

CONTRACT FACULTY

APPOINTMENT & PROMOTION POLICY

April 2012

School of Public Health

University of Minnesota

Adopted by the Faculty of the School of Public Health 2012

Approved by the Dean of the School of Public Health April 19, 2012

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

The Dean shall inform members of the School of their right under Minnesota law (Minnesota Laws, 1975, Chapter 401) to examine or obtain copies of filed data of which they are the subjects and to have the meaning of it explained to them. The Dean will encourage them to review periodically their personnel files and to add materials or observations they think appropriate to complete or correct them.

Contact the SPH Dean's Office, 612-624-6669, with questions regarding the Contract Faculty Appointment and Promotion policy.

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School of Public Health
Contract Appointment and Promotion Policy
Revised April 2012

I. Introduction

This document describes the standards and procedures which will be used to evaluate candidates both for appointment to the contract faculty of the School of Public Health (“SPH” or the “School”) and also for promotion. As such, it describes the indices and standards which will be used to evaluate whether candidates meet the general criteria for appointment and promotion within the School.

This document also reflects the School's commitment to comply with the requirements of the University and School of Public Health *Affirmative Action and Equal Opportunity Policy for Academic Positions* as well as any pertinent legal requirements and institutional standards of fairness and good faith.

A primary measure of excellence of an educational institution is the quality of its faculty. Therefore, the degree of foresight and wisdom employed in making decisions regarding faculty appointments and promotions will determine, in large measure, the distinction which a school achieves.

Within the School of Public Health the ultimate responsibility for recommending contract faculty members for appointment or promotion rests with the Dean. To discharge this responsibility effectively, the Dean should have the counsel of the Division Heads and the faculty of the School; the Dean should seek especially the advice of the faculty of the unit in which individuals are being recommended for appointment or promotion.

Well-defined policies and procedures are essential to provide equity, uniformity, and efficiency in this process. Also, School policies must be in accordance with University policies, with particular emphasis on adherence to the affirmative action policies and procedures of the University of Minnesota and the School of Public Health. In the sections that follow, a framework is provided for the systematic evaluation of contract faculty candidates for appointment and promotion. A mechanism for continued review and modification of this procedure is also outlined.

Faculty members who participate in this process should recognize clearly that they bear an important obligation which transcends the technical details of any promotion policy—to identify and reward teachers and scholars who demonstrate a commitment to the advancement, communication, and utilization of knowledge and who show promise of pursuing productive academic careers.

This document is organized as follows:

- I. Introduction
- II. Mission statement of the School of Public Health
- III. Appointment
- IV. Annual appraisals of contract faculty
- V. Contract renewal
- VI. Promotion
- VII. Relationship to Regular (P or N) Faculty Positions
- VIII. General procedures
- IX. Membership and function of the APT Committee
- X. Ad Hoc Review Committee
- XI. Evaluation of contract faculty with joint appointments in other Schools

II. Mission Statement of the School of Public Health

Mission

The University of Minnesota School of Public Health advances human health from scientific discovery to public impact in the prevention of disease and injury and the enhancement of population health through excellence in education, research and engagement with the global community.

Goals

To achieve its mission, the School has established the following goals related to its major functions of education, research and service:

1. Prepare the next generation of public health professional, academic and scientific leaders.
2. Advance the School's global leadership in public health research and discovery.
3. Advance population health by engaging with communities worldwide.

III. Appointment

The primary standards for recommendation for a contract faculty appointment are effectiveness in teaching and advising and/or distinction in scholarly activity commensurate with the terms of the contract. Service contributions to academic majors, Divisions, the School of Public Health, the University, or to professional organizations, or professionally related services to the community will also be considered, but effectiveness in teaching and distinction in scholarly activity are considered primary.

The standards used for contract (“K” annually renewable or “J” multi-year appointment types) appointment decisions shall include those established for the recommended rank of the person being considered, as enumerated below. In addition, the criteria shall include the ability of the person being considered to contribute to the central mission of the School and to adapt to its changing needs.

The primary difference between the standards for regular and contract faculty is that contract faculty must have demonstrated sustained performance in the areas included in their contract, whereas regular faculty are required to sustain performance in all areas of research, teaching, and service.

A. Standards

The standards for appointment of contract faculty (K or J) shall be the same as for promotion of contract faculty (K or J) of the same proposed rank (Section VI.A., pp. 10-12).

B. Procedures

Recommendations for contract faculty (K or J) appointments normally are initiated by the Division Head. Contract faculty appointments are to be within one of the four SPH divisions.

