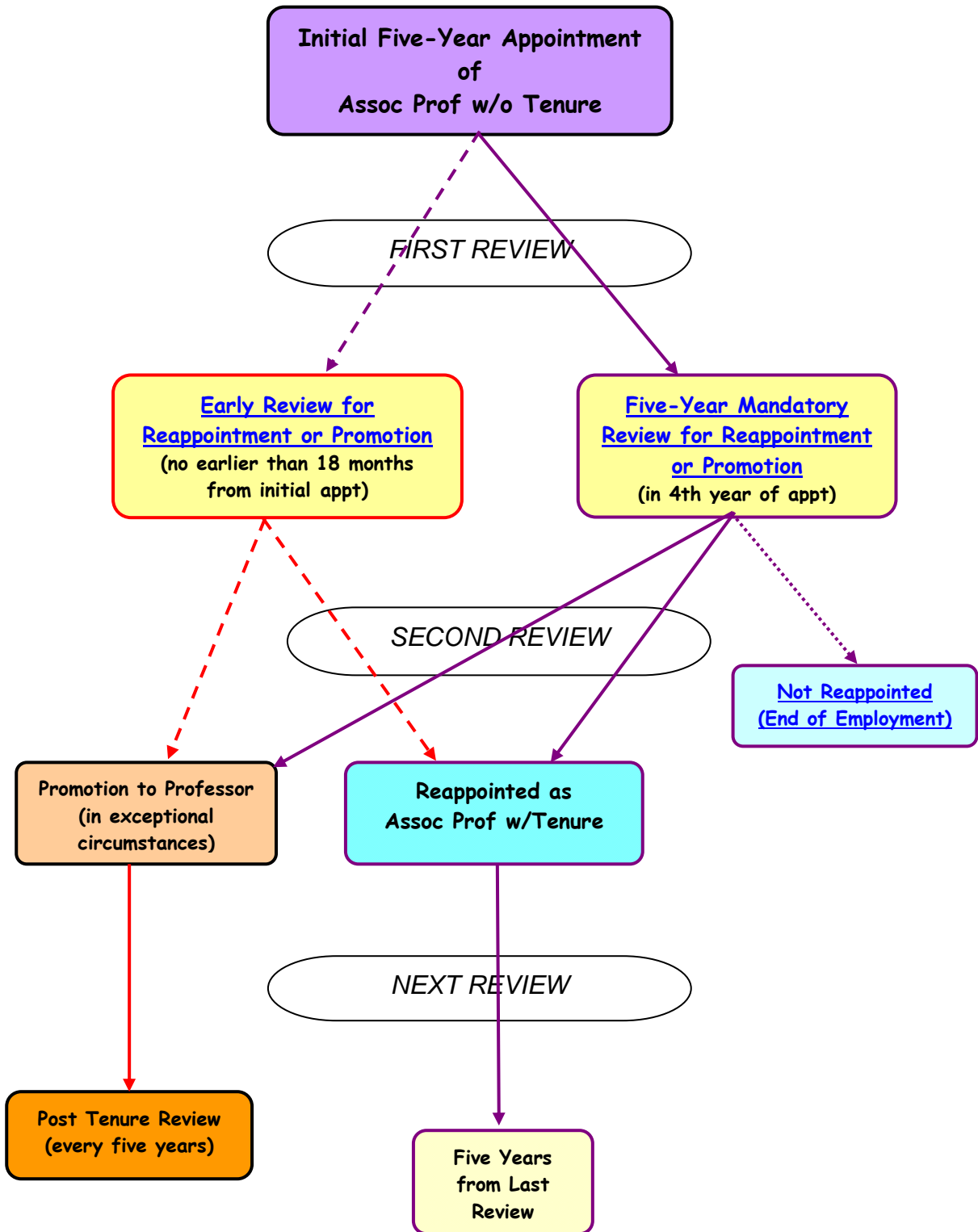
Associate Dean for Academic Affairs: _____ (Date)

Dean: _____ (Date)

