

# School of Public Health

## Academic Affairs

# Handbook

Always use most recently updated version of the handbook, available online at the SPH website:

**[sph.washington.edu](http://sph.washington.edu)**

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## ***Introduction***

### **Faculty Council**

The Faculty Council (FC) advises the dean on all proposed promotions for regular and research faculty, including lecturer titles, tenure proposals, and new appointments at the levels of associate and full professor and senior lecturer. It is also the responsibility of the FC to inform departments of requirements and criteria for promotion, to specify appropriate review materials, to establish time schedules for review, and to gather all necessary information for promotion decisions. After the review of a proposed appointment or promotion, the FC makes a recommendation to the Dean. If the chair and the department faculty do not agree on a particular proposed appointment or promotion, the FC also plays a fact-finding role. The FC will meet with both the department faculty and the chair to determine the cause of the disagreement before making its recommendation to the Dean. In cases where the FC does not agree with the chair of a department on a proposed appointment or promotion, the FC meets with the chair of the department. The chair then presents the case and then the FC will make its recommendation to the Dean.

The FC also advises the Dean on matters involving academic affairs policy, including priorities, resource and salary allocation, and budgets.

Each department elects a representative and an alternate to the FC. Terms are for 3 years and may be renewed only once by a vote of the department faculty. All full regular professors are eligible to serve, including joint faculty who hold voting rights in their School of Public Health (SPH) department. In such cases where the elected representative is a research professor, the other representative must be a regular track professor, who would vote on regular-track promotions where the research faculty member is not eligible to vote. Faculty members should consider carefully the selection of a departmental representative, as this person will present each proposal for promotion or appointment for their department to the FC and serve as an advocate. It is probably advantageous to have a more experienced faculty member represent the interests of departmental colleagues.

The Faculty Council also shall include a representative from the interdisciplinary programs (Nutritional Sciences and Public Health Genetics) in the School of Public Health. The interdisciplinary program representative is eligible to vote on all issues, except proposed faculty appointments or promotions. This representative shall be selected from faculty members of these programs at the associate professor or higher level whose primary appointment is in the School, according to a procedure determined by the faculty of these programs. This is a one-year, renewable term.

Each spring quarter, the Council elects a Chair and Vice Chair from among the members of the Council. The term of office of the Chair and Vice Chair is one year. Appendix 12 lists the SPH Faculty Council Membership. Use of Faculty Titles

### **I. Qualifications for Regular Faculty Appointments**

Information regarding regular faculty appointments may be found in the *UW Faculty Code*, Chapter 24, Section 24-34.

**Assistant Professor:** requires completion of professional training in many fields marked by the Ph.D., and a demonstration of teaching and research ability that evidences promise of a successful career. Appointment to this rank demonstrates a clear commitment of the individual to an academic career and of the University to the individual. Initial appointments are for three years. In the spring of the second year, each assistant professor should be reviewed to determine whether a second three year appointment is desirable.

**Associate Professor:** requires a record of substantial success in both teaching and research, except that in unusual cases an outstanding record in one of these activities may be considered sufficient.

**Professor:** requires outstanding, mature scholarship as evidenced by accomplishments in teaching, and in research, as evaluated in terms of national or international recognition.

## II. Qualifications for Research Faculty Appointments

Information regarding research faculty appointments may be found in the *UW Faculty Code*, Chapter 24, Section 24-35. Information regarding senior fellows can be found on the Academic Human Resources website, [http://www.washington.edu/admin/acadpers/job\\_descriptions/Senior\\_Fellow.html](http://www.washington.edu/admin/acadpers/job_descriptions/Senior_Fellow.html).

**Senior Fellows:** Senior fellows are considered junior faculty; the title is equivalent to research associate. The title is intended to be an extension of professional training for someone who has recently received a terminal degree such as PhD or MD. This title may be held for up to three years with the possibility to renew up to six years total. All senior fellows are appointed on a twelve-month basis. This title can only be offered to those who are within 5 years of receipt of their terminal degree.

A senior fellow cannot subsequently be placed into a permanent faculty position without a national search. Senior fellows may be appointed to additional faculty titles such as acting instructor or acting assistant professor while holding a fellowship.

**Research Associate:** Research Associates **may not** be members of the graduate faculty. (Also see pp. 44-45) Appointments may be for one, two or three years, with a maximum total of six years in this title at the UW. This title can only be offered to those who are within 5 years of receipt of their terminal degree. Searches are not required. However, if a search is not conducted the research associate is not eligible for promotion to the other research professorial titles, though he or she may compete for open, nationally advertised faculty positions. If the person was hired through a national search, the person is eligible for promotion and advancement through the research faculty ranks without the department initiating a new search process.

Persons holding a Research Associate title may **not** be principal investigators.

**Research Assistant Professor:** This is the initial level of appointment for faculty entering the research faculty track. National searches, and credentials equivalent to regular assistant professors are required, including possession of the terminal degree in the field. These appointments follow an appointment track identical to assistant professors: initial appointment for three years, with a review during spring quarter of the second year. If the appointment is renewed a mandatory review for promotion or non-renewal must be made by the sixth year of appointment.

**Research Associate Professor and Research Professor:** Appointment or promotion to these titles require credentials equivalent to those of the corresponding regular rank, with emphasis on research productivity and grant and contract support. Appointments may be for up to five years, with renewal decision during autumn quarter of the last year of the appointment period.

## III. Qualifications for Instructional Faculty Appointments

Information regarding instructional faculty appointments may be found in the *UW Faculty Code*, Chapter 24, Section 24-34.

**Teaching Associate:** Teaching Associate is a title that may be conferred on non-students with credentials more limited than those of an acting instructor. Appointments are one year or less.

**Instructor:** Instructor is a title that may be conferred on persons who have completed professional training, in many fields marked by the Ph.D., and if fulfilling a temporary, clinical or affiliate instructional need, or is in a temporary transition period between post-doctoral training and mentoring and entry into the professional ranks. These appointments are limited to acting, affiliate or clinical.

**Lecturer:** Lecturer is a title that may be conferred on persons who have special instructional roles. Appointment terms may not exceed five years in length. The normal appointment period of a part-time lecturer shall be for one year or less, with exceptions to be reviewed by Provost. A full-time lecturer hired as the result of a national search, prior to expiration of an existing appointment, may be considered for appointment as a senior lecturer.

**Senior Lecturer:** Senior lecturer is a title that may be conferred on persons who have special instructional roles and who have extensive training, competence, and experience in their discipline. Appointment terms may not exceed five years in length. The normal appointment period shall be for a minimum of three years with exceptions to be reviewed by the Provost. The normal appointment period of a part-time senior lecturer shall be for one year or less, with exceptions to be reviewed by Provost.

**Principal Lecturer:** Principal lecturer is a title that may be conferred on persons whose excellence in instruction is recognized by appropriate awards, distinctions, or other major contributions to their field. Appointment terms may not exceed five years in length. The normal appointment period shall be for a minimum of three years with exceptions to be reviewed by the Provost. The normal appointment period of a part-time principal lecturer shall be for one year or less, with exceptions to be reviewed by Provost.

#### **IV. Qualifications for Titles Used in Conjunction with Faculty Titles**

Information regarding the titles described in this section may be found in the *UW Faculty Code*, Chapter 24, Section 24-34.

**Acting:** The acting title denotes a temporary appointment for qualified persons in the instructor title (the instructor title is no longer used but candidates may be hired as acting instructors) or at regular professorial ranks. It is used for people who will be on the faculty for one year or less, or for people who have not yet completed the requirements for a regular appointment. It may not be used with research titles or any annual appointments. At the UW use of an acting title may not exceed four years in any one rank or title, or six years in any combination of ranks or titles. This title may not be used for assistant professors that are not renewed.

**Adjunct:** An adjunct appointment denotes an appointment extended only to a regular or research faculty member who holds a primary appointment in another UW department to recognize their contributions to a secondary department. It does not confer governance or voting privileges or eligibility for tenure. Appointments are one year or less.

**Affiliate:** An affiliate appointment requires qualifications comparable to those for appointment to the corresponding professorial rank or title. These appointments recognize the professional contributions of those whose principal employment responsibilities lie outside the colleges or schools of the University. Appointments are one year or less. Depending on the granting agency and the role of the individual, it is possible for a person holding an affiliate title to serve as principal investigator.

**Clinical:** A clinical title denotes an appointment conferred at the appropriate professorial rank, usually to someone with a primary appointment with an outside agency or non-academic unit of the University, or in private practice. Clinical faculty make substantial contributions to University programs by working with

faculty in preparing and assisting in instruction of students and in practicum settings. Appointments are one year or less.

**Emeritus:** An emeritus appointment is given to a faculty member (including research and clinical) who has officially retired from UW service and whose scholarly, teaching or service record has been meritorious. The usual criteria are at least 10 years prior service on the faculty and achievement of the rank of professor or associate professor.

**Joint:** A joint appointment is one that recognizes a regular or research faculty member's long term commitment to (and participation in) two or more UW departments. One department is designated the primary department; the others are secondary. This designation can be changed only with the concurrence of the faculty member and the appointing departments; the same is true of relinquishing a joint appointment. Personnel determinations (salaries, promotions, leave, etc.) originate with the primary department but may be proposed by a secondary department; all actions must have the concurrence of the secondary departments. (For more information on appointments that are considered joint with an affiliated institution, see *Guidelines for Appointments and Promotions for UW School of Public Health (SPH) Faculty Based at External Institutions* below.)

A regular faculty member with a joint appointment(s) may arrange to participate in the governance of the secondary department(s); these arrangements must be in writing, and will be used in determining the quorum for faculty votes.

## V. Visiting Titles

**Visiting Professor (Associate or Assistant Professor or Lecturer):** This title indicates that the appointee holds a professorial position at another institution and is temporarily employed at the University. If the person does not hold a professorial position, they may be designated as a Visiting Lecturer.

**Visiting Scholar:** The visiting scholar title is an honorary title for a person who holds a professorial title elsewhere, but is not employed by the UW. The purpose is to recognize the visitor's presence and extend the use of UW facilities and privileges. Visiting Scholars must have an ongoing relationship (normally employment) with their home institutions. They cannot be paid, but they may take courses at the UW. To receive credit for courses, they must pay tuition; it cannot be waived.

**Visiting Scientist:** A visiting scientist is an honorary title for (1) visiting faculty or research personnel who are not US citizens and who may be eligible for medical/dental insurance, but who are not participants in the University's retirement program and who are not subject to Social Security taxes; or (2) for appointments of 3 months or less, visiting faculty or research personnel who are US citizens and who are not eligible for medical/dental insurance and retirement benefits, but for whom Social Security taxes must be paid.

## ***Recruitment***

Details on procedures for hiring new faculty (filling out the *SPH Request to Open a Faculty Position*, advertising, the search process, meeting affirmative action requirements, composing the offer letter, and the *SPH Faculty Diversity Search Committee Checklist*, etc.) can be found on the *SPH Academic Affairs SharePoint* site. These guidelines apply to recruitment of regular and research faculty as well as lecturers. Highlights of the procedures are as follows:

### **I. Opening a Position**

The department faculty may be consulted in the decision to open a position, but a faculty vote is not required. The department chair should forward a copy of the position advertisement to the Manager of Academic Affairs in the Dean's Office, accompanied by a *SPH Request to Open Faculty Position* form. When the advertisement is satisfactory to School expectations the Senior Associate Dean will concur on the *SPH Request to Open Faculty Position* form and the position will be forwarded for further institutional review. After the advertisement has been reviewed at the Dean-level it will be entered into the Academic Human Resources Search Form on their website by the Manager. There it will be reviewed for compliance by three units, including EOAA, International Services Office, and AHR. The advertisement will either be approved or returned with requests for further changes.

When the chair appoints a search committee, they should ensure diverse representation whenever possible, and the Manager of Academic Affairs should be contacted prior to the first search committee, and asked to brief the search committee on faculty advancement resources, particularly the *SPH Faculty Diversity Search Committee Checklist*

For joint searches with affiliated institutions, such as the FHCRC, at least one faculty member from the appointing UW department must sit on the search committee, and the position opening and advertisement must be approved in advance, following the procedure described above.

### **II. Advertising the Position(s)**

Open positions should be advertised nationally by whatever means appropriate. Minimally, advertisements should be placed in a national professional print journal or online through *The Chronicle of Higher Education* for a minimum of 30 days before an offer can be made. In addition (but not in place of), the search committee may use other methods to identify appropriate candidates, such as contacting colleagues at other universities, advertising at professional meetings, contacting nationally known minority and women scholars in the field, and using name exchange lists.

Advertisements **must** specify the exact **title** of the position. Departments cannot make appointments at a level different from that advertised. (If the level of the position will depend on the experience of the applicant, the ad should specify **all possible titles** that will be considered, for example, "Position available at the level of assistant or associate or full professor, depending on experience.") To change the level of an appointment that has already been advertised, the department must begin a new search process and re advertise for 30 days in a national journal. The ad must include the words "teaching" or "instruction" if appropriate, as well as an indication that research is expected. It must also state what degree is required, and a specific number of months/years of experience necessary, if any.

All ads are to include one of the UW-approved Equal Opportunity Affirmative Action statements found on-line at: <http://ap.washington.edu/eoaa/equal-opportunity-and-accommodation-statements/>.

It is essential that the ads specify a closing date for applications. This will ensure that searches are not



continuously open, and that vacancies are filled from a prescribed applicant pool. Departments may use the wording, "The closing date is XX/XX/XX or whenever filled." It is possible that searches without advertised closing dates might be declared invalid by the UW Equal Opportunity Officer.

Local candidates may be invited to apply for vacancies, but should not be given preference over more highly qualified candidates.

### III. Meeting Affirmative Action Requirements

In order to meet affirmative action compliance requirements, the UW must collect data on the race, sex, and ethnicity of **all** candidates who have applied for a specific position by requesting that they complete and return *Affirmative Action Information Request* link provided by Academic Human Resources at the time of search approval. Response by the applicants is voluntary; however, the link must be distributed to all applicants who have e-mail, and a form mailed for those who don't. The Department must complete the corresponding *Applicant Flow* link for that specific search when the position is filled. The chair of the search committee is responsible for ensuring that this is done. The chair of the search committee should ensure that the staff persons coordinating the search process are aware of these procedures.

Records of all applicants must be retained by the department for three years, including CVs and all correspondence. See the UW's retention schedule for more details:

<http://f2.washington.edu/fm/recmgt/retentionschedules/gs/general>.

### IV. Offer Letters<sup>1</sup>

After the department faculty has voted to recommend an appointment, the department sends a formal letter to the candidate that includes the proposed terms of appointment, and explains the appointment process and conditions of service. The offer letter must be sent to the Manager of Academic Affairs in the Dean's Office and reviewed by the Dean, Senior Associate Dean, Chief Financial Officer, and the Manager of Academic Affairs. This review is conducted initially via e-mail of the proposed final draft offer to the Manager of Academic Affairs. Once the letter has been approved and typed in final form, the Dean will sign in concurrence on the candidate's copy prior to it being sent to the candidate.

Offer letters should include the following information:

- Indicate that the Dean has authorized the chair to proceed with negotiations.
- Include the phrase "this proposed appointment, like all others from the University of Washington, will only become effective upon approval of the President and the Board of Regents of the University."
- State proposed title (rank and department), length of appointment (annual, three years, etc.), term of appointment (usually 12 months), and effective date
- State proposed salary in both annual and monthly amounts (and source of funding).
- Discuss courses to be taught, additional responsibilities to students, and any administrative or committee responsibilities.
- Advise the candidate that faculty are expected to engage in productive research and **seek publication of the results**. Inform the candidate of available research facilities.
- Inform the candidate that the chair will hold annual meetings specifically to discuss their progress in terms of promotion.

<sup>1</sup> Please note that there are additional guidelines particular to the SPH for hiring faculty who will also have an appointment at an affiliated institution. .

- Summarize retirement programs, insurance programs (or refer the candidate to the appropriate UW websites), and additional benefits such as moving expenses, lab space, etc.
- Request that the candidate respond by a specific date.
- Request completion and return of the *UW Biography Form*, the *UW Criminal and Conviction Form* and other forms enclosed at the discretion of the chair (please see the AHR forms web page: <http://ap.washington.edu/ahr/>).

## ***Appointment of New Faculty***

### **I. Appointment Process**

Once the search for a faculty member has been completed and an offer has been made and accepted by a candidate for an appointment to the SPH faculty, the paperwork is forwarded to the Manager of Academic Affairs in the Dean's Office. The process below applies to all faculty appointments which require a search: lecturers, senior lecturers, and research associates being appointed for more than one year and/or who may be considered for promotion any time in the future, and all assistant, associate and full, regular or research professorial faculty.

1. If the appointment is at the associate professor level or above or at the rank of Senior Lecturer, the Faculty Council will review the appointment and make a recommendation to the Dean.
2. The Dean receives the Faculty Council's recommendation. A letter of concurrence signed by the Dean to the Provost is included in the packet. The packet is then forwarded to the Office of Academic Human Resources (AHR).
3. AHR reviews the packet and forwards a copy to the Equal Opportunity Office (EOO) for a review of the search process. Information regarding faculty appointments of non-citizen non-permanent residents is sent to the International Scholars Operations (ISO) for processing.
4. After the appointment is approved by AHR, EOO confirms that a legal search took place, and ISO confirms that the candidate has the appropriate permissions to work in the U.S., and the packet is forwarded to the UW Board of Regents Office to be considered at the next meeting. The Regents meet once a month except during April, August, and December (if circumstances permit). AHR is then notified of the final decision.
5. AHR notifies the Dean's Office and the department(s) of the Regents' decision.

For faculty whose appointments do not require a search, the process concludes with the AHR review in step three and the new faculty member is entered into the payroll system.

Because this is a multi-step review process it is important for each step to be accomplished in a timely manner. For new appointments that require a search and therefore must be approved by the Regents, this process can take up to six weeks or longer from the time it is received by the Dean's Office.