1. Search Process

Recommendation for appointment to a contract faculty (K or J) position must be through participation in the search process which is conducted in accordance with affirmative action and equal opportunity policies and procedures.

2. Documentation

It is the responsibility of the Division Head to provide the required documentation for proposed faculty appointments. Division Heads will obtain input from division faculty and other faculty as the Division Head deems appropriate. The documentation to be submitted in support of a recommendation for appointment to a contract position shall be of the same type and format as that submitted in support of a recommendation for appointment to a tenure/tenure track faculty position (P or N), but taking into consideration the expectations expressed in the appointment contract. A copy of the draft contract shall be included in the documentation.

a) Search Committee Summary

The Chair of the Search Committee shall provide a brief written summary of the recommendation of the committee regarding the proposed candidate. A copy of the description of the available academic position must be included. At least three letters of recommendation from individuals acquainted with the candidate's teaching and/or scholarly activity shall be included as part of the documentation. For contract associate and contract full professor rank, five letters are required.

b) Candidate's Background and Experience

A curriculum vitae that includes the elements below shall be included, except where the candidate does not possess background or experience in a given area and it is not relevant to the contract:

(1) Formal education

(2) Professional experience

(3) Special honors and awards

(4) Up-to-date bibliography (reprints of any publications—not to exceed three)

(5) Grant and/or contract awards

- (6) List of courses taught; extent of responsibility (e.g., sole instructor, co-instructor, lecturer) and number of credits for each
 - (7) Statement on the extent of student advising; number of students for which the candidate had the major advising responsibility
 - (8) Documentation of other specific teaching and advising contributions such as:
 - (a) Coordination of graduate seminars;
 - (b) Invited lecturing in courses taught by others;
 - (c) Postdoctoral advising and training;
 - (d) Supervising student research;
 - (e) Service on graduate student examining committees; and
 - (f) Supervising interns.
 - (9) Summary of any available evaluative data on teaching such as summaries of student evaluations
 - (10) Listing of University, professional and community service activities
- c) Faculty Eligible to Vote
 For an appointment to a contract faculty position, the contract and tenured/tenure-track faculty at or above the rank being considered are defined to be the faculty eligible to vote. Instructor appointments do not require APT or faculty votes.
- d) Division Faculty Review and Vote
 Each proposal for appointment, regardless of rank, must be presented to the Division faculty eligible to vote together with the complete documentation in support of that proposal. The Division faculty eligible to vote must complete a secret ballot. The APT Committee members from the Division shall notify the Division Head in writing of any issues which might be of concern to the APT Committee as a whole.
- e) Division Head's Review and Report
 The Division Head shall write a brief letter of support for the recommendation for appointment, including a description of the position to be filled in terms of teaching and/or research expectations, and the qualifications of the candidate that justify the appointment. The Division Head's letter must also indicate the proposed date of appointment, and, for candidates who do not have an earned Ph.D., Sc.D., M.D., Dr.P.H., or equivalent degree, must specify that the appointment will not be made until after such a degree has been obtained. A report of the vote by the Division faculty eligible to vote including any comments submitted as explanation of votes must be attached to the letter.

f) APT Review, Vote and Report

The APT Committee must review and vote on all contract faculty appointments (K or J) at the rank of Associate and Full Professor.

After full evaluation, the APT Committee shall make a recommendation concerning the appointment of the candidate to the SPH faculty eligible to vote. A report of the relevant information shall be prepared by the Chair of the APT Committee.

g) SPH Faculty Review, Vote and Report

The SPH faculty eligible to vote must review and vote on all contract faculty appointments.

If 10% or more of the faculty eligible to vote request a meeting to discuss the appointment, a meeting shall be conducted so as to afford a reasonable opportunity to discuss the materials presented, to put questions, and to offer further information and judgments. This will give all concerned the opportunity to hear additional information. Written notice of the meeting must be given at least one month in advance to all SPH faculty members eligible to vote.

Prior to the meeting, the documentation and reports by the Division Head and the APT Committee must be made available to all SPH faculty members eligible to vote on the recommendation in question, including absent faculty members (including those on semester and sabbatical leave) and another vote will be taken after the faculty meeting.