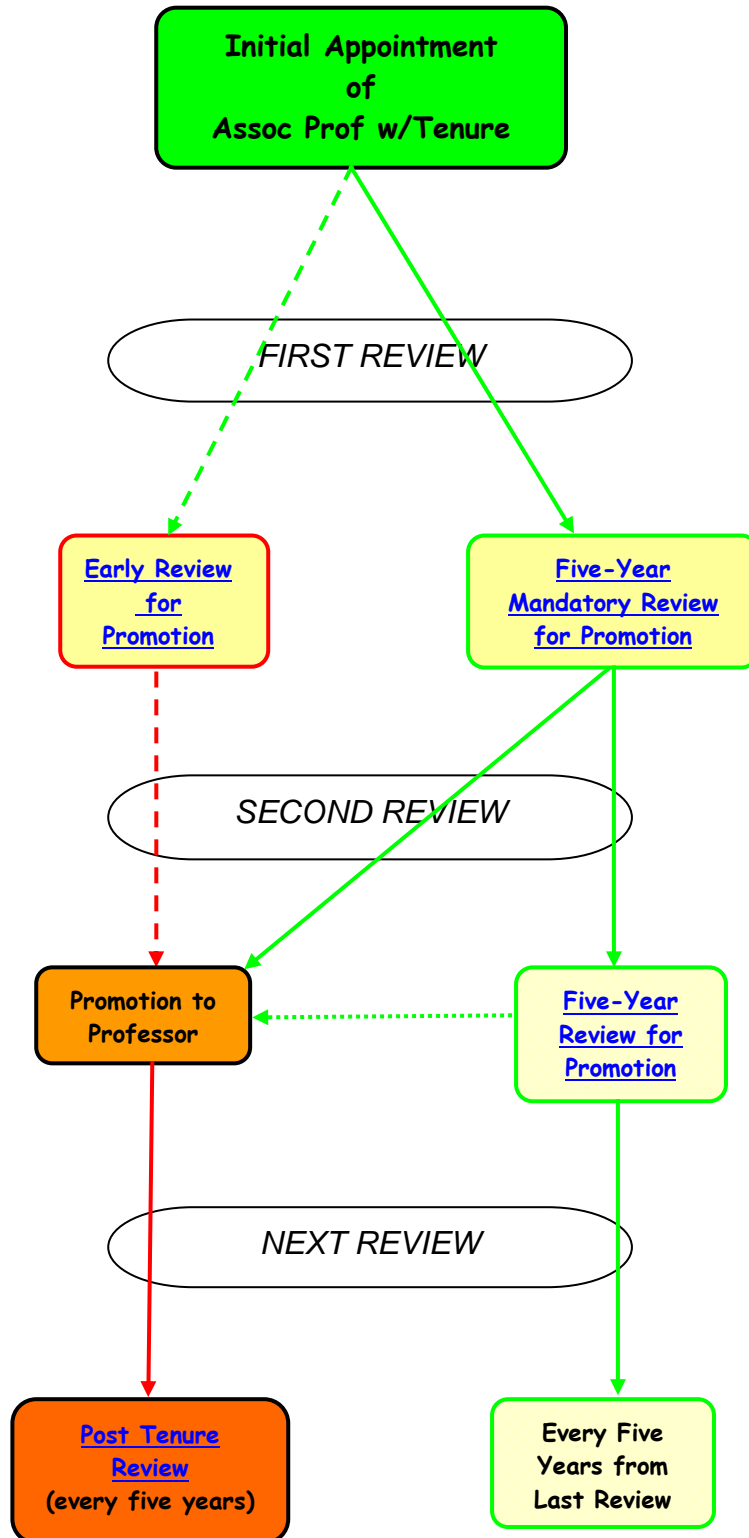
Appendix 10
Review Schedule for Assistant Professors w/o Tenure



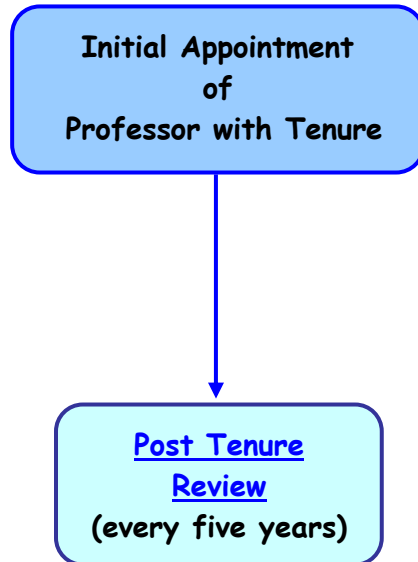
Review Schedule for Associate Professors w/o Tenure



Review Schedule for Tenured Associate Professors



Review Schedule for Professor with Tenure



Appendix 11

Levels of Review Required for Certain Personnel Actions

Personnel Actions	Dept. Full Prof.	SPH APT	HSAC, ASAC, or Acad Units	Provost	CO	UNC- CH APT SUB	UNC- CH APT	BOT	BOG
New Appointment									
Professor	X	X	X	X	X	X	X	X	
Associate Professor (<i>confers tenure</i>)	X	X	X	X	X	X	X	X	
Associate Professor (<i>probationary for 5 yrs</i>)	X	X	X	X	X			X	
Assistant Professor			X	X	X			X	
Instructor/special degree provision			X	X	X		X	X	
Instructor/no degree provision			X	X					
Joint tenured appointment	X	X	X	X	X	X	X	X	
Joint tenure track appointment (<i>secondary</i>)			X	X	X			X	
Reappointment									
Associate Professor (<i>confers tenure</i>)	X	X	X	X	X	X	X	X	
Assistant Professor (<i>2nd term</i>)			X	X	X			X	