### **II. The Contents of the Appointment Packet**

The appointment packet must contain the items described below in the order listed. Information on the letter from the chair to the Dean and letters of recommendation are described below. For a more details regarding the materials required, please refer to the Appointment Checklists.

- Letter from the Chair to the Dean
- Letter or signature of concurrence from the chair of the joint/adjunct department(s)
- Copy of the offer letter
- *UW Conviction and Criminal History Form*
- *UW Biography form*
- Letters of recommendation
- SPH faculty CV
- Student Teaching evaluations (only if preferred by the candidate)
- Peer Teaching evaluations (only if preferred by the candidate)
- 3-5 publications (not required for assistant professors; required for associate and full professors)
- Search Documents (ad, applicant flow)
- Personnel Documents may be forwarded directly to AHR (Visa, W-2, etc.)

### III. Letter from the Chair to the Dean

- Candidate's full name
- Proposed title (for professorial appointments, including assistant professor, include the designation "tenure track" or "with tenure," or "without tenure due to source of funding," as appropriate)
- Effective date of appointment (for visiting or other temporary appointments, include beginning and ending dates of appointment)
- Background: all degrees received, when and where awarded, field of study
- Teaching experience, if any
- Summary and assessment of research experience
- Ability to obtain external funding
- Responsibilities of the candidate: teaching responsibilities, anticipated research goals, description of how candidate fits in departmental research program, administrative responsibilities (if any), and other responsibilities
- Faculty vote as follows: Faculty: # yes, # no, # abstentions, # absent and not voting<sup>2</sup>. (Voting faculty include: regular and research professorial faculty, full-time lecturers and retired professorial faculty during the quarters they are serving on a part-time basis. See *UW Faculty Code*, Section 21-32 for further details.)
- Recommendation of the chair (the chair does not vote with the faculty)

If a faculty member is being proposed for a joint appointment, with the primary appointment in another department, the department faculty must vote specifically to offer voting privileges with the appointment. Once privileges are awarded, either by faculty vote or *de facto*, they cannot be revoked without the faculty member's consent.

### IV. Letters of Recommendation

Regular and research track assistant, associate and full professor appointments require **four** letters of recommendation. Ordinarily, three of the letters must be from persons at academic institutions; and preferably at least one letter should come from outside the candidate's home institution.

(Note: If a regular/research assistant professor has received all his or her education at the UW, and it would be difficult to obtain an external review, it may be permissible to use internal letters. Individual cases should be discussed with the Senior Associate Dean.)

Research and teaching associates, lecturers, senior and principal lecturers, acting instructors and all acting professorial faculty appointments require **three letters** of recommendation.

### Clinical, Affiliate, Adjunct Titles, and Post-Doctoral Scholars, Visiting Scientists and Visiting Scholars Appointments

Affiliate and clinical faculty titles require a letter from the chair with a record of the faculty vote, a *UW Biography Form*, a CV, the *UW Criminal/Conviction*, and at least one letter of recommendation. Adjunct titles require the letter from the chair, the CV and concurrence of the home department chair. This may be given on the secondary chair's letter to the Dean. Post-doctoral scholars (all senior fellow titles) require a *Post-doc*

<sup>2</sup> If there are a substantial number (greater than 25%) of negative votes, abstentions, or absences, compared to the total number of eligible voters, the chair's letter should give an explanation. Paper ballots are preferred, and absent faculty should be provided with ballots to complete the vote. E-mail votes are acceptable only if all faculty have agreed to use this method, as it does not allow for confidential ballots.

*Scholar Form*, a *UW Criminal/Conviction* form, and a CV. Visiting scientist titles do not require a vote although they do require a chair's letter, CV, at least one letter of recommendation, and a *UW Biography Form*.

## ***Guidelines for Promotion***

### **Introduction**

Members of the faculty at the University of Washington in the School of Public Health (SPH) are scholars in their respective disciplines in public health. Members of the faculty are encouraged to collaborate with fellow faculty or students whenever it is appropriate, and conduct themselves in a collegial manner. Interdisciplinary contributions are encouraged. When faculty are considered for promotion to the next rank, senior or higher-ranking department faculty, the department chair, and the Faculty Council of the School and the Dean will evaluate evidence of the faculty member's scholarship. Subsequently, the promotion packet is reviewed by the Provost and Board of Regents. Typically candidates are informed of promotion decisions during spring quarter.

Generally faculty considered for promotion should have demonstrated contributions to scholarship in the areas of teaching, research and service. In the SPH, an additional area of scholarship that can be taken into account is that of academic public health practice (academic PHP). Evidence of scholarship in research and evidence of scholarship in academic PHP will be considered together. All candidates for promotion must have published in peer-reviewed journals. The senior faculty and the Faculty Council, in reviewing a candidate proposed for promotion, will look for evidence of quality, productivity and impact in the areas of teaching, research/academic PHP, and service.

### **Promotions**

University guidelines for the promotion of faculty members are found in *University of Washington Faculty Code, Chapter 24* and are followed by the SPH. Listed below are further guidelines for promotion of faculty in the SPH, including expectations of teaching activities within the School. The new guidelines have been developed in consultation with the faculty of all SPH departments. The general standards of quality and productivity in each area of scholarly activity, teaching, research, academic PHP, and service are described below in turn.

It should be noted that there is an expected minimum in the three areas of teaching, research and service. A faculty member who simply meets the minimum in these areas is not guaranteed promotion. Conversely, it is also recognized that in exceptional circumstances a faculty member who does not satisfy the general standards of scholarship for promotion in one area of scholarly activity as outlined below may nevertheless be recommended for promotion, based on outstanding achievements in one or more other areas.

Annually, all eligible members of the faculty shall be informed of the opportunity to be considered for promotion by their department chair (or chair's designee). At the request for the faculty member, or if the promotion decision is mandatory, a promotion review shall be conducted. (*University of Washington Faculty Code, Section 24-54, "Procedure for Promotion"*). Meetings between a faculty member and his or her department chair should occur on an annual basis, and progress toward promotion should be discussed. It is hoped that these SPH promotion guidelines will help the candidate throughout his or her career, and will help structure the annual discussions with the department chair.

### **Lateral Moves or Promotions to Different Tracks**

A faculty member may move laterally or be promoted from the research track to the regular track (without tenure) or vice versa, by a vote of the faculty, provided the individual initially was hired as the result of an appropriate search. As with all faculty actions, these decisions are reviewed by the Chair, the Dean of SPH and the Provost's Office, as are all changes of status, appointment and promotion decisions.

## **Guidelines for Tenure-only Reviews**

### **Statement of the issue**

Each department has its own policy regarding the award of tenure. In these reviews for tenure-only promotion, the Faculty Council provides oversight to ensure that each department is following their own rules, and that they are being applied in an equitable fashion.

### **Process**

1. The chair of each department will be expected to provide a written statement describing their department policy for tenure awards. Note: If there are different expectations at the time of annual review for tenured faculty compared to non-tenured faculty at the same rank, these should be included in the written statement.
2. The departmental statements shall be reviewed periodically by the Faculty Council and the Dean.
3. Each recommendation for a tenure-only award from a department shall be made to the Dean and reviewed by the Faculty Council *in the light of the guidelines of the particular department*.
4. The Faculty Council will make a recommendation to the Dean to approve or deny based on:
  - a. How well the department appears to be applying its previously described guidelines (does the candidate meet the guidelines?),
  - b. Strength of argument for special case, if applicable, and
  - c. Whether or not the department is following its own guidelines in an equitable manner, to the knowledge of the Council.

Packets for tenure include the letter from the chair to the Dean, the candidates' SPH CV, student teaching evaluations, peer teaching evaluations, letters of recommendation, and the department's policy describing the tenure process.

The decision about tenure is very much about future expectations, with regard to: commitment to the teaching program, demonstrated collegiality, strengthening the department's research in a particular area, demonstrated leadership, and/or furthering or supporting the department's mission overall.

### **Evaluation of Scholarship<sup>3</sup>**

#### **Scholarship in Teaching, Research, and Service**

Successful candidates for promotion (both regular and research faculty) should meet the expected criteria for scholarship in the three areas of teaching, research, and service as detailed in the following sections of the guidelines, **and** should excel in at least one. While service is required, the record of accomplishment in teaching and research/academic PHP are generally far more important in promotion consideration.

#### **Scholarship in Teaching, Research and Academic Public Health Practice, and Service**

Successful candidates for promotion (both regular and research faculty), who choose to include academic PHP, should meet the expected criteria for scholarship in the areas of teaching and service as detailed in the following sections of the guidelines. Contributions to scholarship must include some research activities and peer-reviewed publications, which, when complemented with documented academic PHP activities, are comparable

<sup>3</sup> Innovative and interdisciplinary efforts in teaching, research, and academic PHP scholarship are encouraged and will be given special recognition in the promotion review.

in quality and productivity to the defined research guidelines. Candidates should **excel** in at least one of the areas of teaching, service, and the combined record of research and academic public health practice.

## Special Cases

For **regular** faculty, an outstanding record in teaching can counterbalance a *modest* deficiency in research/academic PHP. An outstanding record in research/academic PHP can counterbalance a *modest* deficiency in quality of teaching. The requirements of service still must be met.

For **research** faculty, an outstanding record in research/academic PHP can counterbalance a *modest* deficiency in quality of teaching. The requirements of service still must be met. It is expected that all research faculty will meet the guidelines of scholarship in research/academic PHP.

Generally, successful candidates for **early promotion** from assistant to associate professor (regular or research tracks) have exceptionally strong credentials. These candidates should put forth their credentials for review in the autumn with the mandatory assistant professor packets. Because there is no University-mandated timeline for progression to full professor, there is no defined early promotion; candidates are evaluated on the merits of their record.

**Candidates who joined the SPH mid-rank** should show evidence of continued strong productivity and achievement during their time at the University.

Faculty who have **joint appointments** with other schools, colleges, or affiliated institutions must fulfill the SPH promotion criteria, although alternative ways of meeting certain SPH promotion criteria may apply, e.g., consideration of clinical teaching for partial fulfillment of criteria for teaching.

**The following sections provide detailed criteria for promotion in the areas of teaching, research, academic public health practice, and service.**

## Detailed Criteria for Promotion: Teaching

### I. Definitions for Teaching Activities in the SPH

Teaching activities by the SPH faculty are broadly defined in two categories: course teaching and other (non-course) teaching. These include teaching contributions in all UW schools and colleges, including Professional and Continuing Education. Because the SPH recognizes that part of our mission is to build human and institutional capacity through education and other capacity-building activities, teaching outside UW at the undergraduate or graduate level, or teaching health care practitioners or public health practitioners/policy makers may also be considered for promotion, as described in more detail below.

Course teaching is required for promotion for faculty in the regular professorial track, and may be used to satisfy teaching requirements for faculty in the research track (please see below). Other teaching activities are expected of all faculty members in supporting the educational mission of the School.

#### A. Course Teaching

The elements of a teaching experience that qualify it as course teaching for purposes of promotion are:

- Planning the learning objectives, content, and format as contained in the course syllabus for a course that meets at regularly scheduled times throughout the quarter;
- Providing assistance to students in the course;
- Evaluating student performance either with credit/no credit or decimal grading or certificate of completion;



- Being evaluated by at least half of registered students; and
- Being evaluated by peers according to department procedures and school-wide criteria for peer evaluations appropriate to a candidate's rank.

*UW-degree courses*, which must meet the above criteria, are courses that are primarily offered for students earning UW degrees, including degrees offered through UW Professional and Continuing Education. They are typically regularly scheduled numbered courses or new or special topics courses (i.e., 590 courses). *Non-UW-degree courses* include all courses offered outside of UW as well as UW continuing education or summer institute courses, including those that lead to a certificate, that are oriented primarily to students not earning a UW degree. Non-UW-degree courses may count toward the course-teaching criteria for promotion provided that they meet all of the above criteria (section I and I.A), if they if they have at least the UW minimum number of students enrolled (currently 8 for a graduate course and 12 for an undergraduate course), and are approved prior to teaching in a letter from the faculty member's Department chair. This letter should describe the course, the expected number of quarters or years it will be taught, and state that the course is part of the faculty member's regular duties, rather than in addition to his/her faculty duties. For these non-UW-degree courses, each 80 hours (4% FTE) of planning, delivery and evaluation of students will be considered equivalent to 1 credit hour. For a person who joined the UW SPH faculty at the same or equivalent rank as his/her prior appointment at another university, course teaching while at the same or equivalent rank at the prior university may count toward promotion in the UW SPH if the course(s) meets all of the above criteria (in Section I and I.A). It is the responsibility of the faculty member to present documentation at the time of consideration for promotion that courses taught other than UW-degree courses have met all of the criteria in sections I and I.A. The letter from the chair is necessary to document prior approval for teaching a non-UW-degree course, but is not sufficient to show it meets all of the criteria in Section I and I.A.

A candidate may serve as sole instructor (100% responsibility) for a course or as co-instructor. A qualifying co-instructor must share responsibility for course content, format, organization, learning objectives, and grading. The co-instructor must also be available to provide assistance to students.

The co-instructor's role in the course must be evaluated separately by both students and peers as appropriate to the candidate's rank. The credits counted for a co-instructor will be pro-rated based on the co-instructor's percent responsibility in teaching the course.

A candidate may include *well-integrated* guest instructors in a qualifying course. If guest instructors give more than half of the contact hours in any course, the faculty member must explain his or her role at these guest sessions, and how each guest instructor session contributes to the learning objectives for the course.

Occasionally, a faculty member may be considered to have major responsibility for the conceptual development and conduct of a course even though they do not directly teach a majority of the content. In this case, their role must be explicitly documented by a supporting letter from the co-instructor or department chair or other equivalent documentation. This documentation should be included with the candidate's promotion packet (please see Contents of Promotion Packets, Section VIII). Important original contributions to instructional materials, laboratory handbooks or course aids also may be considered as evidence of teaching contribution when accompanied in the promotion packet by a comprehensive description of their significance.

Directing independent study, leading seminars, and organizing journal clubs usually do not qualify as course teaching, unless they fulfill all of the standard criteria for a regularly scheduled course (as outlined in sections I and I.A). If a candidate wishes to use such a course to fulfill part of the course teaching requirement, a statement justifying why this course should count must accompany the promotion packet along with the information required for a standard course (please see Contents of Promotion Packets, Section VIII: Teaching Documentation).

Clinical teaching, where teaching is driven by patient/client problems rather than by pre-planned curricula usually does not qualify as course teaching. However, SPH faculty members whose primary appointment is in another School (including Department of Global Health faculty members whose primary appointment is in the School of Medicine), may substitute the clinical teaching criteria for promotion from their primary School for the SPH course-teaching criteria for promotion.

### ***B. Non-course Teaching***

Faculty members participate in various training activities outside of formal course teaching.

These activities may involve long-term or short-term commitments to trainees. They may or may not be directly related to a formal degree requirement. Several types of activities are described below. For promotion consideration, not all of the activities listed are equivalent, nor are all required. Please see each rank for specific information. Also note that mentoring of an individual should be counted in either the category of extended mentoring or project mentoring, but not both.

#### **1. Extended Mentoring**

Responsibilities in which the faculty member is the major supervisor and mentor for a graduate student or postdoctoral fellow:

- Serving as chair of a student's dissertation (PhD) committee;
- Serving as chair of a student's Master's thesis (MS, MPH) committee or MPH capstone project;
- Serving as the supervisor and mentor for a postdoctoral fellow who is being trained in research specialties for at least one year; and/or
- Fulfilling the role of the primary faculty mentor for a student's PhD dissertation or MS or MPH thesis, when not the chair of record. This activity must be documented by a letter from the chair of record or from the chair of the Department.

#### **2. Project Mentoring**

Responsibilities in which the faculty member supervises a student or fellow for a project of limited activity or durations:

- Serving as the faculty mentor for a student practicum;
- Serving as instructor for a graduate student registered for independent study or research credits, when not chair of the formal degree committee;
- Serving as instructor for an undergraduate student, typically registered for independent study, senior thesis or research credits; and/or
- Supervising a graduate student, medical student, or postdoctoral fellow on a research project (including MHA projects) or lab rotation.

#### **3. Advising and Committees**

- Serving on a graduate degree committee in a capacity other than chair;
- Serving as formal academic advisor to a graduate student;
- Serving as Graduate or Undergraduate Program Coordinator, with training or advising responsibilities; and/or
- Serving as PI of a training grant, with training or advising responsibilities.

#### **4. Short Term Instruction**

- Instructing a graduate student and/or postdoctoral fellow in research techniques on an informal basis;
- Developing and teaching a UW-sponsored course that does not meet the criteria for course teaching, including continuing education and certain UW extension courses (please see Course Teaching, Section I. A. above for course teaching criteria); and/or
- Guest lectures.

## **II. Qualitative Evaluation of Teaching Activities for Promotion**

To be considered for promotion, quantitative and qualitative criteria must be met in the area of teaching. The quantity of teaching required varies with the rank of the candidate and is listed separately for each rank in the following sections. All candidates are expected to demonstrate reasonable success in teaching. How success is evaluated for the purposes of promotion is discussed below.

### ***A. Course Teaching***

A candidate for promotion should demonstrate reasonable success in student learning in their subjects as indicated on student evaluation forms, peer evaluations of teaching materials and peer observations of course instruction. These documents will provide the primary evidence of meeting this objective. Other evaluation materials may be considered according to the conventions of the candidate's field. All courses in the SPH are required to have student evaluations completed each time they are offered.

Evidence that a candidate's course teaching contributions are of high quality and impact will be considered in the promotion evaluation. In addition to peer and student evaluations, evidence of high quality and impact can be based on one or more of the following:

- Nomination for or receipt of course teaching awards;
- Invitations to lecture or lead instructional sessions at regional, national, or international scientific meetings or professional courses;
- Invited participation in course advisory committees or institutional instructional review boards;
- Leadership positions in instructional efforts by professional societies; and/or
- Positive evaluation of teaching productivity, quality and impact as described in letters from independent, recognized experts in the candidate's field.