The vote of the faculty shall be taken by individual written, unsigned ballots. The recommendation of the faculty should be determined by a tabulation of the ballots. A meeting quorum is defined as 50% + 1 of the faculty eligible to vote. In order to effect a valid recommendation to the Dean, at least 80% of all SPH faculty eligible to vote must vote. The vote of a majority of the SPH faculty who cast votes is required to effect a valid recommendation to the Dean. For example, if there are 100 faculty eligible to vote, 51 or more must be present at the meeting to formulate the motion and 80 or more must vote on the motion.

Abstentions are not counted in determining whether a majority of those voting cast votes in favor of appointment or promotion, as required to report an affirmative recommendation, but the number of abstentions is reported as part of the vote tally and, in the review process, they will be considered an indication of lack of support for the candidate by those abstaining.

Abstentions are strongly discouraged. Current faculty members have an obligation to decide whether or not a candidate merits appointment or promotion and to vote for or against appointment or promotion. If current faculty members are eligible to vote and do not cast a vote, the number of such non-votes is reported but they are not counted as affirmative or negative votes, or as abstentions.

In all cases, the actual vote is to be reported. The report should indicate the number eligible to vote, the number present at the meeting, the number of affirmative and negative votes and abstentions, the number of absentee ballots cast, and the number of instances of ballots not cast. In the report of the vote, the unit head should explain, if possible, the number of eligible faculty members not voting (e.g., faculty members on leaves or sabbaticals, on phased retirements, or holding administrative positions). The percent affirmative vote equals the number of affirmative votes divided by the number of affirmative plus negative votes (x 100). That is, abstentions are not included in the determination of the percentage of affirmative votes cast.

Following the faculty vote of the SPH faculty eligible to vote, the Chair of the APT Committee shall submit to the Dean a report which includes:

- (1) A statement of the votes cast for each recommendation, including:
 - (a) The number of majority votes
 - (b) The number of minority votes
 - (c) The number abstaining
 - (d) The number of those entitled to vote but did not because of absence
- (2) A summary statement of the grounds upon which the majority view and recommendation rest, based on comments on the ballot.
- (3) A summary statement of the grounds upon which the minority view rests, based on comments on the ballot.

The Chair shall submit the report, with such modifications as s/he may think desirable in the light of the comments, to the Dean in explanation of the faculty's recommendation. A copy shall be retained in the School appointment and promotion files. The ballots cast shall also be retained for a period of at least one year; in the event of a challenge to the action recommended they may be needed to show the validity of the report submitted.

h) Dean's Review and Approval

The Dean must review and approve all contract faculty appointments. After review of the report from the APT Chair and the documentation supporting it, the Dean shall approve or deny the appointment.

i) Rights of the Candidate

Together with any rights assured by the University, the School of Public Health will assure that at any time prior to the SPH faculty vote, a candidate may withdraw his/her application. It is also noted that written statements preserved in School files are subject to the candidate's rights under Minnesota law. These rights include the following: the candidate can see the contents of the file, be informed of their meaning, and obtain copies.

A contract appointment ("K" annually renewable or "J" between two and five multi-year appointment types) is for a specific time period; it carries no right to, nor presumption of, a right to renewal of a contract term or to consideration of

indefinite tenure; the beginning and ending dates of employment are specified in the contract and on the notice of appointment from the University.

IV. Annual Appraisals of Contract Faculty

The process of reviewing a faculty member's performance is continual. It is intended to be supportive and informative, although it is necessarily evaluative. The annual review is intended to point out to the faculty member his or her strengths and weaknesses, so that the strengths can be built upon and the weaknesses remedied. Three elements are essential to this process: information gathering, deliberation, and consultation with the faculty member.

All contract faculty shall be reviewed annually, in writing, according to the provisions of their contracts. The purposes of this review are to 1) document and recognize performance, 2) identify goals and align performance priorities with the Division and School and ultimately the University, and 3) provide formal feedback. The yearly evaluation becomes part of the faculty member's accumulating record for later decisions concerning performance, contract renewal and/or potential promotion.

The Division Head will review the candidate each year with input from division faculty. Documentation must be submitted by the candidate in support of their performance progress. Details on the standards and procedures for review of contract faculty follow.

A. Standards

The primary criteria for the appraisal of contract faculty is the satisfactory progress towards meeting the standards of their contract in the areas of teaching and/or research.