Personnel Actions	Dept. Full Prof.	SPH APT	HSAC, ASAC, or Acad Units	Provost	CO	UNC-CH APT SUB	UNC-CH APT	BOT	BOG
Instructor/special degree provision			X	X					
Promotion									
Associate Professor (<i>confers tenure</i>)	X	X	X	X	X	X	X	X	
Professor (<i>already tenured</i>)	X	X	X	X	X	X	X	X	
Other Actions-Tenure Track Only									
Deferral Decisions and/or Decisions Not to Promote			X	X	X		X		
Non-Renewals			X	X	X		X	X	
Tenure Track Reduction in FTE				X	X		X		
Extension of Probationary (Tenure Track) Appt.				X	X				
Designation to Named Professorship			X	X	X	X	X	X	
Tenure Track department faculty transfer	X	X	X	X	X	X	X	X	
End of Employment				X	X			X	
Change of initial appointment to an earlier date			X	X	X	X	X	X	

Personnel Actions	Dept. Full Prof.	SPH APT	HSAC, ASAC, or Acad Units	Provost	CO	UNC-CH APT SUB	UNC-CH APT	BOT	BOG
Other Actions-All EPA Faculty									
Leave of Absence (6 mos. or more)				X	X			X	
Off-Campus Assignment				X	X				
Conversion from 12-Month to 9-Month Appt.				X	X				
Out-of-cycle salary increases less than 10%				X	X				
Out-of-cycle salary increase exceeding 10% AND \$10,000 if previous June 30 salary				X	X			X*	
Out-of-cycle salary increase of 15% AND \$10,000 if previous June 30 salary				X	X			X*	X
Fixed Term New Employment salaries exceeding salary levels				X	X		X	X	
Removal of funding contingency clause				X	X			X	
Secondary Administrative Appts (salaried or non-salaried)				X	X				
Department Chair	X	X		X	X			X	
Center Director				X	X				
Dean				X	X	X	X	X	

*Cannot be approved in months where meetings are held by mail ballot.

updated: (03/06/08)

Tenure Track	#Copies (incl Orig)			Initial Appointment			Reappointment			Promotion		(Add'l Joint) Appt
	ASAC	Acad Affairs	HSAC	Asst Prof or Instr	Assoc Prof w/o Tenure	Full or Assoc Prof w/ Tenure	Instr	Asst Prof to 2 nd Term (in 3 rd Yr)	Assoc Prof w/ Tenure	From Asst to Assoc Prof	From Assoc to Full Prof	
Standard Order: #1-8	6	4	8									
1. AP2				◆	◆	◆	◆	◆	◆	◆	◆	◆
Full Curriculum Vita (dated w/page #s)												
a) Personal												
b) Education												
c) Professional experience												
d) Honors												
e) Bibliography (show author order)												
Books & chapters (incl pgs)				◆	◆	◆	◆	◆	◆	◆	◆	◆
Refereed papers/articles (incl pgs)												
Refereed unpublished oral presentations &/or abstracts												
Other unrefereed works (incl book reviews)												
f) Teaching activities: List courses for the past three years, number of students taught by section. Give names of graduate students supervised, thesis titles, and completion dates for degree work since employment at UNC-CH. Undergraduate honors projects should be included as well.							◆	◆	◆	◆	◆	◆
g) Grants (role, amount, dates, agency, etc.)				◆	◆	◆	◆	◆	◆	◆	◆	◆
h) Professional service							◆	◆	◆	◆	◆	◆
i) Research statement							◆	◆	◆	◆	◆	◆
j) Teaching statement							◆	◆	◆	◆	◆	◆
2. Recommendation letter from the Dean to the Provost or from Chair endorsed by the Dean. (see example) [mark with tab]				◆	◆	◆	◆	◆	◆	◆	◆	◆
3. School/Department Promotions Committee report (if available)				◆	◆	◆		◆	◆	◆	◆	◆
4. Copy of letter soliciting recommendation (see example)									◆	◆	◆	
5. Outside letters of recommendation (at least four; include all letters received, not a selected subset) [mark with tab]				◆	◆	◆			◆	◆	◆	
6. Teaching evaluations: Summaries should be provided showing quantitative data which evaluates the teaching effectiveness. (Do not include individual student evaluations or grade sheets.)							◆	◆	◆	◆	◆	
7. Peer evaluations							◆	◆	◆	◆	◆	
8. Any additional information or materials that the school would like to submit but which is not duplicative of the above, e.g., support info on clinical service, and/or administrative duties.				◆	◆	◆	◆	◆	◆	◆	◆	◆
Requirements Not Part of the Standard Order (include with Originals)												
9. Copy of EPAWeb Action (or ATF Form)	1	1	1	◆	◆	◆	◆	◆	◆	◆	◆	◆
10. AP2a	1	1	1	◆	◆	◆						
11. EEO Approval	1	1	1	◆	◆	◆						
12. I-9 Form with approved EEV verification # (to EEV Coordinators in HR Workforce Planning & Compensation)				◆	◆	◆						
13. Tax Cards & Payroll Direct Deposit (to Payroll)				◆	◆	◆						
14. Criminal Conviction Check Authorization [Appointee should send form in sealed envelope marked "confidential" to the appropriate Dean's Office.]				◆	◆	◆						
15. Recommendation for Joint Appt (if applicable)	1	1	1									◆
16. OP1 (keep in dept office)				◆	◆	◆						