### ***B. Non-course Teaching***

High quality and impact also are expected in non-course teaching. Determination that a faculty member has achieved such quality can be based on:

- Publication of student and postdoctoral advisees' research, including quality of such publications;
- Invitations to advisees to speak at regional, national or international scientific meetings;
- Awards received by advisees for their professional and research achievements;
- Subsequent achievements of advisees;
- Results of exit or subsequent interviews with former advisees;
- Invited participation in committees advising or reviewing graduate or postgraduate programs;
- Individual competitive fellowships or research grants received by advisees during their training;
- Nomination or receipt of mentoring awards; and/or
- Other formal evaluation procedures established by the departments for non-course teaching.

## **III. Promotion of Regular Faculty: Teaching**

Promotion in rank as a regular professorial faculty member requires a significant contribution by the faculty member to student instruction in relevant aspects of his or her field. Regular professorial faculty members are expected to participate in course teaching activities on a regular and continuing basis. Faculty members are expected to provide evidence of a commitment to student learning, competence in their field of instruction and integrity in matters of course conduct and training. Faculty members are expected to make contributions to non-course teaching that further the development of students and trainees as productive scientists and practitioners (please see Detailed Criteria for Promotion: Teaching, Sections I.B and II.B.). It is recognized that the teaching record commensurate with a given level of achievement varies from discipline to discipline within the SPH. Faculty supported by state funds also must satisfy the requirements of the University Instructional Responsibilities Policy (please see Appendix 7). The sections below list the minimum quantity of teaching that

is required for promotion. Each submitted course, as well as the overall teaching and training record in rank, will be evaluated for evidence of high quality contribution (please see Teaching, Section II).

#### ***A. Promotion from Assistant to Associate Professor***

Faculty candidates for promotion to associate professor should have taught successfully and been evaluated in three or more quarter-long courses for which they were 100% responsible, totaling at least eight credits. If a candidate is a co-instructor or otherwise shares responsibility for a course, their participation will be pro-rated based on their percent responsibility in teaching each course (please see Detailed Criteria for Promotion: Teaching, Section I.A.). Candidates with prior course teaching conducted while at the same rank at another University or whose duties as a UW SPH faculty member include non-UW-degree course teaching who have taught at least one UW-degree course may be considered for promotion, if they provide evidence that their non-UW-degree course teaching meets all of the above criteria, including evaluation of the quality of teaching, in accordance with Sections I and I.A above.

Faculty candidates for promotion are expected to demonstrate substantial ongoing involvement in non-course teaching activities at least equivalent to chairing one completed UW PhD dissertation or two completed UW MS or MPH theses or capstone projects. For PhD students who have not graduated, successful completion of the General Exam is considered equivalent to a completed MS or MPH for promotion purposes. Occasionally, candidates who have not chaired such committees will qualify for promotion through extensive involvement in other training activities (please see Detailed Criteria for Promotion: Teaching, Section I.B.). The candidate and department chair must clarify in the promotion packet how these contributions demonstrate the required level of teaching and training.

#### ***B. Promotion from Associate to Full Professor***

Faculty candidates for promotion to professor should have taught and been evaluated in two or more quarter-long courses for which they were 100% responsible totaling at least five credits, after achieving the rank of associate professor. If a candidate is a co-instructor or otherwise shares responsibility for a course, their participation will be pro-rated based on their percent responsibility in teaching each course (please see Detailed Criteria for Promotion: Teaching, Section I. A.). Candidates with prior course teaching conducted while at the same rank at another University or whose duties as a UW SPH faculty member include non-UW-degree course teaching who have taught at least one UW-degree course may be considered for promotion, if they provide evidence that their non-UW-degree course teaching meets all of the above criteria, including evaluation of the quality of teaching, in accordance with Sections I and I.A above.

Faculty candidates for promotion are expected to demonstrate substantial ongoing involvement in non-course teaching activities; having chaired one completed PhD dissertation or two completed MS or MPH theses or capstone projects after achieving the rank of associate professor. For PhD students who have not graduated, successful completion of the General Exam is considered equivalent to a completed MS or MPH for promotion purposes. Occasionally, candidates who have chaired only one MS or MPH committee will qualify for promotion through extensive involvement in other training activities (please see Detailed Criteria for Promotion: Teaching, Section I. B.). The candidate and department chair must clarify in the promotion packet how these contributions demonstrate the required level of teaching and training.

### **IV. Promotion of Research Faculty: Teaching**

Research professorial faculty may engage in course teaching, but are not required to do so. However, they are expected to engage in non-course teaching on a regular and continuing basis. Research faculty members are expected to provide evidence of a commitment to student learning, competence in their field of instruction, and integrity in matters of course conduct and training. They are expected to make contributions to non-course teaching that furthers the development of students and trainees as productive scientists and practitioners. The

overall teaching and training record in rank, as well as each submitted course, will be evaluated for evidence of high quality and impact.

#### ***A. Promotion from Research Assistant Professor to Research Associate Professor***

Faculty candidates for promotion are expected to demonstrate substantial ongoing involvement in teaching activities at least equivalent to chairing one completed PhD dissertation or two completed MS or MPH theses, or teaching two courses. Alternatively, the candidate may have taught one class and chaired one committee. When course teaching is counted for promotion, it must meet all the standard criteria described in Detailed Criteria for Promotion: Teaching, Section I.A. For PhD students who have not graduated, successful completion of the General Exam is considered equivalent to a completed MS or MPH for promotion purposes. Occasionally, candidates who have not completed the committee chairing or course teaching requirements specified above will qualify for promotion through extensive involvement in other training activities (please see Detailed Criteria for Promotion: Teaching, Section I.B.). The candidate and department chair must clarify in the promotion packet how these contributions demonstrate the required level of teaching and training.

#### ***B. Promotion from Research Associate Professor to Research Professor***

Faculty candidates for promotion are expected to demonstrate substantial ongoing involvement in teaching activities at least equivalent to chairing one completed PhD dissertation or two completed MS or MPH theses, or teaching two courses, after achieving the rank of research associate professor. Alternately, the candidate may have taught one class and chaired one committee. When course teaching is counted for promotion, it must meet all the standard criteria described in Detailed Criteria for Promotion: Teaching, Section I.A. For PhD students who have not graduated, successful completion of the General Exam is considered equivalent to a completed MS or MPH for promotion purposes. Occasionally, candidates who have not completed the committee chairing or course requirements specified above will qualify for promotion through extensive involvement in other training activities (please see Detailed Criteria for Promotion: Teaching, Section I.B.). The candidate and department chair must clarify in the promotion packet how these contributions demonstrate the required level of teaching and training.

### **V. Reappointment and Promotion of Lecturer and Senior Lecturer**

Lecturer, Senior Lecturer, and Principal Lecturer are titles conferred for a renewable term appointment of up to five years to persons having a special instructional role, as described in the *UW Faculty Code*. Within the School of Public Health, the interpretation of what constitutes a special instructional role is quite broad. Further, it is recognized that persons in the Lecturer track may engage in other activities in the form of research, academic Public Health Practice (PHP), or service. While the emphasis of the Lecturer track is on contributions to the instructional mission, contributions to these other activities may also be considered in assessing the candidate's suitability for promotion.

The department chair shall provide the framework and criteria for future evaluation at the time of appointment or renewal that is specific to each individual Lecturer or Senior Lecturer. These criteria should be reviewed by the chair and individual each year during the annual review and should be incorporated in the chair's letter to the Dean recommending any promotion. It should be noted that exemplary completion of administrative duties will not in and of itself be sufficient to justify re-appointment or promotion.

A candidate for promotion should demonstrate the quantity and quality of their contribution to success in student learning in their discipline, as evidenced by peer reviews, student evaluations, or other evaluation materials defined according to the conventions of the candidate's field. Normally peer evaluations of teaching materials and peer observations of course instruction will provide important evidence of meeting this objective. Refer to the Qualitative Evaluation of Teaching Activities (Detailed Criteria for Promotion: Teaching, Section II) for additional details regarding qualitative assessments. Each submitted course, as well as the overall

teaching and training record in rank, will be evaluated for evidence of high quality. High quality non-course teaching (Detailed Criteria for Promotion: Teaching, Section I.B.), although not required, may also be considered at the time of promotion. Other contributions and leadership in educational activities that support the mission of the School and Department will be considered.

#### ***A. Reappointment to the Rank of Lecturer, Senior Lecturer, and Principal Lecturer***

Faculty members (Lecturer, Senior Lecturer, and Principal Lecturer) are expected to provide evidence of, on a regular and continuing basis: (a) substantial participation in course teaching activities; or (b) substantial leadership in continuing education or training; or (c) substantial instructional contributions in a leadership role in a program central to the educational mission of the department. Research, academic PHP, or service activities may complement these instructional activities. The definitions of course teaching can be found in the Guidelines for Promotion section of the handbook under Detailed Criteria for Promotion: Teaching in Section I.A. non-course teaching activities (Detailed Criteria for Promotion: Teaching, Section IB) central to the educational mission of the department may also be considered at the time of reappointment, along with other research, academic PHP or service activities described in further detail in those corresponding sections.

The evaluation should be consonant with the spread of duties as previously outlined by the department chair.

#### ***B. Promotion from Lecturer to Senior Lecturer<sup>4</sup>***

In addition to demonstrating involvement in instructional activities, as described above for reappointment in rank, candidates for promotion to Senior Lecturer must provide evidence of appropriate training, competence, and experience in their discipline. To be competitive for promotion, Lecturers should have completed five years in rank, and normally have had full responsibility as course organizers for one or more courses per year in rank, or have participated in other instructional activities to an equivalent extent. It is expected that the total instructional effort will reflect at least 25 percent of the candidate's time. Contributions to instruction include but are not limited to leadership in a professional education program, curriculum development or directing a program whose mission includes a substantial teaching component. These training and educational programs should have some affiliation with the University of Washington. Occasionally candidates with less than five years in the rank of Lecturer who otherwise meet the above criteria, but with evidence of exceptional instructional contributions central to the mission of the department may be considered for promotion to Senior Lecturer.

Additional criteria used in the evaluation should be consonant with the spread of duties as previously outlined by the department chair.

#### ***C. Promotion from Senior Lecturer to Principal Lecturer***

As indicated in the UW Faculty Code, Chapter 24, Section 24-34B, "Principal Lecturer is an instructional title that may be conferred in truly exceptional cases on persons whose excellence in instruction is recognized by appropriate awards, distinctions, or other major contributions to their field."

Successful candidates should have demonstrated outstanding contributions to the mission of their department and/or scholarship in their field, which may involve achievements such as academic program leadership, editorial board service, leadership in public health practice or policy development, as well as direct teaching. Evidence that is used to evaluate excellence in teaching is found in sections II.A. and II.B. of this Handbook. Contributions to the field of public health through research, academic PHP or service are evaluated against the criteria outlined in those corresponding sections of this Handbook in the Evaluation of Scholarship section.

<sup>4</sup> In addition to the SPH requirements listed in this section, UW policy states that for promotion to senior lecturer, a lecturer should be full-time for the year before promotion.

## **Detailed Criteria for Promotion: Research**

### **I. General Guidelines**

Promotion requires a significant contribution of the faculty member to his or her field of research, with evidence of a national or international scientific reputation depending on rank. Below are general guidelines about the research productivity, research quality and impact, and level of research funding that are expected. It is recognized that the research record commensurate with a given level of achievement varies from discipline to discipline within the SPH. Continued productivity in rank is considered at the time of evaluation. The successful candidate's research record should be of high quality, and his or her research should demonstrate substantial impact. Evidence of high quality and impact might include:

- Positive evaluation of research productivity, quality and impact in letters from independent, recognized experts in the candidate's research area;
- Sustained productivity in publication, including substantial contributions as senior author, meeting the norms for the candidate's field;
- Scholarly reputation of the journals in which publications appear;
- Reputation of publishers of articles, books and monographs;
- Citation of the research in other publications;
- Published evaluations of the research such as book reviews and responses in print;
- Awards received in recognition of outstanding research;
- Indications of research reputation among peers such as invitations to speak at or lead sessions at national or international scientific meetings; invited participation on advisory committees, peer review groups, and editorial boards; leadership positions in professional societies;
- Serving as Principal Investigator on funded grants or contracts; and/or
- Serving as a major scientific contributor on a funded research grant.

More detailed requirements are given in the sections that follow, first for all types of promotions and then separately for each type of promotion of regular or research faculty.

### **II. Additional Guidelines for Faculty Promotions**

#### ***A. Publications***

Senior authorships are considered according to the conventions of the field. Publications that bear the name of the faculty member's preceptee as senior author may be considered a senior author publication of the faculty member if the candidate was a major contributor to the conceptual development and conduct of the research, and to the preparation of the manuscript. This role should be described in documents accompanying the candidate's promotion packet (please see Contents of Promotion Packets, Section IX). Important original contributions in books or monographs may also be considered when they are accompanied in the promotion packet by a description of their significance.

#### ***B. Research Grants and Contracts***

When the candidate has served as a major scientific contributor but not as a principal investigator on a funded research grant, a statement of the candidate's role in the design and conduct of the funded research should accompany the promotion packet (please see Contents of Promotion Packets, Section IX).

#### ***C. Relationship to Academic Public Health Practice***

Some candidates will choose to emphasize academic public health practice as one venue for their scholarly contributions to public health. It is recognized that this emphasis will generally result in fewer contributions in

the area of research, although peer-reviewed contributions and a national or international scientific-professional reputation are expected for all candidates for promotion (please see Appendix 3 and 4).

### **III. Promotion of Regular Faculty**

#### ***A. Promotion from Assistant to Associate Professor***

Promotion to associate professor requires a significant contribution of the faculty member to his or her field of research, with evidence of a national scientific reputation. While candidates with as few as 10 high-quality publications in strong scientific journals are occasionally ready to be considered for promotion, most faculty successfully promoted to associate professor have published considerably more papers, although totals vary by discipline and prior experience (please see Appendix 3). At least five of these papers should bear the name of the candidate as senior author.

The faculty member should demonstrate success in competing for outside research support, as evidenced by serving as a principal investigator of or major scientific contributor to one or more major grants or contracts. Alternatively, they may have held such a role on several smaller grants or contracts.

#### ***B. Promotion from Associate to Full Professor***

Promotion to full professor requires a record as an independent investigator with a well-developed research program and sustained high-quality contribution to the candidate's field of research. There should be evidence that the candidate has a national, or, if appropriate, international scientific reputation.

While candidates with as few as 20 high-quality publications in strong scientific journals are occasionally ready to be considered for promotion, most faculty successfully promoted to professor have published considerably more papers, although totals vary by discipline and prior experience (please see Appendix 3). At least 10 of these papers should bear the name of the candidate as senior author.

Typically successful candidates for promotion to professor have received outside research support, as evidenced by serving as a principal investigator of or major scientific contributor to one or more major grants or contracts while in the position of associate professor. Alternatively, they may have served as PIs on several smaller grants or contracts, which together correspond to the effort of one or more major grants.

### **IV. Promotion of Research Faculty**

#### ***A. Promotion from Research Assistant Professor to Research Associate Professor***

Promotion to research associate professor requires a significant contribution of the faculty member to his or her field of research, with evidence of a national scientific reputation. Because the teaching requirements for research track faculty are fewer than those for regular track faculty, a greater emphasis is placed on the candidate's research record in evaluation for promotion.

While candidates with as few as 10 high quality publications in strong scientific journals are occasionally ready to be considered for promotion, most faculty successfully promoted to research associate professor have published considerably more papers, although totals vary by discipline and prior experience (please see Appendix 3). At least five of these papers should bear the name of the candidate as senior author.

The faculty member should demonstrate success in competing for outside research support, as evidenced by serving as a principal investigator of or major scientific contributor to one or more major grants or contracts. Alternatively, they may have held such a role on several smaller grants or contracts.



### ***B. Promotion from Research Associate Professor to Research Professor***

Promotion to research professor requires a record as an independent investigator with a well-developed research program and sustained high-quality contribution to the candidate's field of research. There should be evidence that the candidate has a national or, if appropriate, international scientific reputation. Because the teaching requirements for research track faculty are fewer than those for regular track faculty, a greater emphasis is placed on the candidate's research record in evaluation for promotion.

While candidates with as few as 20 high-quality publications in strong scientific journals are occasionally ready to be considered for promotion, most faculty successfully promoted to research professor have published considerably more papers, although totals vary by discipline and prior experience (please see Appendix 3). At least 10 of these papers should bear the name of the candidate as senior author.

The faculty member should demonstrate success in competing for outside research support, as evidenced by serving as a principal investigator of or major scientific contributor to one or more major grants or contracts while in the position of research associate professor. Alternatively, they may have held such a role on several smaller grants or contracts which together correspond to the effort of one or more major grants.

## **Detailed Criteria for Promotion: Academic Public Health Practice**

### **I. Introduction**

To encourage the advancement of scholarship in academic public health practice (academic PHP), the School of Public Health has established guidelines to evaluate scholarly academic PHP activities of faculty being considered for promotion. It is recognized that individual faculty will differ in their respective emphases on academic PHP. Some faculty may have little or no involvement in academic PHP while others may have contributed significantly to advancing academic PHP. Faculty may choose to have their suitability for promotion be evaluated based in part upon their documented contributions to advancing academic PHP. It is important that faculty who choose to become involved in academic PHP plan these activities as early as possible in the promotion cycle, and establish clear, explicit objectives for these activities. The academic PHP plan should be discussed with the departmental chair at annual reviews and should be updated as needed to reflect changes in objectives.

If a faculty member exercises the option of being considered for promotion based upon documented academic PHP activities, the guidelines outlined below will be applied to the review process. As discussed in Section V of these guidelines, faculty electing to have academic PHP considered in their promotion will still be expected to have some evidence of activity in traditional research as indicated by articles published in peer-reviewed publications.