B. Procedures

1. Documentation

It is the responsibility of the faculty member to provide annual documentation demonstrating accomplishments and progress as it relates to the terms of their contract. Documentation should be provided to the Division Head in a concise and well-organized format. Unless otherwise noted, the documentation should cover the candidate's work since the last annual appraisal. Sections concerning teaching, research and service should be dated summaries of objective data, as detailed below. Note that these are general standards and the faculty member may be required to provide additional evaluative elements, as based on their particular contract.

a) Table of Contents

b) Curriculum Vitae

This section shall be in the form of a complete curriculum vitae (Section III.B.2.b., pp.3-4). For the bibliography, note that co-authored articles must include a statement indicating the role of the candidate in the publication. Specifically, note participation in conceptualization, grant writing, implementation, analysis, manuscript writing, and advising of student research.

Example: Johnson, D.O., Nadhaar, R.M., and Xiong, T.L.: Evaluating Home Care for the Elderly. *AJPH* 65: 433-42, 1989. (Analyzed data and wrote manuscript.)

c) Summary and Documentation of Scholarly Activity

If research and scholarly activity are provisions of the faculty member's contract, this section must include the following items:

- (1) Narrative summary of scholarly activities (including research and accomplishments) (1 page maximum) since the last annual appraisal highlighting any special accomplishments. This summary should state the focus of independent research inquiry. Include an estimate of the percentage of time spent in research/scholarship effort. Also note any other evidence of research and scholarship (in preparation or planned) including: 1) research publications, 2) grant proposals, and 3) books/book chapters.
- (2) A cumulative and dated list of any grants or contracts obtained as noted in the CV, including title, funding agency, one-sentence summary of purpose of support, period of funding, candidate's role (principal or co-investigator, role in obtaining the grant, or other substantial responsibility). If applicable, note which grants or contracts are internal or external to the University. Use an asterisk (*) to identify grants or contracts awarded since the last annual appraisal.

d) Summary and Documentation of Teaching Experience

It is recognized that teaching takes many forms. Among these are independent teaching (sole responsibility for course content); team teaching of courses; teaching of seminars; advising students regarding course work and requirements; and guiding the research of master's and doctoral students and post-doctoral fellows.

If teaching and/or advising is a provision of the faculty member's contract, this section must include the following items:

- (1) Narrative summary of teaching/advising/mentoring activity (1 page maximum) since the last annual appraisal highlighting any special accomplishments. Include an estimate of the percentage of time spent in the teaching/ instructional/educational effort.
- (2) A cumulative and dated list of any teaching activities which includes courses taught and student advising as noted in the CV. Use an asterisk (*) to identify work done since the last annual appraisal. Also, indicate courses which are to be taught during the next academic year. List any other teaching/instructional/educational activity such as continuing education, outreach, and development of teaching manuals or special instructional formats.
- (3) A section on teaching effectiveness, including formal teaching evaluations, informal teaching evaluations such as peer or student assessments or letters, and any honors or awards received since the last annual appraisal. Provide copies of the official course evaluation forms for courses taught and include actual letters or assessments for the informal teaching evaluations.

e) Summary and Documentation of Service

Research and/or teaching will constitute the primary component of a contract faculty member's contract. If service is also a provision of the contract, this section must include the following items:

- (1) Narrative summary of discipline-related, professional, and University service (1 page maximum) since the last annual appraisal highlighting any special accomplishments. Include an estimate of the percentage of time spent in the service effort.
- (2) A cumulative and dated list of important service as noted in the CV. Use an asterisk (*) to identify work done since the last annual appraisal.

Service activities can include:

- (a) Professional service, including roles in professional organizations, editorial boards, advisory board roles, and service in governmental organizations;
 - (b) University of Minnesota committees;
 - (c) Other professional community service, including presentations to community groups, activities in committee work, and other things done for non-professional outside organizations.
- f) Reprints
If applicable, reprints of any publications (not to exceed three) may be included since the last annual appraisal. The candidate must be the first or senior author, and the papers selected should reflect significant contributions of the candidate. In the case of multiple authorships, the contribution of the candidate to the project must be clearly established and reported.
- g) Other Relevant Material
Candidates may present additional concise (two pages maximum) evidence to support promotion.

2. Division Head Letter

The Division Head shall write a letter stating his/her personal evaluation of the faculty member's progress toward the provisions of their contract. This report shall include a statement on the quality of the candidate's scholarly activity, including their publications, the quality of their teaching and service as aligned with the contract.

V. Contract Renewal

The reappointment of contract faculty (K or J) in the School of Public Health is made by the Dean, upon recommendation of the Division Head, and in negotiation with the contract faculty member. It is the responsibility of each contract faculty member to maintain a record of teaching and/or scholarly activity and community service as it pertains to their contract.

Substantial changes, such as the addition or elimination of an area of teaching or research, to a contract at the time of renewal require an affirmative vote of the eligible division faculty. The division voting process shall be the same as that for an appointment (Section III.B.2. pp. 3-6) minus the Search Committee Summary, as a new search process is not required. Non-substantial changes may be implemented directly by the Division Head.

VI. Promotion

Contract faculty members (K or J) are eligible to be considered for promotion, without consideration of tenure, provided they meet the requirements set forth below. A recommendation or vote for an appointment or promotion to a contract (K or J) faculty position does not constitute a recommendation or vote for tenure.

A. Standards

The primary criteria for recommendation for a contract faculty promotion are effectiveness in teaching and advising and/or distinction in scholarly activity excelling beyond the core expectations of the contract. Service contributions to academic majors, Divisions, the School of Public Health, the University, or to professional organizations, or professionally related services to the community will also be considered, but effectiveness in teaching and/or distinction in scholarly activity are considered primary.

Promotion of contract faculty (K or J) is made under Section 3.4 of the University of Minnesota regulations regarding *Faculty Tenure*. Information on the candidate's performance expectations, contained in the candidate's contract, must accompany the documentation for promotion.

The primary difference between the standards for regular and contract faculty is that contract faculty must have demonstrated sustained performance in the areas included in their contract, whereas regular faculty are required to sustain performance in all areas of research, teaching, and service.

1. Instructor

Appointment to Instructor requires that a candidate has demonstrated potential in the area of teaching.

2. Assistant Professor

Promotion or appointment to the rank of contract assistant professor requires that a candidate has demonstrated potential in the areas of teaching and/or scholarly activity. A Ph.D., Sc.D., M.D., Dr.P.H., or equivalent degree is required.

3. Associate Professor

Promotion or appointment to the rank of contract associate professor requires clear and demonstrable evidence that the candidate has developed a sustained program of teaching and/or scholarly activity which is innovative and of high quality.

a) Teaching

If teaching is a provision of the faculty member's contract, the documentation must include clear evidence of the candidate's impact and effectiveness as a teacher and advisor, taking into consideration the expectations defined in the appointment contract. Teaching may take many forms, including independent

teaching (i.e., sole responsibility for a course), co-teaching, distance learning, instruction in short courses and summer institutes. Courses may include school-wide, core and elective classes. All forms and types of classes are valued. However, a candidate's record of teaching substantial courses (as primary instructor) provides the strongest evidence for evaluation teaching ability and accomplishments. In addition to teaching courses, candidates should have demonstrated ability to successfully advise and train students for scientific inquiry.

b) Research

If research is a provision of the faculty member's contract, the documentation must include clear evidence that the candidate has mastered his/her discipline and has the ability to carry out independent inquiry consistent with the expectations expressed in the appointment contract. Collaborative research among divisions within the School, across academic units within the Academic Health Center, the University and beyond is also valued. High-quality publications in prestigious peer-reviewed journals relevant to the development of the discipline or its application to public health are the best evidence of a person's research ability. Given the heterogeneity with the SPH, the quality of the journals most relevant to a candidate's area of expertise will be judged by the letters from external reviewers, the Division Head and Division faculty. Additional evidence may include contributions towards development of a sustainable funded research program including competitively awarded grants, the publication of peer-reviewed books and book chapters and other scholarly activities.

c) Service

Service may be an important supplementary component of the candidate's activities for appointment or promotion to the rank of contract associate professor, and the significance of the candidate's service should be documented. Service aimed at improving public health is particularly valued.

4. Professor

Promotion or appointment to the rank of contract professor implies advanced academic maturity and requires clear and demonstrable evidence that the candidate has achieved recognition as a regional, national or international authority in his/her discipline through the development of an innovative program of teaching and/or scholarly activity.

a) Teaching

If teaching is a provision of the faculty member's contract, the documentation must include clear evidence that the candidate has excelled in his/her teaching activity, consistent with the expectations expressed in the appointment contract.

b) Research

If research is a provision of the faculty member's contract, the scholarly output of the candidate should have developed a theme or major area of expertise. There should be one or more outstanding publications with the particular stamp of the personality and contribution of the candidate for full contract professorship. Collaborative research among divisions within the

School, across academic units within the Academic Health Center, the University and beyond is also valued. Additional evidence may include leadership in a sustainable, funded research program including competitively awarded grants, the publication of peer-reviewed books and book chapters, and other scholarly activities.

c) Service

Service may be an important supplementary component of the candidate's activities. This service should have had a demonstrated impact in his/her field within the framework of professionally related community activities which contribute to major, division, school and university functions, professional organizations, and the local, state, national or international community. Service aimed at improving public health is particularly valued.