### **II. Definition of Academic Public Health Practice**

Academic PHP is the “applied, interdisciplinary pursuit of scholarship in the field of public health.” Faculty involved in academic PHP carry out the mission of “developing, integrating and applying new knowledge to improve public health in the population, and practice in public health agencies and in community, medical, and other public health organizations.”<sup>5</sup> Critically important to academic PHP is the fundamental role of scholarship in creating and disseminating new knowledge. The above mission also recognizes the importance of developing interdisciplinary, collaborative approaches in carrying out academic PHP activities. The definition of academic PHP expressly includes practice activities related to the delivery, financing, management, and organization of personal and public health services. Examples of academic PHP activities include:

- Performing a program needs assessment;
- Evaluating a public health program or activity;
- Designing or conducting a public health survey;
- Providing technical assistance to a public health or health care organization to help that organization improve its operation;
- Designing training materials;
- Providing training or mentoring to public health practitioners or professional groups;
- Developing programmatic or organizational linkages among public health or health care agencies for the purpose of addressing a health-related problem or policy;
- Assisting local, state or federal policy makers with analysis or development of health policy; and/or
- International Health projects.

### **III. Criteria for Evaluating Contributions to Academic Public Health Practice**

Academic PHP includes a wide array of activities. Regardless of the specific activities undertaken, the candidate’s portfolio of academic PHP activities should be of high quality and demonstrate: (1) scientific rigor; (2) positive impact on the target community, population or organization; (3) effective dissemination; and (4) leadership. The quantity of documented academic PHP activities expected for promotion depends upon the

<sup>5</sup> Association of Schools of Public Health (ASPH), Demonstrating Excellence in Academic Public Health Practice, (unpublished report), June 1999.

anticipated weight being given to these activities in the candidate's review. A clear trajectory of increasing impact that includes plans for future years should be explained in the self-assessment or highlighted in the SPH CV, because this will carry weight in the review for promotion.

### ***A. Scientific Rigor***

Academic PHP activities should reflect an appropriate degree of scientific rigor. Evidence of scientific rigor could include:

- Use of rigorous quantitative or qualitative methods;
- Use of conceptual frameworks that reflect recent developments in practice methods or theoretical understanding; and/or
- Use of evidence-based approaches that are well grounded in public health sciences.

### ***B. Impact***

The candidate's participation in academic PHP should have some positive impact. This impact may take different forms. Evidence that the candidate's activities have had an impact could include the following:

- Improvement or refinement of practice methods;
- Improvement in a health policy, program, or organization;
- Improvement in methods of disease or injury surveillance, prevention or control;
- Progress towards social equity in public health;
- Reduction of worker or community exposures to health risks; and/or
- The ability of trainees to assume positions of leadership as public health practitioners.

### ***C. Dissemination***

Central to academic PHP is disseminating the results of practice activities to appropriate groups. The candidate's record will be strengthened by having peer-reviewed publications. Evidence of dissemination could include:

- Publishing in peer-reviewed journals or in high-quality practitioner or professional journals or other periodicals;
- Publishing in periodicals or newspapers read by the target population;
- Presenting to large numbers of persons that include the target population;
- Developing video, computer, or other distance programs that reach a substantial number of persons in the target audience; and/or
- Writing policy documents directed toward agency officials, policy makers or legislators.

### ***D. Leadership and Personal Contribution***

The candidate should present evidence of leadership and personal contribution in carrying out academic PHP activities. It is recognized that for some academic PHP activities effective leadership may take nontraditional, more collaborative forms. Evidence of leadership and personal contribution could include:

- Serving as the chair or playing a key role on an important task force;
- Directing an important public health, community-based activity;
- Organizing ongoing partnerships with community agencies that significantly enhance the quantity and/or quality of public health activities; and/or
- Receiving an award(s) for accomplishments in academic PHP.

## **IV. Review Process**

The following process should be followed for faculty opting to have their contributions to advancing academic PHP considered as part of their promotion package:

- Candidates should notify their department chair that they desire to have academic PHP considered in their promotion review and should assemble an academic PHP portfolio documenting their individual contributions to advancing academic PHP.
- The department chair will identify appropriate expert peers in academic PHP who are willing to participate in the review process
- The department chair will instruct the external references to evaluate the candidate's contributions to advancing academic PHP, based on the criteria outlined above, including the trajectory of impact and the relative balance of practice to the entire promotion package. The chair will also address these criteria in recommending the candidate for promotion in the chair's letter to the Dean.

It is important that the promotion package be organized in a way that clearly indicates: (1) what academic PHP activities have been conducted, (2) the scientific rigor of the activities, (3) the methods used for dissemination, and (4) their impact on the target audience and broader health field (see Appendix 5 and the academic PHP section of the SPH CV outline in Appendix 6).

## **V. Promotion of Regular or Research Faculty**

Academic PHP constitutes an additional field of scholarship that faculty may pursue. As explained earlier, faculty may choose to have their suitability for promotion be evaluated based in part upon their contributions to advancing academic PHP. Faculty (both regular and research faculty) choosing this option have to meet the expected criteria for scholarship in the areas of teaching and service. Their contributions to academic PHP, when complemented with research activities, should be comparable in quality and productivity to the defined research guidelines described above. It is not possible to specify a "trade-off function" indicating the relative value of traditional research versus academic PHP activities. However, it is expected that every candidate will have some documented evidence of research productivity in the form of peer-reviewed publications and/or grant awards. Faculty giving substantial weight to academic PHP activities in the promotion review process will be expected to have clearly established goals for this area of scholarship; strong evidence of productivity, impact, rigor and dissemination with regard to academic PHP activities; and a positive trajectory of coherent activities suggesting strong commitment to the field of academic PHP.

## Detailed Criteria for Promotion: Service

### I. Introduction

The faculty in the School of Public Health are considered to be a community of scholars. They are members of the larger University community and also of the broader community outside the University. With these memberships come both benefits and responsibilities.

Responsibility to the School includes the expectation that all faculty will serve the community at large in a professional capacity that enhances the standing of the School and the University as a whole, and provides benefits to the broader society. In addition, it is expected that faculty will work to maintain the operation of the school and to contribute to its reputation through efforts to improve its programs and facilities. Responsibilities to the faculty member's profession include the expectation that faculty will contribute to the maintenance and growth of their profession.

### II. Definition of Service

Service by members of the faculty occurs in various arenas: **University Service** (including to the faculty's own department and to the School of Public Health); **Other Professional Service** (including to institutions specific to a discipline and to organizations at the local, state and national levels); and **Broader Community Service**. Activities that would meet the definition of academic public health practice should be included in the candidate's academic PHP portfolio, and not be included in the sections of the Curriculum Vitae relating to service.

Examples of **University Service** activities could include:

- Membership on committees or councils of the Department, School, or University, especially committees such as UW Human Subjects Review Committee and the UW Institutional Animal Care and Use Committee;
- Mentoring junior faculty;
- Other contributions to faculty governance; and/or
- Serving in an administrative capacity for the Department, School, center, or University.

Examples of **Other Professional Service** could include:

- Lectures, consultation or serving on an advisory committee at the local or state level;
- Service on a study section;
- Service on an editorial board of a professional journal;
- Chairing or organizing a symposium or session within a scientific meeting;
- Service on a review or site visit committee;
- Participation or consultation to an accreditation or other educational review board;
- Service on an advisory or policy-making committee or board;
- Service to a professional organization;
- Membership on a national or international committee, board, etc.; and/or
- Regular peer review of manuscripts or grants.

Examples of **Broader Community Service** (professional-related) could include:

- Membership on boards and committees in the community-at-large;
- Service on a K-12 school or college-level committee or board; and/or
- Community council or committee membership.

### **III. Promotion of Regular or Research Faculty**

Service to the University and the broader community, and involvement in professional service activities outside the University, will be considered in recommending a faculty member for promotion. Such activities cannot substitute for teaching or research activities in meeting the minimum requirements for promotion, but they will be considered in evaluating a faculty member's overall suitability for promotion.

#### ***A. Promotion from Assistant to Associate Professor (Regular & Research tracks)***

Faculty candidates should have served on one or more University committees on a regular basis, or have demonstrated equivalent University-associated service on a regular basis. In addition, faculty should have shown some evidence of Other Professional or Broader Community Service activities. Occasionally, extensive “Other Professional Service” may be considered in lieu of University Service.

#### ***B. Promotion from Associate to Full Professor (Regular & Research tracks)***

Faculty candidates for promotion to professor should have made a substantial contribution to University Service and shown substantial evidence of Other Professional Service or Broader Community Service at the local, national or international level.

## ***Contents of Promotion Packets***

When a regular or research faculty candidate is proposed for promotion, the department chair must forward the promotion packet to the Dean. Each candidate is responsible for providing the required materials for the promotion packet to the department chair. Candidates are allowed to place in their promotion files any material they feel should be considered. Below is a list of the required materials followed by further details.

### **I. Contents of the Promotion Packet**

The promotion packets must contain the following items in the order listed below (note: items marked with\*\* are items that must be included in the materials sent by the chair to external reviewers):

- Letter from the chair;
- Letter or signature of concurrence from the chair of the joint/adjunct department(s) (if applicable);
- Candidate's Self-Assessment (please see Candidate's Self-Assessment, Section III);
- Faculty advisory committee report (if the department uses a faculty committee structure) and the candidate's response to the faculty committee report;
- Faculty meeting report and the candidate's response to the faculty meeting report;
- UW Biography Form;
- Letters of recommendation;
- Copy of the letter from the chair requesting letters of recommendation;
- SPH Faculty CV (please see CV, Section VII)\*\*;
- Teaching Documentation: including copies of all peer and student teaching evaluations conducted while in current rank and any supplemental materials (please see Teaching, Section VIII);
- Research Documentation\*\*: including photocopies of three to five major articles, candidate's cover statement and any supplemental materials (please see Section IX of this chapter: Research Documentation)\*\*; and
- Academic PHP Documentation (if applicable)\*\*: including photocopies of three to five major publications and cover statement and any supplemental materials (please see Section X of this chapter: Academic PHP Documentation).

Additional information may be included in the packet to support the candidate's case as explained below in Sections VIII through X.

### **II. The Letter from the Chair to the Dean**

- Candidate's full name;
- Proposed title (for professorial promotions, include the designation "with tenure" (also note % tenure) or "without tenure due to source of funding," as appropriate);
- Effective date of appointment;
- Background: all degrees received, when and where awarded; field of study; teaching experience, if any; summary and assessment of research experience; and ability to obtain external funding;
- Responsibilities of the candidate: teaching responsibilities; anticipated research goals; description of how candidate fits in departmental research program; administrative responsibilities, if any; and other responsibilities;
- Faculty vote as follows: Regular faculty: # yes, # no, # abstentions, # absent and not voting; Research faculty: # yes, # no, # abstentions, # absent and not voting<sup>6</sup>. Voting faculty include: regular professorial

<sup>6</sup> If there are a substantial number (greater than 25%) of negative votes, abstentions, or absences, compared to the total number of eligible voters, the chair's letter should give an explanation. Paper ballots are preferred, and absent faculty should be provided with

faculty, full time lecturers and senior lecturers, and retired professorial faculty during the quarters they are serving on a part-time basis. (See *UW Faculty Code*, Section 21-32 for further details.)

- A description of the area(s) (teaching, research/PHP, service) in which the candidate excels; and
- Recommendation of the chair (the chair does not vote with the faculty).

If a faculty member is being proposed for a joint appointment, with the primary appointment in another department, the department faculty must vote specifically to offer voting privileges with the appointment. Once privileges are awarded, either by faculty vote or de facto, they cannot be revoked without the faculty member's consent.

### III. Candidate's Self-Assessment

- Candidates are allowed to place in their promotion files any material they feel should be considered which shall include a self-assessment of his or her qualifications for promotion. For more information see the *UW Faculty Code*, Chapter 24, Section 24-54, B.
- There are no university guidelines for the self-assessment, other than it addresses the candidate's qualifications for promotion. Typically, the document touches on the three areas considered in promotion: research/public health practice, teaching, and service. Many faculty members use this as an opportunity to highlight achievements or explain particular accomplishments that may not be apparent from reading the CV. Although there are no page limits, most self-assessments are 1-3 pages long.
- It is ok (not mandatory) for a candidate for promotion to ask to have her/his person statement included in the packet that goes to external reviewers. It is the candidate's choice.

### IV. Faculty Advisory Committee Report and the Candidate's Response

- For departments where an initial report and/or recommendation on the qualifications of the candidate for promotion are produced by a subcommittee of the faculty senior in rank to the candidate, the subcommittee should write a report and recommendation for the department chair. The chair shall provide the candidate with a written summary of the committee's report and recommendation. For purposes of confidentiality, **specific attributions must be omitted** and vote counts may be omitted from the candidate's summary.
- The candidate, if he or she chooses, may respond in writing to that report within seven calendar days. The department faculty are to receive a copy of the candidate's response before the departmental conversation and promotion vote occurs.

### V. Faculty Meeting Report and the Candidate's Response

- The voting faculty of the candidate's department senior in rank to the candidate shall then meet to discuss the candidate's record and to vote on the promotion question. The department chair shall write a formal report of these proceedings for the candidate, summarizing the discussion and recommendation. For purposes of confidentiality, specific attributions shall be omitted and vote counts may be omitted from this report.
- The candidate may respond to the report in writing within seven calendar days. This response should be addressed to the department chair.

### VI. Letters of Recommendation

Promotion to the regular and research professorial ranks require four letters of recommendation. **Letters of recommendation should be requested by the chair, not by the candidate.** The department chair will request that the candidate furnish a list of potential references disclosing their relationships to the candidate. Letters from persons who have no conflicts of interest are an important part of the promotion packet since their review

ballots to complete the vote. E-mail votes are acceptable only if all faculty have agreed to use this method, as it does not allow for confidential ballots.



is thought to be unbiased. Because the letters of reference are confidential, the candidate is instructed not to contact potential references.

For each promotion candidate,

- a) a letter will be solicited from at least one member from the list provided by the candidate;
- b) a letter will be provided from at least one person who is not on the candidate's list;
- c) only one letter can be from the UW (or affiliated institutions such as FHCRC, SBRI, VA, etc.); and
- d) at least two letters should be from prominent researchers who have no apparent conflict of interest (such as having a personal friendship, or co-author or co-investigator within the past three years).

Ordinarily at least three of the letters are from persons at academic institutions.

For faculty who are being evaluated with respect to their academic PHP achievements, two letters from outside academic institutions and two letters from government or practice-related organizations are acceptable.

A copy of the request letter sent by the chair should be included in the promotion packet.

## **VII. Curriculum Vitae\*\***

The packet should include an updated SPH Faculty CV (see Appendix 6).

## **VIII. Teaching Documentation**

The promotion packet should contain copies of all student and peer evaluations conducted while the candidate was in current rank. A peer evaluation conducted within the last year must also be included. For courses with co-instructors, each instructor must be evaluated separately by students and peers. For current PhD students, the candidate should indicate whether the General Exam has been completed. Depending on the record of the applicant, all promotion packets for regular and research faculty should contain the following supplementary documentation to support the strength of the candidate's teaching record:

- If guest instructors give more than 50% of the contact hours in a course, the faculty member must provide documentation of his or her role at those guest sections, and how each guest instructor session contributes to the learning objective of the course.
- If a faculty member has major responsibility for the conceptual development and content of a course but does not teach the majority of the content, a letter from the (co-)instructor or from the department chair should be included that documents the candidate's role. Instructional material or handbooks developed by the applicant may also be included.
- If a regular faculty member does not meet the criteria for promotion with regard to supervision of MS, MPH or PhD students, as indicated in the guidelines for teaching (III.A., III.B.) a statement by the candidate, accompanied by supporting material and a letter from the chair, should indicate the involvement of the candidate in other training activities. For research faculty such letters and documentation should be provided in case teaching requirements or student supervision, as indicated in the teaching guidelines (IV. A, B), are not met or completed.

## **IX. Research Documentation\*\***

Required Documentation:

- Copies of three to five articles (published or in press) chosen by the candidate to demonstrate the impact of his or her research. A brief cover statement describing the impact of each of these articles should be included. These descriptions may be documented, where appropriate, by the number of citations of each article and evidence of the scholarly reputation of the journal in which each appeared. For promotions to professor or research professor, the emphasis should be given to articles published during the candidate's time as an associate or research associate professor.

Depending on the record of the applicant, the following supplementary documentation might support the strength of the candidate's research record:

- A list of funded research grants on which the candidate was not Principal Investigator (PI) but played a major role. For each grant where the candidate was not the PI, a brief description of the candidate's role on the project and the extent to which it represents an independent research contribution should be given.
- A list of articles for which the candidate is not the senior author, but for which the candidate would like to be considered as a senior author. (These should also be marked by an asterisk on the candidate's CV.) Usually these articles will have a preceptee of the candidate as the senior author. A brief cover statement justifying the candidate's role as senior author of each of these articles should be included. Each justification should describe the candidate's role in the design and conduct of the research, and in the preparation of the manuscript.
- A list of articles or book chapters that are not obviously peer-reviewed but that the candidate would like to be considered as a peer-reviewed publications. These should be accompanied by a brief cover statement giving a description of the review process for each article or chapter, including whether reviewers had authority to recommend against publication.

## **X. Academic PHP Documentation\*\***

Candidates opting to have their contribution to academic PHP evaluated as part of their promotion review should include the following in their promotion packets, in addition to a CV and appropriate promotion packet material related to research and teaching activities.

- Copies of three to five technical reports, policy documents, peer-reviewed practice articles, articles in professional journals, newspaper editorials or other related material indicating the candidate's contribution to academic public health practice. A brief cover statement describing the impact of each of these documents on academic public health practice should be included.
- A list of funded contracts or grants that supported public health practice activities for which the candidate was not PI but played a major role. A brief description of the candidate's role on the project should be given.

## ***SELECTED SPH ACADEMIC AFFAIRS POLICIES AND PROCEDURES***

### **Administrative Appointments**

Approval from the Board of Regents is not necessary for administrative appointments below the rank of chair (i.e., division head, program director, etc.). However, the Provost's Office must approve any changes in salary for these appointments.