B. Procedures

Recommendations for contract (K or J) promotion normally are initiated by the Division Head. A promotion recommendation to the APT Committee may be initiated by any member of the School faculty for himself/herself or for other members of the School faculty. Also, any faculty member may request the Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes s/he should be considered for promotion discuss these possibilities with the Division Head and obtain, if at all possible, the support of the Division Head.

1. Documentation

Documentation for promotion should take into consideration the expectations expressed in the appointment contract. It is the responsibility of the candidate to provide the required documentation for promotion. It should be concise and well-organized. Unless otherwise noted, the documentation should cover the candidate's entire academic career, regardless of the site or time at which the work was done. As applicable to the contract, sections concerning teaching, research and service should be cumulative dated summaries of objective data, as detailed below. Where asterisks (*) are requested to indicate recent work, those asterisks should reflect work or events new since the date of appointment or promotion to the current rank. Candidates are encouraged to meet with the APT members in their Division for help in preparing the documentation. The APT committee reserves the right to return documentation for revision if it is excessive.

a) Table of Contents

b) Statement of Assurance

The candidate shall be given the opportunity to examine the documentation to be submitted for review. A signed statement by the candidate shall accompany the documentation affirming that the candidate has had an opportunity to inspect the contents of the promotional dossier and to add appropriate relevant material or comments to the dossier.

c) Collegiate Unit Letters

Include the Division Head letter and the report of the division faculty vote here. The School of Public Health Dean's Office will add the Collegiate Unit's Statement of Assurance, the APT Committee report, and the Dean's recommendation to this section.

- d) Record of Vote
Include the Division Record of Vote here. The School of Public Health Dean's Office will add the School of Public Health Faculty Record of Vote to this section.
- e) Annual Appraisals
Include copies of the completed annual appraisals since hire or for the past five annual review periods, whichever timeframe is less.
- f) Curriculum Vitae
This section shall be in the form of a complete curriculum vitae (Section III.B.2.b., pp. 3-4).
- g) External Review
The names of at least ten (10) possible external reviewers, along with their contact information, short paragraph biography, and statement of their relationship with the candidate, shall be included with the documentation. At least five (5) letters must be received to effect a valid recommendation to the Dean. The list of names shall be developed with the guidance of the candidate's APT division representative and with input from the senior faculty from the division. The following criteria should be taken into consideration when identifying potential reviewers:
- (1) Distinguished faculty or, occasionally, highly regarded non-academics.
 - (2) If faculty, rank should be above that of the candidate. Otherwise they should be of a status or position considered to be at least equal to the rank for which the candidate is being considered.
 - (3) Ability to provide an impartial and evaluative review of the candidate's qualifications and accomplishments.
 - (4) Contributing to providing an overall balanced view of the candidate and to providing a range of perspectives.
 - (5) To ensure impartiality, it is important to avoid a situation where reviewers have direct professional or personal interest in the advancement of the candidate. These relationships include: advisor, mentor, co-author, collaborator, or past co-worker. When circumstances arise that an evaluation is needed from a reviewer with a personal relationship to the candidate (e.g., former trainees, mentors, or students), the Division Head must address this in the Division Head Letter and Division Report (Section VI.B.4., p.14)
- h) Summary and Documentation of Scholarly Activity
If research is a provision of the faculty member's contract, this section must include the same items as noted in the section on Annual Appraisals of Contract Faculty (Section IV.B.1.c., p.8).