### **Competitive Offers**

In order to monitor competitive offers to our faculty, the Provost's Office has designed a reporting form. The following procedure should be used when responding to competitive offers:

- The faculty member completes the *Report of Competitive Offer Form* (omitting the item concerning counter-offers) and includes a copy of the offer letter.
- The original form is forwarded to the chair. A copy is sent to the Senior Associate Dean.
- The chair decides whether to make a counter-offer, and obtains concurrence from the Dean. (Note: Normally, the additional money should come from departmental funds. Under "extraordinary circumstances," the Provost's Office may be petitioned for funds under the Provost's control.)
- The Senior Associate Dean obtains approval for the counter-offer from the Provost's Office.
- The chair makes a counter-offer to the faculty member, completes the original form, and forwards it to the Senior Associate Dean for signature. The form is then forwarded to Academic Human Resources.

### **Yearly Activity Reports**

Each faculty member should submit a yearly activity report to their department chair to be used as a reference and for consideration of promotion, merit increases or tenure (please see *UW Faculty Code*, Chapter 24, Section 24-57 B for more information). The SPH Faculty CV may be used for this purpose; in some departments, faculty prepare a brief summary of activities for the past year and plans for the coming year.

Each year, the department should forward a copy of each faculty member's SPH Faculty CV to be kept in the Dean's Office. It is also suggested that each faculty member keep a copy of their SPH Faculty CV for future reference on cumulative research history, grant and contract information, and teaching as this information is needed by the Faculty Council when conducting promotion reviews.

### **Regular Conferences with Faculty**

The *UW Faculty Code*, Chapter 24, Section 24-57 C states that "each year the chair shall confer individually with all full-time lecturers and assistant professors. The chair shall confer individually with each associate professor and senior lecturer at least every two years and with each professor and principal lecturer at least every three years."

The chair and the faculty member shall discuss and identify any specific duties and responsibilities expected of, and resources available to, the faculty member during the coming year(s), taking into account the academic functions described in the *UW Faculty Code*, Chapter 24, Section 24-32. The chair should make specific suggestions, as necessary, to improve or aid the faculty member's work:

At each such conference, the chair, dean, or his/her designee, and the faculty members shall discuss 1) the department's present needs and goals with respect to the department's mission statement and the faculty member's present teaching, scholarly\* and service responsibilities and accomplishments; 2) shared goals for the faculty member's teaching, scholarship<sup>7</sup> and service in

<sup>7</sup> In the SPH scholarship also includes scholarship in the area of academic public health practice.

the forthcoming year (or years, as appropriate) in keeping with the department's needs and goals for the same period; and 3) a shared strategy for achieving those goals.

The chair, dean, or his/her designee and the faculty member shall discuss and identify any specific duties and responsibilities expected of, and resources available to, the faculty member during the coming year(s), taking into account the academic functions described in Section 24-32. The chair, dean or his/her designee should make specific suggestions, as necessary, to improve or aid the faculty member's work. (*UW Faculty Code*, Chapter 24, Section 24-57 C)

The chair must document the meeting and send a written summary to the faculty member with a copy to the Dean's Office according to the following guidelines:

The chair, dean or his/her designee, shall, in a timely manner, document in writing, with a copy to the faculty member, that such conferences occurred, and shall list the subject matter discussed.

This conference document shall also articulate in sufficient detail the discussed commitments and responsibilities of the faculty member for the coming year(s) and how these commitments and responsibilities are consistent with institutional standards for promotion and tenure as defined in Chapter 24. (*UW Faculty Code*, Chapter 24, Section 24-57 D)

The chair should review this summary with the faculty member to ensure that there is no confusion with the major points of the conference. The chair will retain the original summary for the faculty member's file, and the faculty member and the Dean's Office will receive copies.

If the faculty member does not agree with the written summary, the following actions must be taken:

Should the faculty member not agree with the summary or statements in this conference document, he or she shall indicate so in writing. The failure of a faculty member to object in writing to the chair's (or dean's) conference document within ten days of receiving it (unless upon the faculty member's request and for good cause the period is extended by the chair or dean) shall constitute his or her official acceptance of its terms and conditions.

If the faculty member disagrees with the conference document, the chair (or dean) shall either withdraw it and issue a revised one to which both parties can agree, or reaffirm the accuracy of the original conference document.

In the event the faculty member disagrees with the resulting conference document, the chair of the faculty member's department (or dean of an un-departmentalized school or college) shall appoint an *ad hoc* committee comprised of three department (or school/college) faculty superior (or in the case of full professors, equal) in rank to the faculty member, or faculty members from the Conciliation Board, and selected in the following manner. The faculty member and the chair, or dean, shall each select one member of the *ad hoc* committee and those two members shall select the third member. At its earliest convenience, the *ad hoc* committee shall review fully the records relating to the conference, meet with the faculty member, and meet with the chair, dean, or his/her designee.

The chair, dean, or his/her designee, and the faculty member shall then meet with the *ad hoc* committee to discuss the issues, with the purpose of achieving a resolution. In the event resolution is not achieved, the committee shall, in a timely manner, report in writing the results of its review to the faculty member, to his or her department chair or dean, and to the designee, if any. The

committee's report and advice, if any; the faculty member's written response, if any; the response by the chair, dean, or his/her designee, if any; and any agreement between the faculty member and chair, dean, or his/her designee shall be incorporated into a written report that shall be placed in the faculty member's personnel file.

A faculty member's record upon the stated duties and responsibilities in the conference document will be assessed in accordance with Section 24-55. Nothing in Section 24-57 is intended to alter the institutional standards for promotion and tenure as defined in Chapter 24. (*UW Faculty Code*, Chapter 24, Section 24-57 D)

The SPH requires that conferences be conducted and the summaries written and distributed by January 1 of each year.

### **SPH Policy on Annual Faculty Reviews**

In accordance with the provisions outlined in the Faculty Code, Section 24-55 “faculty at the University of Washington shall be reviewed annually by their colleagues ...The merit and salary of each faculty member below the rank and title of professor shall be considered by the voting members of the department, who are his or her superiors in academic rank and title...”.

The Faculty Council of the School of Public Health at the University of Washington recommends the following school-wide policy for conducting these annual reviews:

In conducting annual reviews, the eligible voting faculty members who are superior in academic rank and title to the faculty members being reviewed may choose to invite other faculty members at the UW to participate and provide comments during their discussions. This invitation may include faculty who are not superior in academic rank and title. A record shall be kept of all who are invited and who participated in the discussion. Invited participants cannot participate in voting on the candidate, either online or in person. However, the comments provided by those invited to participate, would be considered along with all other pertinent information by the eligible voting faculty members who are superior in academic rank and title when they vote.

### **SPH Policy on Degree Requirements for Primary Instructors**

*(Approved by SPHEC 10/3/12, SPH Faculty Council 10/19/12; revised by CEPC May 2013)*

The School of Public Health (SPH) requires that primary instructors for SPH undergraduate and graduate-level courses hold at least a masters’ degree or the equivalent. If the primary instructor is not a faculty member (graduate student, post-doc or professional staff member) then the Departmental Chair (or Chair’s designee), Interdisciplinary Director or Associate Dean must approve the teaching assignment in advance of the course being offered.

Exceptions to this policy, permissible on a case-by-case basis and evaluated based on work experience, subject matter expertise, and teaching skills, can be made by a vote of the voting faculty of the Department or this authority may be delegated by the faculty to the Department Chair/Associate Dean for Research and Programs.

### **Sick Leave/FMLA, Leave Without Pay and Paid Professional Leave Policy**

A faculty member who requires sick leave or FMLA should complete the required application available on the Academic Human Resources (AHR) website and submit directly to AHR. Both the form and a template for the Healthcare Provider Statement can be found on-line at:

<http://ap.washington.edu/ahr/administrators/leaves/medical-family/>.

A faculty member can take Leave Without Pay (LWOP) for a variety of reasons for up to two academic years, however, a new application for leave needs to be submitted at least every academic year. Faculty who wish to take either a full or partial LWOP should complete the required application available on the Academic Human Resources (AHR) website at <http://ap.washington.edu/ahr/administrators/leaves/unpaid/>. Faculty who have joint appointments should have the department chair of both the primary (home) and joint department(s) sign the form before it is submitted to the Dean's office to ensure clear communication between home and joint departments with regard to their leave. Chair's signature is not necessary for adjunct appointments.

Each year the Provost allocates a number of quarters of Paid Professional Leave (sabbatical) to the School "to increase the scholarship and professional development of members of the faculty and thereby enhance their capacity for service to the University. Leave of this type is ... granted normally to those of professorial rank to afford them the opportunity for study, investigation and research."

The University has a well specified Professional Leave Policy. In summary, a professional leave may be granted for up to four quarters for 12 month appointments, three quarters for 9 month appointments, to faculty who intend to return to the University for a period of one year following the leave.

The department is responsible for funding sabbatical leaves. Funding does not come from central University sources. The University will permit salary support for state-funded positions, up to the following maximum allowable each year:

- Two-thirds salary (67%) for a leave of three quarters (or four quarters if the applicant's primary appointment is annual);
- Three fourths salary (75%) for a leave of two quarters; and
- Full salary (100%) for a leave of one quarter.

Faculty who have joint appointments in two or more departments should have the department chair of both the primary (home) and joint department(s) sign the form before it is submitted to the Dean's office to ensure clear communication between home and joint departments with regard to their leave. Chair's signature is not necessary for adjunct appointments.

WOT (without tenure) faculty may take leave of absence, comparable to a paid professional leave or sabbatical, if their grants and/or contracts will cover it. Other faculty may be granted leaves of absence, without pay, on an annual basis. These leaves are not counted against the School's paid professional leave allotment and follow a separate process. Faculty who have joint appointments in two or more departments should have the department chair of both the primary (home) and joint department(s) sign the form before it is submitted to the Dean's office to ensure clear communication between home and joint departments with regard to their leave. Chair's signature is not necessary for adjunct appointments.

## **Open Meetings**

For regular meetings of the faculty, or faculty-appointed committees, a notice should be filed with the UW Public Records and Open Meetings Office (<http://www.washington.edu/publicrecords/>; email: [pubrec@uw.edu](mailto:pubrec@uw.edu)) giving all meeting times and places. No agenda needs to be filed, and if a meeting is not held, notice of its cancellation can be posted on the door. This is the easiest method of giving prior notice.

For special meetings, in addition to filing the time and place of the meeting, an agenda must be filed. The meeting must follow the agenda exactly; and actions taken that were not listed as agenda items will be null and void.

Discussions of personnel matters (salaries, appointments, promotions, etc.) relating to individuals may be held in closed executive sessions. The final action from these closed sessions must be made public. Meetings to determine criteria for appointments, promotions, tenure, etc., must be open. Advisory committees (those that make recommendations and no decisions) are not subject to the open meeting rule.

## **Guidelines for Appointments and Promotions for UW School of Public Health (SPH) Faculty Based at External Institutions**

Drafted by Emily White, based on the 1994 agreement with Fred Hutchinson, reviewed by Fred Connell and Bridget Doyle, 9/07, Pat Wahl 11/07, SPHEC 2/08, Faculty Council 3/08, Updated 7/2008, 4/2010)

The SPH has formal and informal affiliations with several external institutions or agencies (e.g., Fred Hutchinson Cancer Research Center, Seattle Biomedical Research Institute, Group Health Center for Health Studies, Public Health—Seattle & King County, Veterans Affairs Puget Sound Health Care System). This document provides a description of the responsibilities of various SPH titles and general guidelines for recruitment, appointment and promotion of SPH faculty based at such institutions. However, the actual policies and procedures regarding recruitment, appointment, promotion, rights, responsibilities and other issues to be followed will be based on those written guidelines and usual procedures of the UW, the SPH, and the relevant SPH departments at the time an action is to be taken (see applicable sections of *UW Policy Directory*: <http://www.washington.edu/admin/rules/policies/index.shtml> and the SPH Academic Affairs Handbook: [http://SPH.washington.edu/gateway/handbook/hb\\_full.pdf](http://SPH.washington.edu/gateway/handbook/hb_full.pdf) ).

SPH/UW procedures for recruitment, appointment and promotion of faculty members must be followed regardless of whether the faculty member receives any salary support from UW. The external institution's procedures or timelines for recruitment, appointment or promotion cannot substitute for what is required by SPH/UW.

### **A. Privileges and Responsibilities of Specific Faculty Titles in the SPH**

The privileges and responsibilities of faculty members based at external institutions with appointments in the SPH will be similar to those of faculty based at the SPH who have the same appointment titles. (Also see UW Academic Human Resources description of faculty titles:

<http://ap.washington.edu/ahr/administrators/appointments/job-class-codes/>.)

1. SPH regular faculty (Lecturer, Senior Lecturer, Assistant Professor, Associate Professor and Professor) from external institutions have full voting privileges and participate on a regular and continuing basis in the research, teaching programs and service of their SPH departments. Their activities include mentoring students, service on departmental committees and regular participation at seminars, faculty meetings, and other departmental events. A regular faculty member generally must teach a departmental course(s) on a regular basis, so appointment to these titles requires a commitment by the department for the regular faculty member to teach.
2. SPH research faculty (Research Assistant Professor, Research Associate Professor and Research Professor) from external institutions have voting privileges and are expected to participate in the research, teaching (typically less than regular track) and service of their SPH departments. Involvement in the instructional mission of the department would include mentoring students, and when needed, occasional teaching and service to the academic programs, including service on departmental committees. In addition, involvement in departmental faculty meetings, seminars, and other events is expected. Faculty appointed to the research faculty track may vote on appointments for all faculty, and vote on promotions of those faculty members of equal or lesser rank, and such votes are recorded and reported separately to the SPH Faculty Council, the Dean, and the UW President
3. SPH affiliate faculty titles (Affiliate Instructor, Affiliate Assistant Professor, Affiliate Associate Professor, and Affiliate Professor) are titles often used for those based outside the UW. Affiliate faculty members interact with the department on specific research collaborations or training activities, such as mentoring master's and PhD students. Affiliate faculty members cannot vote on appointments and promotions.
4. SPH clinical faculty titles (Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor) are titles often used for those based outside the UW. Clinical faculty members interact with

the department on specific research collaborations or training activities, such as mentoring students in a practicum setting. Clinical faculty cannot vote on appointments and promotions.

## **B. SPH Faculty Recruitment Process for Faculty Based at External Institutions**

When a SPH-affiliated institution proposes a joint search with the SPH for a new faculty member, the process is as follows:

1. The external institution identifies the need for a scientist for which an appointment in the SPH may be appropriate.
2. The head of the unit in which the new scientist will work discusses the institution's open position with the chair of the appropriate SPH department. A decision will be made on whether a faculty appointment is appropriate, the appropriate track and whether a joint search will be conducted based on the SPH department's written guidelines and/or usual procedures for opening a faculty search. Some departments have guidelines that limit the proportion of voting faculty members who are based at external institutions. A joint search is required for UW regular and research track faculty and may be desirable in some cases for affiliate faculty (see 4 below).
3. If a joint search is agreed upon by the SPH department and the external institution, it requires:
  - a. At least one SPH-based faculty representative on the search committee.
  - b. The position advertisement must contain a correct description of the SPH appointment and responsibilities and must be approved by the Office of the SPH Associate Dean of Academic Affairs. The SPH Dean's Office will seek further UW Institutional approvals, including approval by the UW Office of Equal Opportunity, the UW Office of Academic Human Resources, and the UW International Services Office.
  - c. The proposed SPH department will be expected to participate in the search, including departmental seminars by the candidates (or if acceptable by the Department Chair, timely notification of the department of the seminars at the external institution) and interviews of the candidates by SPH faculty.
  - d. The letters of recommendation in the appointment packet should conform to the guidelines specified in section F below.
  - e. After the recommendation of the joint search committee, the SPH department will conduct a faculty vote on approval of the appointment. This will occur in a timely manner (typically the next monthly departmental faculty meeting after the search committee's recommendation), so that a final offer of a position from the external institution can be coordinated with the appropriate SPH department chair to include a SPH faculty appointment if the vote is affirmative.
  - f. Offer letter must include the language, "Continuation of this appointment at the University of Washington is contingent upon your continued employment with the <external entity>".
  - g. Appointment to Associate Professor, Research Associate Professor, Professor or Research Professor also requires a vote by the SPH Faculty Council for approval of the appointment.
4. Affiliate and clinical appointments in the SPH do not require a joint search with the SPH. The appointment process for these appointments is outlined in section C. However, a joint national search should be considered if there is the possibility that an external institution-based recruit, who may be proposed for affiliate or clinical track faculty status in the SPH, will at a later time be considered for a regular or research track appointment in the SPH.

## **C. SPH Faculty Appointment Process for Faculty Based at External Institutions**



For a scientist who is already based at an external institution and who has the qualifications and interest in becoming affiliated with the SPH, the head of the unit in which the scientist is based may discuss the possibility of a faculty appointment in the SPH with the chair of the appropriate SPH department. These requests shall be reviewed by the department chair and the SPH Dean and/or Associate Dean for Academic Affairs. A decision will be made on whether a SPH appointment is appropriate based on the SPH department's written guidelines and/or usual procedures for initiating new faculty appointments, and a proposal will be made on the appropriate title and rank. Some departments have guidelines that limit the proportion of regular and research faculty members who are based in external institutions.

1. If a title in the regular or research track is appropriate, the criteria for appointment will include the following:
  - a. A waiver for a national search for the SPH appointment is obtained by the SPH Dean's Office from the UW Office of Equal Opportunity.
  - b. Explicit definition of SPH activities (see Section A above).
  - c. Departmental seminar and interviews with SPH faculty.
  - d. Review of the candidate's academic qualification for the SPH appointment as specified in the UW Faculty Code, the SPH Academic Affairs Handbook and departmental policies.
  - e. Letters of recommendation in the appointment packet that conform to the guidelines in section F below.
  - f. An affirmative faculty vote by the proposed SPH department faculty.
  - g. Appointment to Associate Professor, Research Associate Professor, Professor or Research Professor also requires a vote by the SPH Faculty Council for approval of the appointment.
2. If an affiliate or clinical title is appropriate, the criteria for appointment will include the following:
  - a. Explicit definition of SPH activities (see Section A above).
  - b. Departmental seminar and/or interviews with SPH faculty if requested by the Department Chair.
  - c. Review of candidate's academic qualification for the SPH appointment using normal SPH processes by departmental faculty.
  - d. An affirmative faculty vote by the proposed SPH department faculty.
  - e. Annual reappointment by faculty vote.