- i) Summary and Documentation of Teaching Experience
If teaching is a provision of the faculty member's contract, this section must include the same items as noted in the section on Annual Appraisals of Contract Faculty (Section IV.B.1.d., p.8).
 - j) Summary and Documentation of Service
Research and/or teaching will constitute the primary component of a contract faculty member's contract. If service is also a provision of the contract, this section must include the same items as noted in the section on Annual Appraisals of Contract Faculty (Section IV.B.1.e., p.9).
 - k) Reprints
If applicable, reprints of any publications (not to exceed three) since the date of appointment to the current position are to be included. The candidate must be the first or senior author, and the papers selected should reflect significant contributions of the candidate. In the case of multiple authorships, the contribution of the candidate to the project must be clearly established and reported.
 - l) Other Relevant Material
Candidates may present additional concise (two pages maximum) evidence to support promotion.
2. Faculty Eligible to Vote
For promotion to a contract faculty position, the contract and tenured/tenure track faculty at or above the rank being considered are defined to be the faculty eligible to vote.
3. Division Faculty Review and Vote
Each proposal for promotion, regardless of rank, must be presented to the Division faculty eligible to vote together with the complete documentation in support of that proposal. The Division faculty eligible to vote must complete a secret ballot. The APT Committee members from the Division shall notify the Division Head in writing of any issues which might be of concern to the APT Committee as a whole.
4. Division Head Letter and Division Report
The Division Head shall write a letter stating his/her personal evaluation of the contract faculty member's qualifications for promotion and a separate report of the Division faculty discussion and vote, justifying promotion with components of this *Contract Faculty Appointment and Promotion Policy*. The letter shall include a statement on the quality of the candidate's scholarly activity, including their publications, the quality of their teaching and service, commensurate with the faculty member's contract. A report of the vote by the Division faculty eligible to vote including any comments submitted as explanation of votes must be attached to the letter.
5. APT Review, Vote and Report
Each proposal for contract faculty promotion, regardless of rank, must be reviewed by the APT Committee together with the complete documentation in support of that proposal. For promotion to contract Associate Professor, the full APT Committee shall review the proposal. For promotion to contract Professor, a subset

of the APT Committee, comprised of all of the members who hold the rank of Professor, shall review the proposal.

After the APT Committee has deemed the documentation appropriate for consideration, the APT Committee shall select outside reviewers to assess the quality and significance of the candidate's scholarly activities and to comment on the candidate's regional, national or international reputation. Letters that are requested from faculty at other academic institutions should indicate whether the candidate would be eligible for promotion at their institution (or one comparable to the University of Minnesota). Each reviewer will be provided with the *Contract Faculty Appointment and Promotion Policy* and the candidate's submitted documentation, with the Statement of Assurance, Collegiate Unit Letters, Record of Vote, Annual Appraisals, and External Review and Evaluation sections redacted. A copy of the letter from the APT Committee requesting the evaluation, along with the short paragraph biography on each reviewer and the statement of his/her relationship with the candidate, shall be included with the external reviews. In order to effect a valid recommendation to the Dean, at least five letters must be received from external reviewers.

After full evaluation, the APT Committee shall make a recommendation concerning the promotion of the candidate to the SPH faculty eligible to vote. A report of the relevant information will be prepared, including the APT Committee vote.

6. SPH Faculty Review, Vote and Report

The APT report and supporting documentation shall be made available to the SPH faculty eligible to vote which must meet and vote for or against the proposed promotion. The procedures and requirements for the SPH faculty review, vote and report on the promotion of contract faculty shall be the same as for contract faculty appointments, presented in Section III.B.2.g. (pp. 5-6)

7. Dean's Review and Report

The Dean must review and make recommendations for all contract faculty promotions. After review of the report from the APT Chair and the documentation supporting it, the Dean shall forward the contract faculty recommendation to the Academic Health Center's Vice President for Health Sciences, with all the documentation received, together with the Dean's approval or disapproval of the recommendation. If both the faculty and the Dean disapprove, the appointment will not be made.

8. Rights of the Candidate

In addition to the rights assured in Section III.B.2.i. (p. 6 - 7), several other rights are assured for candidates for promotion. At each step in the review process the candidate shall receive a copy of the reports prepared by the reviewing individuals or groups (Division Head, APT Committee, SPH Faculty, Dean) and may add additional material. The Dean shall promptly notify the candidate of the action taken after the meeting of the SPH faculty eligible to vote, and inform the candidate of the reasons for the action and of the candidate's procedural rights in this situation.

VII. Relationship to Regular (P or N) Faculty Positions

Contract faculty (K or J) are eligible to apply for regular positions (P or N) through participation in the search process which is conducted in accordance with affirmative action and equal opportunity policies and procedures.

VIII. General Procedures

The General Procedures of the School's APT Committee are defined in the Appointment, Promotion and Tenure Policy (the 7.12 statement).

IX. Membership and Function of the APT Committee

The membership and function of the School's APT Committee is defined in the Appointment, Promotion and Tenure Policy (the 7.12 statement).

X. Ad Hoc Review Committee

The *Contract Faculty Appointment and Promotion Policy* normally shall be reviewed in even academic years (every two years) by the APT Committee's Ad Hoc Review Committee. This review is in conjunction with the broader review of the School's Appointment, Promotion and Tenure Policy. The School's APT Ad Hoc Review Committee is defined in the Appointment, Promotion and Tenure Policy (the 7.12 statement).