#### **D. Appointment to UW Graduate Faculty Status.**

Regular, research, affiliate and clinical faculty are eligible for appointment to Graduate Faculty Status by their SPH department. Graduate Faculty Status allows membership on graduate student master's thesis and PhD dissertation committees. Appointment to Graduate Faculty Status is based on departmental faculty vote, which requires the review of the faculty member's academic qualifications and level of participation in research and instructional activities. Highly qualified faculty members may also be approved by faculty vote to chair PhD dissertation committees.

#### **E. Promotion of SPH Faculty Based at an External Institution**

An individual can have titles at different ranks at the two institutions. Generally, when both institutions have a comparable set of titles, promotion at the secondary institution occurs concurrently or after promotion at the primary institution. When possible and appropriate, the comparable rank promotions should be coordinated between the institutions to occur concurrently, to reduce the administrative burden (e.g., to avoid soliciting separate outside letters of review). Nevertheless, SPH/UW procedures, criteria, and timeline for promotion must be followed (see SPH Academic Affairs Handbook). In particular, the letters of recommendation in the promotion packet for regular and research faculty members should conform to section F below.

## **F. Letters of Recommendation for Appointment and Promotion Packets**

For regular or research faculty, the letters of recommendation in the appointment or promotion packets should conform to the guidelines specified in the SPH Academic Affairs Handbook (see Checklist). Specifically they must:

1. Address the qualifications of the candidate that are pertinent to the UW appointment or promotion, not only to the appointment or promotion at the external institution.
2. Conform to the SPH requirements for the minimal numbers and types of letters from references.
3. Have been written within one year of the date they are submitted.
4. Meet SPH submittal deadlines.
5. Be originals with signatures (the UW Provost's Office will not accept copies).

## **G. Other Appointment Issues**

1. For regular and research faculty in the SPH, the maximum total effort and salary between UW SPH and the outside institution is 100%, regardless of whether the UW portion is for teaching, research or administration.

For UW SPH faculty members who are employees of the Veterans Affairs Puget Sound Health Care System (VA PSHCS), and who receive paychecks from both UW and VA PSHCS, an annual MOU is required. See the "Forms" section of the *SPH Academic Affairs Handbook* website for this procedure and form.

## **SPH Guidelines for Interim Departmental Funding**

The University of Washington *Faculty Code (University Policy Directory, Faculty Code, Chapter 24, volume 2, Section 24-40)* requires departments or schools to “develop a process to identify and evaluate the availability of alternative salary sources” for WOT (without tenure for reason of funding) faculty. While the Faculty Code only refers to WOT faculty, these SPH guidelines are for all faculty at the rank of Assistant Professor and above (except Acting titles) with primary appointment in any department of the School. All of the departments in the SPH have approved these guidelines.

The SPH teaching mission is supported largely through University funding of the departments, while the research mission is ordinarily supported through external sources. SPH faculty members are expected to bring in a significant portion of their salary from external funding for research and other activities

The *Faculty Code*, Chapter 24, Sections 24-40 and 24-41 are quite explicit that “the University is not obligated to provide replacement funding during lapses of a faculty member’s external support” (Faculty Code, Chapter 24, Section 24-41 J), beyond any tenure commitments. While the departments in the SPH usually do not have funds to provide substantial interim (or “bridge”) funding, occasionally resources are available to support some bridge funding.

These guidelines are for the procedures department chairs should use to identify alternative sources of funding and the criteria for decisions about interim funding from unallocated departmental funds, if such funds are available. The availability of unallocated funds does not obligate the chair to use these funds in total or in part for bridge funding. The chair may consider other uses of these funds to be higher priority to meet the needs of the department, faculty, students and staff.

A faculty member at the rank of Assistant Professor and above, partially tenured or WOT, research or regular, who has a primary appointment in a department in the SPH and is in need of interim funding, may request partial salary support from his/her department chair. Lecturers who have supported a significant part of their salary through external funds may also apply. The Chair of each department will establish the application procedure and timeline. Chairs may set a yearly deadline for such requests or may allow requests at any time. Ordinarily requests should be in writing and outline the amount of FTE needed, the expected length of time salary will be needed, and should provide support for the criteria below.

The Chair will help the faculty member identify the availability of alternative salary sources, such as grant no-cost extensions and compensation potentially paid as “excess compensation,” that are available to cover the salary shortfall. If these are not sufficient, and if there are available departmental funds to cover interim support, the chair will prioritize any requests based on the following guidelines:

1. The effort of the faculty member suggests good likelihood of future external funding, based on grant proposals currently under review and planned submissions during the time of interim funding.
2. Consideration will be given to the faculty member’s contributions to the department in terms of research, indirect costs brought into the University through the department, teaching, mentoring, and service.
3. Faculty members whose FTE would otherwise drop below 50% with resultant loss of benefits will be given special consideration.
4. The amount requested, length of time requested, whether the faculty member has asked for prior interim support and other factors deemed important by the chair may also be considered.

The chair will respond in writing as to whether the request is denied, approved as requested or approved at a reduced amount or reduced duration. Interim funding would end earlier than specified if and when external funding is received to cover the shortfall. If a faculty member’s request is approved for more than 6 months,

then the chair will review the faculty member's situation after 6 months (e.g. to review the outcome of recently submitted proposals and to review proposals submitted in the prior 6 months), and at that point, the interim support could be stopped, reduced or continued.

Items not covered by this policy:

1. Departmental activities to be performed for salary for fully tenured faculty or for the part of salary covered by partial tenure are negotiated between the chair and the tenured faculty member and are not part of this policy (e.g., see *SPH Instructional Responsibility Policy*).
2. Salary support for course teaching and specified administrative responsibilities is not considered interim funding, and is allocated by the chair according to the policies, obligations and needs of the departments.
3. Acting faculty (any rank), instructors (except as noted above), faculty with primary appointment in another department or institution, and research staff are ordinarily not eligible for interim funding.
4. Newly recruited faculty may have received specific commitments for salary support for some time period in their appointment letter. This type of support is not considered interim funding.
5. This document does not cover cost overruns on grants. Principal Investigators must monitor their grant expenditures and are expected to avoid cost overruns.

## ***SELECTED SPH RESEARCH POLICIES AND PROCEDURES***

### **Academic Titles Eligible to Serve as Principal Investigators on Grants & Contracts**

It is generally assumed that Principal Investigators on grants or contracts submitted through the UW Office of Sponsored Programs (formerly Grant and Contract Services) are faculty members (Lecturer (all ranks), Assistant Professor, Associate Professor, Full Professor; Research Assistant Professor, Research Associate Professor, Research Professor). However, there is no explicit University prohibition against other UW scientists serving as PIs on grants, except by *Faculty Code (UW University Policy Directory Chapter 24, Section 24-35)* Research Associates may not be Principal Investigators on research grants or contracts. Rather, it is left to individual Schools/Colleges to establish their own policies.

The SPH policy is as follows:

Researchers who are primary or joint faculty members of a department (titles in first sentence above), may submit grants through that department.

Researchers with primary appointments in the SPH holding non-faculty titles of Research Scientist or Senior Fellow (incl. post-doctoral fellows), or those holding faculty titles of Adjunct Faculty (any rank), Clinical Faculty (any rank), Affiliate Faculty (any rank) or Acting Faculty (any rank) in the SPH may serve as Principal Investigators on grants only if the following criteria are met:

1. A faculty member with a full-time regular or research faculty appointment (excluding Research Associate) with primary appointment in the department through which the grant is to be submitted must agree to serve as a 'sponsor' of the candidate and the research project (typically, the sponsor will be listed on the grant as a co-investigator or co-PI, but, at the discretion of the Chair and Dean, this may not be required);
2. Unless otherwise stated, the sponsoring faculty member assumes responsibility to provide necessary space, equipment and other resources not provided by the grant (unless other specific arrangements are made and agreed to by the Chair in advance of submission of the grant);
3. The Chair of the Department confirms that the previous conditions have been met; and
4. Department approval is confirmed using the eGC1 approval process in SAGE. The eGC1 Preparer or the Department-level approver should ensure that the sponsoring faculty member is listed in the "PI &

Personnel" section on the eGC1. The Department-level approver should also note the name of the sponsoring faculty member in the eGC1 comments section prior to completing the SAGE approval for the Department.

Other staff, students and part-time employees may only serve as Principal Investigators on grants if the funding program specifically pertains to this type of appointment (e.g., student research fellowships). In such cases, the criteria above shall be applied.

It should be recognized that, in most circumstances, the Department will have an obligation to provide space for the funded research throughout the active funding period, even if the sponsoring faculty member leaves the University and the Principal Investigator remains. Should the sponsoring faculty member leave the University prior to completion of the project, the Chair will appoint another faculty member to serve as the interim faculty sponsor for the remainder of the funded period. However, there is no obligation on the part of the Department or the appointed interim faculty sponsor to support a competing renewal.

## **SPH Policy on Managing Non-Grant and Contract Effort by Grant-Funded Faculty**

*(Approved by SPHEC 5/2/07, SPH Faculty Council 5/14/07, Sue Camber 5/17/07)*

### **Background**

Based on University guidelines and Federal regulations, faculty effort put toward grant writing and university service above a *de minimis* amount must be funded from sources other than federal funds.

*Grants Information Memorandum #35* states:

The total UW institutional base salary, including administrative and endowed supplements (ADS and ENS), must be distributed across all of a faculty member's university research, instruction, administration, service and/or clinical activities. This requirement may not be avoided by characterizing true UW activities such as proposal writing, instruction, university-related administrative duties, service or clinical activities as "unfunded" or "volunteer" activity for which no UW salary is paid.

Although all university activities must be included in a faculty member's effort for reporting purposes, not all of a faculty member's professional activities must necessarily be considered university activities. For example, outside professional work and volunteer community or public service are types of activity that would normally be deemed non-university activities....Service on review panels or other advisory activities for federal sponsors that include an honorarium and/or travel reimbursement are also considered outside of total effort.

### **Definitions**

- Non-grant and contract related effort: instruction, university service, clinical activity, administration, proposal writing.
- *De minimis* amount—in their aggregate, their inclusion in or exclusion from total effort would not affect the percentages of effort allocated to sponsored research.

### **Process**

At least once a year, the department chair should review each faculty member's effort on both grant and non-grant activities to determine the appropriate assignment of non-grant and contract activity and the corresponding amount of non-grant and contract salary funding. To indicate that the non-grant-funded part of a faculty member's salary covers a range of activities, that salary component should be stated to be for "instruction and other departmental and university activities" or if the faculty member does not teach, then for "departmental and university activities." Faculty members who are primary in the SPH should receive at least 5% of their University salary support from non-federal sources and more if non-grant activities exceed 5%. Eligible faculty members include 100% FTE faculty members as well as those who are part-time or partially without salary (for

the latter two groups, the 5% is based on their actual salary, not on their 100% FTE salary). In rare circumstances, an exception could be made for faculty members who have no non-grant and contract effort as part of their university activities.

Faculty members are responsible to ensure that their percent effort and percent salary charged are consistent for each grant or contract, when averaged over an effort-reporting period.

### **Sources of funding for non-grant and contract activities**

The salary for non-grant and contract related activities will come from non-federal sources including departmental state funds, research cost recovery, gifts or endowments. The primary responsibility for meeting the salary objective resides with the department chair using department-based resources. If departmental resources are not available, the chair may request 5% of a faculty member's salary from the Dean.

### **Submission of Grant through Other than the PI's Primary Department**

*(approved SPHEC 10/08, Faculty Council 10/08, SPHEC updated 11/08)*

A Principal Investigator whose primary appointment is in one of the SPH's departments is expected to submit his/her grants and contracts through his/her primary department. However in certain situations, the PI's department chair may approve an exception to allow a grant to be submitted through another department or institution. In such cases, agreement must be reached between the PI's chair and the chair of the submitting department before the Dean's Office approval of the eGC-1.

The PI's primary department chair may wish to consult with the PI to accommodate grant submittal through the PI's home department and/or with the chair of the department through which the grant will be submitted before approving submittal through that department with or without certain conditions. Department approval (for both the primary and non-primary departments) is confirmed using the eGC1 approval process in SAGE. The Department-level approvers should include any conditions or other relevant information in the eGC1 comments section before completing the SAGE approval for the Department.

### **Notes**

1. This process is required for faculty who are primary in Global Health, whether they are primary in SOM or SPH.
2. This process is not required for PI's who are primary in a department outside the SPH and who wish to submit a grant through a SPH department, although it would be appropriate in such situations for the PI to discuss this with the chair of his primary department and the chair of the department through which he/she would like to submit the grant. Also in such cases, see the SPH policy on who may be PI of a grant in the SPH.

## *Appendices*

### **Appendix 1: SPH Faculty Bylaws**

#### **SCHOOL OF PUBLIC HEALTH UNIVERSITY OF WASHINGTON**

In order to exercise the powers granted under Faculty Code, Section [23-43](#), and to advise the Dean as required in Section [23-43B](#) in an orderly and expeditious manner, the faculty of the School of Public Health establishes herewith, under Faculty Code Section [23-45A](#), its organization and rules of procedures.

### **ARTICLE I**

#### **PURPOSE AND FUNCTION**

##### **Section 1. Purpose**

The purpose of the School of Public Health shall be to provide programs within the larger context of the University of Washington, whose mission is defined in University Handbook, [RCW, 28 B-20.020 Vol. 1-1](#).

##### **Section 2. School's Governing Body**

The faculty of the School of Public Health, University of Washington, is the School's governing body under The Faculty Code, Section [23-41](#).

##### **Section 3. Function of the Faculty**

Pursuant to Section [23-43](#) of the Faculty Code, the faculty of the School of Public Health shall:

- A. with respect to academic matters,
  - 1. determine the School's requirements for admission and graduation;
  - 2. determine the School's curriculum and academic programs;
  - 3. determine the scholastic standards required of the School's students;
  - 4. recommend to the Board of Regents those of the School's students who qualify for University degrees;
  - 5. exercise the additional powers necessary to provide adequate instruction and supervision of the School's students;
- B. with respect to academic personnel matters, make recommendations to the School's dean in accord with the provisions of [Chapter 24](#) and of Section [25-41](#).

### **ARTICLE II**

#### **VOTING MEMBERSHIP**

- A. Members of the School faculty who are voting members of the University faculty shall be voting members of the School faculty, in accordance with the Faculty Code, Section [21-32A](#):

- professor, 50% appointment or greater
- research professor, 50% appointment or greater
- associate professor, 50% appointment or greater
- research associate professor, 50% appointment or greater

assistant professor, 50% appointment or greater  
research assistant professor, 50% appointment or greater  
full-time instructor,  
full-time principal lecturer,  
full-time senior lecturer,  
full-time senior artist in residence,  
full-time lecturer,  
full-time artist in residence, or  
a retired assistant professor, associate professor, or  
professor during the Quarter(s) he or she is serving on a part-time basis, or  
a retired research assistant professor, research associate professor or  
research professor during the Quarter(s) he or she is serving on a part-time basis.

- B. Faculty in these ranks who hold a joint appointment where the primary appointment is in the School of Public Health are voting faculty. In addition, faculty in these ranks who hold a joint appointment where the secondary appointment is in the School of Public Health will be considered to be voting faculty in the School of Public Health if they are voting faculty in a department of the School of Public Health.
- C. Notwithstanding the rank held, the following are not voting members of the faculty in accordance with the Faculty Code, Section 21-32B:

persons serving under acting or visiting appointments;  
persons on paid professional leave or leaves of absence for more than 50% FTE, during the time that they are on such leave;  
persons serving under clinical or affiliate appointments;  
persons of emeritus status unless receiving salary from a department in the School of Public Health;  
persons serving under adjunct appointments insofar as their adjunct appointments are concerned.

In accordance with the Faculty Code, Section 21-32C, research faculty may vote on all personnel matters as described in the *Faculty Code* except those relating to the promotion to and/or tenure of faculty to the following ranks:

Senior Lecturer  
Assistant Professor  
Associate Professor  
Professor  
Associate Professor WOT  
Professor WOT

## ARTICLE III

### FACULTY COUNCIL AND STANDING COMMITTEES

#### Section 1. Faculty Council

**A. Responsibilities:** There shall be a Faculty Council whose responsibilities shall be to advise the dean on matters of faculty promotion and tenure, and to advise the dean on matters involving academic policy, including priorities, resource and salary allocation, and budgets. (Sec. [23-45C](#)). The Dean shall present budget proposals and priorities at least annually to the Council, prior to submission to the University Administration. The Faculty Council shall review the proposals and priorities and provide advice to the Dean. The Faculty Council also shall advise the Dean on the day-to-day operations and long-term plans, develop statements of common goals, coordinate areas of common interest, review facility requirements, and promote community relations. Department faculty in the School of Public Health shall review and vote on all appointments and renewal of appointments as stated Faculty Code 24-52.B&C. The Faculty Council of the School of Public Health has additional responsibility for providing secondary review of new appointments at the level of



Associate Professor (regular and research) and above, as well as promotions in the regular research ranks, and appointments in the Senior and Principal Lecturer ranks. Based on these reviews the Faculty Council shall, in a timely fashion, make recommendations to the Dean regarding these proposed appointments and promotions.

The Faculty Council shall be concerned with all domains of faculty authority and duties of the School of Public Health faculty and the professional and personnel issues affecting faculty. The Faculty Council is directly accountable to the faculty as a whole, from which it is elected. It acts on behalf of the School of Public Health faculty and shall account to the School of Public Health faculty for those acts.

The Dean may assemble an executive advisory committee of department Chairs or other persons as the Dean sees fit, known as the School of Public Health Executive Committee (SPHEC). SPHEC shall be advisory to the Dean. The Chair of Faculty Council (and Vice-chair as alternate) shall be a member of SPHEC to facilitate interactions. They will represent the Council in SPHEC meetings, and report back to the Council. The SPHEC meetings will not replace nor substitute for the regular meetings between the Dean and the Faculty Council.

The Faculty Council shall also provide for the oversight and coordination of the activities of School of Public Health standing committees and ad hoc committees that the Faculty Council establishes.

**B: Membership:** The Faculty Council shall consist of one regular representative and one alternate from each department in the School who shall be elected by the faculty of each department. The primary responsibility of the alternate member is to substitute for the regular member when he/she is unable to attend meetings of the faculty council. Other duties may be assigned by the Council chair on an ad hoc basis. The Dean (or the Dean's delegate) shall attend meetings of the Faculty Council except for discussions of proposed faculty appointments and promotions, or if the Council calls an executive session (Article III, Section 1.E), and shall serve as an Ex Officio, non-voting member of the Council. Regular and alternate representatives to the Faculty Council must be elected from the list of professors of a department with voting privileges. In such cases where the elected representative is a research professor, the other representative must be a regular track professor, who would vote on regular-track promotion cases where the research faculty member is not eligible to vote. [Note: Faculty who hold clinical or affiliate titles are not eligible to serve as regular or alternate members of the faculty council.] All voting members of Faculty Council shall serve three-year terms of office. Regular council members may be re-elected for a second consecutive term. There is no limit on the number of terms that a person may serve as an alternate member. The Council election shall take place in Spring Quarter, and members shall serve beginning 15 September following their election.

The Faculty Council also shall include a representative from the interdisciplinary programs (Nutritional Sciences and Public Health Genetics) in the School of Public Health. The interdisciplinary program representative is eligible to vote on all issues, except proposed faculty appointments or promotions. This representative shall be selected from faculty members of these programs at the associate professor or higher level whose primary appointment is in the School, according to a procedure determined by the faculty of these programs. This is a one-year, renewable term. This representative will be invited to attend all regular meetings of the Faculty Council except for discussions of proposed faculty appointments and promotions, or if the Council calls an executive session (Article III, Section 1.E).

**C. Elections:** During spring quarter of the third year of a regular or alternate member's term, Departments shall elect one member and/or one alternate from the list provided by the Dean's office of persons eligible to serve on the Council. All voting members of the departments in the School as described in Article II are eligible to vote in the election of the Council. The departments must notify the Faculty Council Chair and the Dean's Office about the results of these elections by the end of the spring quarter in which the election is held.

**D. Officers:** Each Spring quarter, the Council shall elect a Chair and Vice Chair from among the members of the Council. The term of office of the Chair and Vice Chair shall be one year.

**E. Procedures and Meetings:** Subject to the provisions of the University Handbook and these Bylaws, the Faculty Council shall determine its own procedures, including appointment of subcommittees as appropriate. The presiding officer at Council meetings shall be the Faculty Council Chair or the Vice-Chair in the absence of the Chair. Meetings of the Faculty Council may be called at the request of the Council Chair, the Dean, or by a request of a majority of members.

The Council may meet in executive session (i.e., only the five departmental representatives) when addressing personnel or other confidential matters. Voting on any item of business in any meeting of the Council shall be by secret ballot if requested by any Faculty Council member. Approval shall require an affirmative vote from more than 50% of the voting membership of the Council. Members shall recuse themselves from votes on appointment or promotion of individuals from their departments.

**F. Written Records:** The Chair of the Council, with support from the staff of the Office of the Dean, shall be responsible for preparing a written summary of all Faculty Council proceedings, including votes and formal recommendations of the Council, which shall be part of the permanent record of the School and shall be available (subject to University Handbook provisions and University regulations regarding personnel matters) upon request to any member of the School.

**G. Vacancies:** A vacancy in either regular or alternate membership can occur through such processes as resignation, termination of employment, leave, or failure to attend three consecutive meetings without advance notification. If a vacancy should occur during the term of any office, the respective department shall provide for an election to fill the duration of the term of office for that position.

## **Section 2. Committees**

**A. Standing Committees of the School of Public Health:** The School of Public Health has a Curriculum and Educational Policy Committee. The Faculty Council and the Dean shall jointly determine and form additional standing committees for the School to address appropriate issues such as student life, etc., that cannot be adequately addressed by the Faculty Council. Standing committee members shall consist of at least one regular representative from each department in the School, and other members as necessary to conduct committee business, who shall be elected by the faculty of each department during the same annual election cycle and 3-year term of office as Council representatives described in article III (1-B) of the By-laws.

The Faculty Council, shall provide a charge for each committee describing its purpose and responsibilities, as well as its criteria and procedures for determining eligible membership. This document must be approved by the Dean and the Faculty Council and reviewed periodically. Each committee may set its own internal procedures as appropriate to its charge.

Students may participate as non-voting members of committees, as appropriate. Nominations of student members shall be made at the beginning of Autumn Quarter. Terms of student members shall be for one year; reappointment is allowed.

Committee Chairs shall be responsible for preparing a written summary of all committee proceedings, including votes and formal recommendations to the Council, which shall be part of the permanent record of the School and shall be available (subject to University Handbook provisions regarding personnel matters) upon request to any member of the School. Committees shall elect a chair from among the members to serve a one year term: reappointment is allowed. The standing committees shall report on their proceedings to the Faculty Council periodically or when asked to do so by the Council Chair.

**B. Ad Hoc Committees of the Faculty Council:** In addition, the Faculty Council may form ad hoc committees as required in the exercise of its responsibilities to assist with business before the Council. Each committee established under this authority shall be given a specific charge and terms of membership by the Council. Each committee may set its own internal procedures as appropriate to its charge.

## **ARTICLE IV**

### **QUORUM**

A quorum for any meeting of School of Public Health faculty (e.g., the Faculty Council, departmental faculty meetings, etc.) shall consist of at least half the voting members of the faculty.

## **ARTICLE V VOTING**

A proposed action of the School of Public Health faculty under the authority of the Faculty Code, Sections [23-43](#) and [23-44](#), is effective if passed by a majority of its eligible voting members. All voting will occur by paper ballot, mail or electronic ballot.

*For voting by mail or electronic ballot*, actions are approved by a simple majority of faculty eligible to vote.

## **ARTICLE VI**

### **SCHOOL-WIDE FACULTY MEETINGS, ORDER OF BUSINESS, AND AGENDA**

#### **Section 1. Meetings**

The Faculty Council shall call a meeting of the whole School faculty at least annually. An annual meeting date shall be established prior to the end of the Autumn Quarter by the Faculty Council. Meeting dates will not be changed unless there is a major emergency, with information provided to the faculty regarding cause for change. Special meetings shall be held when called by the Faculty Council, when requested by the Dean, or when requested in writing by ten percent of the voting membership of the School/College faculty. The Chair of the Faculty Council presides at the meeting of School's faculty.

#### **Section 2. Order of Business**

The Faculty Council shall determine the order of business.

#### **Section 3. Agenda**

The agenda shall be developed by the Faculty Council with input from individual faculty members, departments, divisions, councils, committees, task forces, and the Dean. Agenda items must be submitted in writing to the Chair of the Faculty Council three week(s) prior to each School faculty meeting. A copy of the agenda shall be distributed to the School faculty at least two week(s) prior to each meeting.

## **ARTICLE VII**

### **PARLIAMENTARY AUTHORITY**

Roberts' Rules of Order Newly Revised shall be the parliamentary authority. The rules contained in the School of Public Health Faculty Bylaws shall govern the faculty in all cases to which they are applicable and in which they are not inconsistent with the bylaws or special rules of order of this University.

## **ARTICLE VIII**

### **AMENDMENTS**

The bylaws may be amended by mail or electronic ballot by two-thirds of the voting faculty. A voting period of at least three weeks shall be provided for the return of mail or electronic ballots; the Council may extend this voting period up to six months if such action is considered necessary to allow for full consideration by the School faculty.

## **ARTICLE IX**

### **DELEGATION OF POWERS TO DEPARTMENTAL FACULTIES**

The faculty of the School of Public Health delegates to the faculty of its several departments or interdisciplinary programs, as appropriate, the following powers and duties ([23-43](#)):

- establish requirements for admission;
- establish curricula and academic programs;
- establish the scholastic standards required of its students;
- recommend to the Board of Regents those of the students who qualify for University degrees; and
- exercise the additional powers necessary to provide adequate instruction and supervision of its students.

With respect to academic personnel matters and making recommendations to the School's Dean for appointments and promotions in accord with the provisions of [Chapter 24](#) and of Section [25-41](#):

- The faculty of the SPH delegates recommendations for appointments to Instructor, Lecturer, and Assistant Professor to the faculties of the various departments.
- All other academic personnel appointments will be initiated by department faculty and reviewed by the Faculty Council in accordance with Article III, Section 1.A of the Bylaws.

#### Standards.

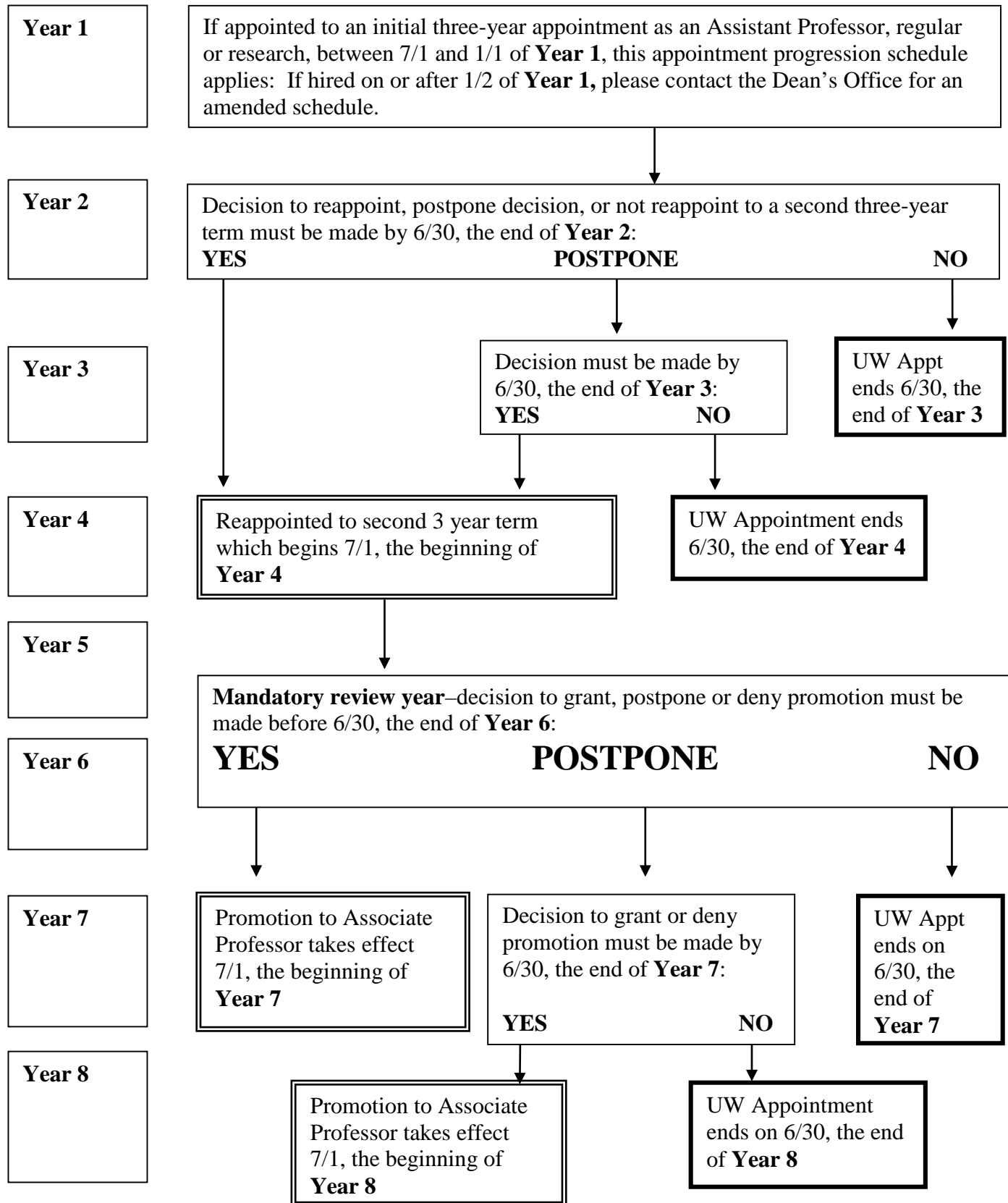
In exercising the authority granted in Article IX, individual departments may not set standards lower than those established by the School, nor may a unit take action when it is contrary to academic or research policies adopted by the School through its governing body, the Faculty Council. The School faculty, through its Faculty Council, reserves the right to reject or modify any departmental action taken under Article IX.

#### University Handbook Governs.

In exercising powers delegated by the School faculty, departmental faculties shall note that they are bound by the provisions of the University Handbook, Volume II, Chapter 13 and Sections 23-43, 23-45, 23-46, 23-47, and 23-48, and that their actions must conform with all applicable rules set forth in the University Handbook.

## Appendix 2: UW Appointment Progression for Assistant Professors

(A “Year” begins 7/1 and ends 6/30)



### Appendix 3: SPH Number of Peer Reviewed Publications 1997-2011

Overview of peer-reviewed publications\* for faculty candidates successfully promoted in the UW SPH from 7/1/2010 to 7/1/2014 (date promotions took effect) by type of promotion

Type of Faculty	Promotion	Median	25 <sup>th</sup> Percentile	75 <sup>th</sup> Percentile
WOT and Tenured	to Associate Professor	28	24	30
	to Professor	43	32	72
Research Faculty	to Research Associate Professor	31	20	35
	to Research Professor	69	58	86

\* It is recognized that the number of peer-reviewed publications prior to promotion may vary between the various disciplines represented in the School of Public Health.

## Appendix 4: General Minimal Research and Teaching Expectations

### General Minimal Research Expectations for Promotion

	<b>Minimum Number of Peer-reviewed Publications</b>	<b>Grants &amp; External Funding</b>	<b>Other</b>
<b>Assistant Professor</b> -> <b>Associate Professor</b>	“10+” high-quality, peer-reviewed publications with 5+ as first/senior author	Success in competing for one or more major outside research grants as PI OR as substantive scientific contributor (documentation of candidate’s role required) OR Similar substantive contributions or PI-ships on <u>several</u> smaller grants	<ul style="list-style-type: none"> <li>• Significant contributions to the field</li> <li>• national reputation</li> <li>• sustained productivity</li> </ul>
<b>Associate Professor</b> -> <b>Full Professor</b>	“20+” high quality, peer-reviewed publications with 10+ as first/senior author	Success in competing for one or more major outside research grant as PI OR as substantive scientific contributor (documentation of candidate’s role required) OR Similar substantive contributions or PI-ships on <u>several</u> smaller grants	<ul style="list-style-type: none"> <li>• Record as an independent investigator</li> <li>• Significant contributions to the field</li> <li>• national/ international reputation</li> <li>• sustained productivity</li> </ul>
<b>Research Assistant Professor</b> -> <b>Research Associate Professor</b>	“10+” high-quality, peer-reviewed publications with 5+ as first/senior author	Success in competing for one or more major outside research grant as PI OR as substantive scientific contributor (documentation of candidate’s role required) OR Similar substantive contributions or PI-ships on <u>several</u> smaller grants	<ul style="list-style-type: none"> <li>• Significant contributions to the field</li> <li>• national reputation</li> <li>• sustained productivity</li> </ul>
<b>Research Associate Professor</b> -> <b>Research Professor</b>	“20+” high quality, peer-reviewed publications with 10+ as first/senior author	Success in competing for one or more major outside research grant as PI OR as substantive scientific contributor (documentation of candidate’s role required) OR Similar substantive contributions or PI-ships on <u>several</u> smaller grants	<ul style="list-style-type: none"> <li>• Record as an independent investigator</li> <li>• Significant contributions to the field</li> <li>• national/ international reputation</li> <li>• sustained productivity</li> </ul>

## General Minimal Teaching Expectations for Promotion

	<b>Regular/In-Class Teaching</b>		<b>Other or Out-of-Class Teaching</b>
<b>Assistant Professor -&gt; Associate Professor</b>	<u>Three courses*</u> , at least 8 credits, with evidence of effectiveness** OR [if prior experience], two courses, exceptionally taught AND	<b>AND</b>	Chair, one completed PhD dissertation OR Two of the following: Chair completed MPH or MS thesis or chair PhD candidate through the General Exam OR “extensive involvement in other training activities” [must be documented by faculty member and chair]
<b>Associate Professor -&gt; Full Professor</b>	<u>Two courses*</u> , with evidence of effectiveness** OR [if prior experience], one course, exceptionally taught AND	<b>AND</b>	Chair, one completed PhD dissertation OR Two of the following: Chair completed MPH or MS thesis or chair PhD candidate through the General Exam OR “extensive involvement in other training activities” [must be documented by faculty member and chair]
<b>Research Assistant Professor -&gt; Research Associate Professor</b>	Two courses*, with evidence of effectiveness* OR*	<b>OR</b>	Chair, one completed PhD dissertation OR Two of the following: Chair completed MPH or MS thesis or chair PhD candidate through the General Exam OR “extensive involvement in other training activities” [must be documented by faculty member and chair]
<b>Research Associate Professor -&gt; Research Professor</b>	Two courses*, with evidence of effectiveness** OR	<b>OR</b>	Chair, one completed PhD dissertation OR Two of the following: Chair completed MPH or MS thesis or chair PhD candidate through the General Exam OR “extensive involvement in other training activities” [must be documented by faculty member and chair]

\* - see Handbook (“Teaching”, Section I.A.) for what qualifies as a “course”