XI. Evaluation of Contract Faculty with Joint Appointments in Other Schools

The criteria for evaluating contract faculty with joint appointments whose primary appointment is in other Schools and Departments within the University are the same as those for evaluating contract faculty whose primary appointment is in the SPH (for appointments, annual appraisals, contract renewal and promotion). However, the SPH will evaluate such contract faculty with joint appointments for appointment or promotion only after such a decision has been made for the primary appointment. The documentation required for appointment or promotion can be in the format required by the School or Department in which the faculty holds his/her primary appointment. However, the candidate should ensure that the documentation contain all the elements that are relevant to scholarly activities, teaching, and/or service in the area of public health as defined by their contract. The APT Committee may require additional materials such as additional letters from external reviewers to facilitate adequate review of the candidate's scholarly work in the area of public health. In order to evaluate materials that are the output of interdisciplinary and/or interprofessional work and that may be different from those described in this document (e.g., peer-reviewed publications), the candidate should provide a statement describing the relevance of the materials to public health.

Modified by the School of Public Health Contract Faculty Committee, Adopted by Faculty Eligible to Vote per University Guidelines April 2012.

Dean's Approval:



*John R. Finnegan, Jr., PhD
School of Public Health, Professor and Dean
Assistant Vice President for Public Health*

April 19, 2012

APPENDIX I

Review Process for Contract Faculty Promotions

Contract Faculty Positions (K or J)		
<i>Promotion to:</i>	<i>APT review?</i>	<i>SPH faculty eligible to vote</i>
Professor K or J	Yes (only full professors)	Professors (P/K/J)
Associate Professor K or J	Yes	Associate and Full Professors (P/N/K/J)

APPENDIX II

Review Process for New Contract Faculty Appointments

Contract Faculty Positions (K or J)		
<i>Appointment to:</i>	<i>APT review?</i>	<i>SPH faculty eligible to vote</i>
Professor K or J	Yes (only full professors)	Professors (P/K/J)
Associate Professor K or J	Yes	Associate and Full Professors (P/N/K/J)
Assistant Professor K or J	No	Assistant, Associate and Full Professors (P/N/K/J)
Instructor K or J	No	No Vote is Required

Appendix III: Contract Template for the School of Public Health

School of Public Health
University of Minnesota
Contract Template for the School of Public Health

Name:

Appointment Rank and Type: (Ex. Assistant Professor (J), two years, 12-month appt.)

Division:

Effective Academic Year:

Sources of Funds:

Appointment Specific Responsibilities

Teaching/Advising:

(Describe extent of teaching responsibilities if applicable. If not, indicate "Not Applicable". Include specific courses to be taught noting the number of credits, the course number, the term the course is to be taught, etcetera.)

Research:

(Describe extent of research responsibilities if applicable. If not, indicate "Not Applicable". Include area of research focus, primary research responsibilities and any applicable programs. Also note any key research relationships with other faculty and/or status as principle or co-investigator.)

Supervisory:

(Describe extent of supervisory responsibilities if applicable. If not, indicate "Not Applicable". Include the title of positions to be supervised directly and note any "dotted line" reporting relationships.)

Service/Outreach:

(Describe extent of service and outreach responsibilities. Ex: Dr. _____ is expected to serve on Division, School, and University committees where assigned. (S)He will be involved in national and international professional organizations and groups where appropriate. Her/His professional activities will be at a level appropriate to an Assistant Professor (J).)

Length of Appointment:

Annual Renewable (Type K)

3 Years (Type J)

5 Years (Type J)

Other (explain): (Ex: 2-yr. contract (terminates at end of FY 2013-2014, in June 2014))

Discussed and Approved:

Faculty Member: _____ **Date:** _____

Division Head: _____ **Date:** _____

Dean: _____ **Date:** _____

Appendix IV: Important Websites

School of Public Health Appointment, Promotion and Tenure Policy (7.12)

http://www.sph.umn.edu/pdf/facstaff/SPH_712_2010.pdf

Faculty Tenure:

<http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf>

Administrative Policy on Academic Appointments with Teaching Functions:

<http://policy.umn.edu/Policies/hr/Hiring/TEACHING.html>

Recruitment and Selection of Faculty and Academic Professional and Administrative Employees:

<http://policy.umn.edu/Policies/hr/Hiring/RECRUITFACPA.html>

School of Public Health faculty directory:

<http://www.sph.umn.edu/ex/facstaff/>