\*\* - effectiveness must be documented with student and peer evaluations



## Appendix 5: Documentation Guidelines for Academic Public Health Practice

	<b>Examples</b>	<b>Evidence</b>
<b>Scientific Rigor</b>	Achievements reflect or embody sound scientific evidence, theoretical frameworks, and rigorous public health methods	Documentation of approaches used in public health practice projects that are being evaluated for promotion
<b>Impact</b>	Improvement in public health programs, conceptualization, or methods and/or in community risks or health outcomes	Documentation of changes in public health practice or community health as a result of the health practice projects that are being evaluated for promotion Awards or other recognition for this work
<b>Dissemination</b>	Peer-review articles Policy documents Technical reports Educational or training materials	Articles, reports, and other materials, annotated to explain how these reflect or have contributed to scholarship in public health practice
<b>Leadership</b>	Chair of public health task force, committee, or panel Leadership of public health campaigns or partnerships Major administrative role in public health organization	CV (Leadership roles) Letters of reference that speak to the quality and contributions of the candidate's leadership Awards

## Appendix 6: Outline for the SPH Faculty CV

Note - *All Subheadings should be in ascending chronological order and items enclosed in brackets [ ] are optional. Use of the SPH CV format is required in the promotion packet.*

### 1. Biographical Information

- Name,
- Address,
- Phone,
- Fax,
- E-mail,

### 2. Education

- Beginning with undergraduate education list the Institution [& City], Degree, [Subject Area], [With Honors], Date(s)

### 3. Licensure (if applicable)

### 4. Professional Positions (e.g., Medical Residency, Fellowships, Faculty Appointments, etc.)

- Position, Affiliation, Dates

### 5. Honors, Awards, Scholarships

- Award [affiliation], Dates

### 6. Professional Activities (outside of UW) (e.g., Committees, Councils, Boards, Study Sections, Editorships, Consultancies, Manuscript Reviewer, Visiting Appointments, etc.); Memberships in Professional Organizations; like items grouped

- Activity, Institution or Affiliation, Dates

### 7. Bibliography (numbered)

- a) **Refereed research articles** (for published or in press use – full citation including all authors, title, inclusive page numbers, volume; for journals – use standard journal abbreviations, and date) [for submitted manuscripts: include journal and date submitted]
- b) **Other refereed scholarly publications** (include information as above)
- c) **Books and book chapters**
- d) **Other non-refereed published scholarly publications** (proceedings, policy reports, technical reports, book reviews, editorials, letters to the editor)

*Note - Candidate name in bold; mark publications with an asterisk if candidate is PRIMARY mentor of the first listed author but is not the senior author according to conventions of the field.*

*Note - Do NOT include articles in preparation*

### 8. Patents and Other Intellectual Property

### 9. Funding History (Entire history; include Title, PI, Funding Agency, Total Direct Costs, Role, % Effort, Dates)

- a) **Funded projects** (Research, Training Grants, Contracts etc)
- b) **Pending Applications**

**10. Public Health Practice Activities** (Activity, Organization, Role, Dates)

**11. Conferences and Symposiums** (Organization, Contributed Oral Presentations, Invited Oral Presentations, and Seminars) [Meeting presentations made by preceptees]; like items grouped; mark invited presentations with an asterisk.

**12. University Service** (List the entire history; Activity, Dates, [Role])

**13. Professionally-Related Community Service** (List the entire history; Activity, Organization, Dates, [Role])

**14. [Other Pertinent Information As Needed]**

**15. Teaching History** (List the entire history at the UW as well as previous institutions, if applicable: Title, Number of Students, Role, % Responsibility, Dates)

- a) Formal Courses, including Distance Learning
- b) Other Teaching (Guest Lectures, Continuing Education, Clinical Teaching, etc.)
- c) Independent Study (\*give students' names instead of course title if appropriate)

**16. Advising and Formal Mentoring** (List the entire history; Student Name, Year, Role (e.g., chair or member of the committee))

- a) PhD Dissertations, chair
- b) Masters Theses, chair
- c) Mentored Scientists and Postdocs
- d) MS and PhD committees in non chair role
- e) Other Mentoring (Undergraduate Research, Medical School ISMS Projects, etc.)
- f) Academic Advising

## **Appendix 7: University of Washington Instructional Responsibility Policy**

One of the University's highest priorities is to provide superior instruction to its undergraduate, graduate, and professional students, residents, fellows, and postdoctoral trainees. Instruction takes many forms, and course instruction varies from the traditional lecture hall to such venues as the laboratory, studio, clinic, or hospital. To accomplish this mission, faculty need to be available to students and courses need to be scheduled across the year and in patterns that maximize student access.

Colleges, schools, and departments are responsible for ensuring that these objectives are met. In so doing, each academic unit shall establish its appropriate teaching requirements and implement them. It is expected that faculty members who are fully funded from instructional budgets will be in residence (except when on approved professional leave) and will have assigned course instructional responsibilities in every quarter when so supported. Faculty members who are partially supported from instructional funds will have proportional instructional responsibilities.

Departments, colleges, and schools may not adopt policies which relieve faculty of course responsibilities in quarters when they are supported by instructional funds. To meet the University's other responsibilities, it may be appropriate in exceptional situations for a faculty member to have no course load distributed across the remainder of the year. Each such exceptional arrangement must be requested in advance by the department chair and approved by the dean and provost.

### **School of Public Health Instructional Responsibilities Policy**

For faculty receiving partial support from state funds, we aim to have course teaching in proportion to the level of partial support, i.e., 3 quarters for 63-90, 2 quarters for 38-62, 1 quarter for 13-37, and none if equal to or less than 12 support. If necessary, we will propose that faculty not only offset state-funded time with external funds, but also consider converting to part-time employment, if there is not sufficient teaching opportunity (and not sufficient offset). The instructional time of chairs, graduate program advisors, and others in academic administrative positions would be divided between the leadership role and course teaching.

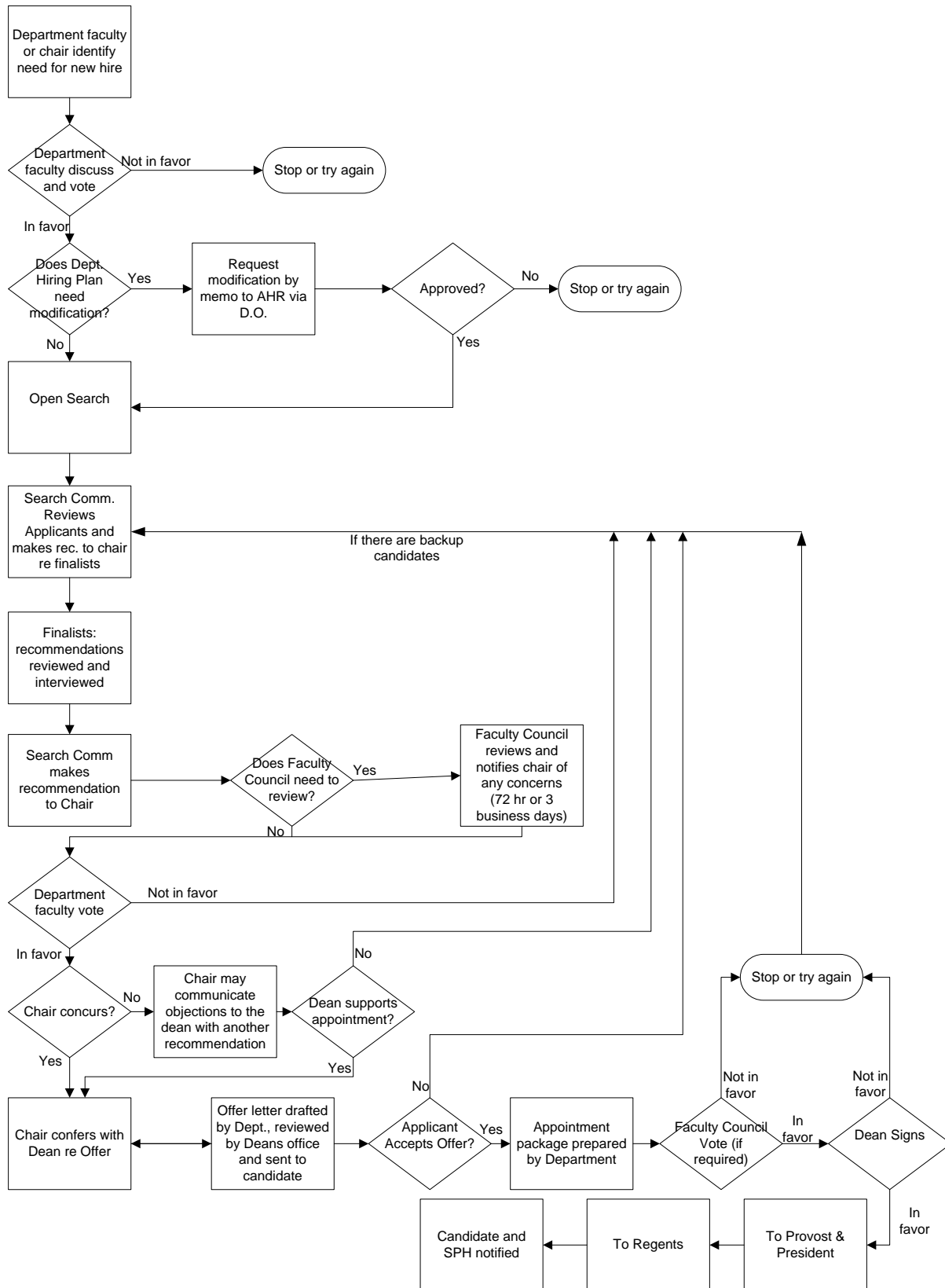
#### *SPH Criteria for Course Activities Qualifying Under the IRP:*

- Serving as the sole instructor or the co-instructor of a course that meets at regularly scheduled times throughout the quarter. A qualifying co-instructor must share responsibility for organizing the content and format of the course, be available to students to provide help, and evaluate student performance.
- Organizing a departmental or program seminar series that students can take for academic credit.
- Precepting a journal club that students can take for academic credit.
- Instructing groups of graduate students and/or postdoctoral fellows in laboratory techniques, on a regular basis.
- In special circumstances, we would give credit for initiative in curriculum development and preparation of new courses.

#### *Assumptions:*

- Faculty who receive more than 90% state support teach the equivalent of 4 courses, as defined above
- Co-instructing a course equals 1/2 a course
- Organizing departmental or program seminars, journal clubs, or laboratory instruction for 3 quarters equals 1 course

# Appendix 8: New Faculty Search, Approval and Appointment Process



## **Appendix 9: Faculty Council Informal Review Process for Faculty Offers**

The Faculty Council would like receive notification at a much earlier stage of the recruitment process. This informal review process would involve the following steps:

- 1) The Council would receive a regular list of which departments have searches in progress at the level of Associate Professor or higher and for Senior Lecturer positions;
- 2) Any special situations (e.g. spousal recruitment, requests to recruit without a national search) would go to Faculty Council for review.
- 3) Once the Departmental Search Committees have narrowed down the candidates (but prior to a vote or offer), an informal packet (CV and recommendation letters) of the candidate or candidates would be sent by the Dean's office to Council for a rapid review. This would not be a formal approval, but would allow the Council members an opportunity to express any substantial concerns prior to an offer being given. The Council is committed to very quick turnaround of this step in the informal review process (within 3 business days). Nonresponse from the Council may be interpreted by the department and Dean that the Council has no immediate concerns about the candidate(s).

This informal review process is not meant to add complications to the recruitment process, but rather to insure that the final approval of appointments can be expedited, while at the same time ensuring that the Council is acting in the best interests of the Faculty for whom we serve. This also allows candidates and Chairs to prepare appointment packet materials and letters that address any specific concerns raised in the informal review process. We look forward to your assistance and input in implementing these proposed changes to make the appointment process operate more effectively.

The Council recognizes that any recommendations to the departments and Dean on further actions with regard to candidates are advisory, and are up to the chairs' and Dean's discretion.

## **Appendix 10: SPH Policy and Procedures on External Evaluation Letters for Promotion Packets**

The School of Public Health requires promotion packets to include four external letters for the promotion of regular and research faculty. Academic Human Resources requires three to five letters and will not accept more than five letters. To assure that four letters are received, promotion committees often solicit letters from more than four potential reviews in order to compensate for potential declines. The following SPH policy describes how the extra external letters should be used in the promotion process.

All external letters that are returned to the Department Chair should be included in the promotion packet that is reviewed by the promoting department's faculty, prior to their faculty vote.

1. Provided that the vote for promotion is favorable, the Department faculty may choose to direct their Department Chair to select four to five external letters to forward in the promotion packet. The Department Chair should include in her or his cover letter to the SPH Faculty Council a description of which letters are to be included in the promotion packet that is sent to the Provost's Office, but still include all external letters in the materials that are sent to the SPH Faculty Council and the Dean. The cover letter also should explain how and why the four or five letters were selected from all the letters. If internal and external letters are received, external letters are favored generally over internal letters. Letters from universities and other academic organizations are favored generally over letters from non-academic organizations.
2. If the Department faculty do not elect to have their Chair select the four or five external letters, then all the letters should be included in the promotion packet sent to the SPH Faculty Council and the Dean. The Dean would then select up to five letters to include in the promotion packet that is sent to the Provost's Office.

## **Appendix 11: SPH Policy on Excess Compensation for Not-for-Credit Teaching**

*(Approved by SPH Faculty Council 3/5/2013)*

**Excess Compensation** is a University payroll term used for work performed outside the employee's normal appointment and above a full-time (100% FTE) workload. In this context, excess compensation refers only to funds paid through the UW payroll system. The maximum allowable excess payment is 25% above the employee's regular semi-monthly gross salary. Excess Compensation may be paid from research grants and contracts, provided it is not in conflict with Circular A-21<sup>8</sup> and Executive Order No. 59<sup>9</sup>.

SPH faculty should receive equitable and reasonable compensation for teaching activities paid through the University Payroll System. In the past, most not-for-credit teaching activities were for instruction in courses that were not taught for UW academic credit and fell outside the usual Departmental teaching expectation for that faculty member.

SPH allows faculty to receive excess compensation for not-for-credit teaching (teaching for which students do not receive UW credit) when the following conditions apply: 1) the faculty member is not receiving any bridge funding due to less than 100% (i.e., full) salary support; 2) the activity is not considered part of the normal departmental teaching expectation (as defined by each department); and 3) the teaching is not part of the teaching activities on which she/he will be judged for promotion. For courses that are taught in both in-residence academic credit and via distance learning (e.g., through Professional and Continuing Education), reimbursement for the distance learning portion of the course may be paid to the faculty member as excess compensation, provided that the first criterion above is met.

If all three criteria above are met, then excess compensation is allowed. But, if any of the above criteria are not met, then the activity would be considered part of the department teaching expectations for that person. If excess compensation is disallowed, the activity may still be counted toward promotion if it conforms to the procedures described in the teaching criteria for promotion section of the SPH Academic Affairs Handbook.

In all instances, faculty must receive permission for excess compensation – based on the policy outlined above – from the Department Chair and Dean.

This policy will be reviewed annually and potentially modified as more experience is gained by the SPH about the teaching of courses, certificates, and degrees via distance learning in the future.

<sup>8</sup> The Federal Office of Management and Budget<sup>1</sup> (OMB<sup>1</sup>) Circular A-21 establishes cost principles for determining allowability of costs applicable to grants, contracts, and other agreements (also known as sponsored research) with institutions of higher educational. [http://www.whitehouse.gov/omb/circulars\\_a021\\_2004/](http://www.whitehouse.gov/omb/circulars_a021_2004/).

<sup>9</sup> The University of Washington Policy Directory Executive Order No. 59 outlines the University's policy on Excess Compensation. <https://www.washington.edu/admin/rules/policies/PO/EO59.html>.

Also, note <http://ap.washington.edu/ahr/administrators/compensation/supplements/excess-compensation/>.



## **Appendix 12: SPH Faculty Council Membership**

Faculty Councils are established in the UW faculty code, Chapter 13–31 and Chapter 22. Up until the creation of the SPH Faculty By-laws, the SPH Faculty Council operated mainly as a school-wide committee to review promotions and tenure. Rosters for the SPH Faculty Council since 2010 are listed below, beginning with the year the Bylaws were adopted by the School.

### **Academic Year: 2010-2011 (SPH Faculty Bylaws Approved May 2011)**

Michael Yost, Professor, Environmental and Occupational Health Sciences, **Chair**

Andy Stergachis, Professor, Global Health, **Vice Chair**

Jacqueline Benedetti, Professor, Biostatistics

David Grembowski, Professor, Health Services

Emily White, Professor, Epidemiology

Howard Frumkin, Dean (ex-officio)

### **Academic Year: 2011-2012**

Michael Yost, Professor, Environmental and Occupational Health Sciences, **Chair**

Andy Stergachis, Professor, Global Health, **Vice Chair**

Karen Edwards, Professor, Interdisciplinary Programs

David Grembowski, Professor, Health Services

James Hughes, Professor, Biostatistics

Emily White, Professor, Epidemiology

Howard Frumkin, Dean (ex-officio)

### **Academic Year: 2012-2013**

David Grembowski, Professor, Health Services, **Chair**

Joel Kaufmann, Professor, Environmental and Occupational Health Sciences, **Vice Chair**

Karen Edwards, Professor, Interdisciplinary Programs

James Hughes, Professor, Biostatistics

Jonathan Mayer, Professor, Epidemiology

Andy Stergachis, Professor, Global Health

Howard Frumkin, Dean (ex-officio)

### **Academic Year: 2013-2014**

Andy Stergachis, Professor, Global Health, **Chair**

Joel Kaufmann, Professor, Environmental and Occupational Health Sciences, **Vice Chair**

Adam Drewnowski, Professor, Interdisciplinary Programs

Jeffrey Harris, Professor, Health Services

James Hughes, Professor, Biostatistics

Jonathan Mayer, Professor, Epidemiology

Howard Frumkin, Dean (ex-officio)

### **Academic Year: 2014-2015**

Jonathan Mayer, Professor, Epidemiology, **Chair**

Joel Kaufmann, Professor, Environmental and Occupational Health Sciences, **Vice Chair**

Adam Drewnowski, Professor, Interdisciplinary Programs

Stephen Gloyd, Professor, Global Health

Jeffrey Harris, Professor, Health Services

Barbara McKnight, Professor, Biostatistics

Howard Frumkin, Dean (ex-officio)