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Faculty Guidelines for Appointment and Promotion and Annual Expectations for
Classroom Teaching, Mentoring and Research

**Department of Epidemiology, School of Public Health
University of North Carolina at Chapel Hill**

Tenure-Track Faculty

**The criteria for appointment and promotion of faculty in the Department of Epidemiology are consistent with the criteria described in the *UNC Gillings School of Global Public Health Appointments, Promotions, and Tenure Manual*.
https://sph.unc.edu/files/2016/09/aa_APT-Manual_2016-2017.pdf**

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

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

Tenure Track/Tenured Faculty Ranks

Appointments and/or promotions are based on excellence in one or more of the following areas: research, teaching or practice. The expectations for each tenure-track rank are as follows, with the impact of the work increasing as rank increases.

- 1. *Assistant Professor*--** Initial appointments at, or promotions to, the rank of assistant professor should be made only to persons who show promise for promotion to higher ranks. Six years in rank is the usual time to serve at the Assistant Professor level.
- 2. *Associate Professor*--** Considered only for those who have, without question, demonstrated outstanding ability. Candidates must show excellence in either research or practice, evidence of high quality teaching, and adequate service. Those being proposed for the rank of associate professor must also demonstrate that they are on a course for national leadership in their discipline. The faculty member must be able to show how his or her work collectively has led, or is likely to lead to, improved public health. Independent scholarship as a marker of academic maturity is expected as evidenced by the quality and number of publications, and consistent success in research funding from national or international organizations. Usually candidates have secured one or more independent (not mentored) major grant awards. The external review letters provided at the time of promotion review provide one opportunity to demonstrate (or not) such national recognition. Therefore, we place considerable weight on letters of

evaluation from external reviewers. Other secondary indicators of national reputation include the number and range of invited lectures, selection to important national or international committees, awards for research or publication (including awards won by the candidate's students), and invitations to serve on journal editorial boards. A minimum of five years is spent between appointment to the rank of associate professor and promotion to professor.

3. *Professor--Candidates* must have obtained national or international recognition and must have demonstrated sustained and high quality accomplishment in teaching, and sustained excellence in either research or public health practice. In addition, candidates must have demonstrated sustained contributions in professional and public health service. Candidates must have consistently secured independent major grant awards as principal- and co-investigator. Those being proposed for promotion to professor must clearly demonstrate how their work has enabled improvement in the public's health or the advancement of the science or practice of their discipline. The external review letters provided at the time of promotion review provide one opportunity to demonstrate (or not) such national recognition. We place considerable weight on letters of evaluation from external reviewers. Other secondary indicators are the number and range of invited lectures, selection to important national or international committees, awards for research, publication, or practice (including awards won by the candidate's students), and invitations to serve on journal editorial boards. Finally, a record of mentoring junior faculty is required.

Criteria Components

The following section provides an overview of the criteria for teaching, research, and service. Additional specific examples can be found in the SPH APT manual. (https://sph.unc.edu/files/2016/09/aa_APT-Manual_2016-2017.pdf)

Teaching

Teaching excellence is assessed through an evaluation of the currency and relevance of the content, the effectiveness and efficiency of delivery, and whether students are learning how to think critically and solve problems, and by impact. Innovation, adoption of course materials by others, contributions to teaching methodology, all can be supporting measures for this assessment, but this listing is not all-inclusive. Teaching also occurs in research laboratories, in the context of research projects, and in practice settings. Teaching also occurs when faculty supervise master's theses, doctoral dissertations, other forms of student directed research, and field training activities. Evidence of impact of all forms of teaching (e.g. classroom and distance education teaching, supervising students in research and field experiences, academic advising, and continuing education) on the professional careers of former students is also a factor in assessing overall quality of teaching.

Research

Research attributable to the faculty member represents a contribution moving a discipline forward. Publications are in high quality, high impact journals with evidence

that these works are cited by others. Contributions of research to policy and program design are also markers of research impact. Competitive peer-reviewed funding is a marker of quality and therefore it is expected that the faculty member receives major grants and contracts in an independent leadership role. The faculty member is expected to identify new areas or apply new methods or approaches in research that addresses the health of the public. He or she should be able to incorporate new developments in the discipline and transfer knowledge or technique to current problems influencing the health of the public. In addition, evidence should be provided that the research has stimulated the work of other researchers or provided new breakthroughs in the field. Scholarly products that may take form of patents, software, databases, and digital media that are peer-reviewed and represent a major contribution to the field can also be considered in the evaluation of scholarship. Research impact is also based on the independent judgment of recognized experts concerning the quality and impact of the research. Other markers of research impact include: election or appointment to leadership positions of national and international scientific organizations in recognition of outstanding research accomplishments; selection as editor or reviewer for scientific publications and grant evaluations; and appointments to serve on scientific review or advisory committees.

Service

Professional service includes participating in local, state, national and global public health activities. Service may also occur with communities, governments, or organizations. Markers of professional service such as participation in professional organizations are expected of faculty with evidence of increasing leadership with increasing seniority and rank. Examples include editorial boards, leadership positions in professional organizations, grant reviewing, and membership in national or international expert or policy committees.

Practice

For promotion and tenure on the basis of public health practice, innovative application of knowledge must be deemed to be “scholarly.” That is, the practice must be shown to have affected not only a given policy, community, agency or program, but it must also be shown that the practice has in some way contributed to advancing the state-of-the-art of public health practice itself. Evidence of accomplishment in application of knowledge should be provided for one or more major projects. As rank increases, it is expected that both the quantity and quality of practice and associated scholarly products will increase. Excellence in the application of new knowledge through public health practice is assessed by multiple factors, including: development of new programs and policies that have impact on the health of the public; research on practice attributable to the faculty member represents a contribution moving a discipline forward; funding for practice research; publications in high quality journals with evidence that these works are cited by others; documentation that the practice contributions have had important effects on policy, and/or on a community, organization or program; and evidence that new knowledge, methods, or policies derived from the candidate’s public health practice have diffused to other communities or health organizations.

Interdisciplinary Activities

The Department, School, and University recognize and value interdisciplinary and transdisciplinary scholarship. Faculty are encouraged to pursue interdisciplinary scholarship to advance knowledge and have impact in their research, teaching, and service work. For interdisciplinary activities that involve collaborations, evaluation of interdisciplinary contributions in the areas of teaching, research and public health practice must include explanation of contributions to each such activity and or scholarly product. It is a faculty member's contribution to the activity or scholarly product that will be evaluated for promotion and tenure. As faculty members advance in rank, their roles in interdisciplinary ventures should be more as leaders and senior investigators.

General

Transcending the specific criteria enumerated above, other factors which are important for promotion and tenure include: ethical and collegial behavior, intellectual integrity, good rapport with students, staff, and colleagues, moral probity, reliability and responsibility and need for the faculty member's contributions. Collegiality among faculty members and sharing of scientific thoughts and innovations is expected and valued. Each faculty candidate is evaluated individually and there is no one exact prescription of achievement required. The Department of Epidemiology at UNC Chapel Hill is one of the leading Departments of Epidemiology in the nation, and faculty members are expected to extend and deepen this reputation.

Annual Departmental Expectations

Consistent with promotion and the criteria components for teaching, research, and service described above the Department of Epidemiology has established specific benchmarks that represent annual expectations. These are described below (and summarized in Appendix A).

The basic criteria for promotion from assistant to associate and associate to full are presented in Appendix B. Please note that these are general criteria and there is expected to be some variability in a faculty's portfolio and this is taken into account in the departmental and school review.

Classroom Teaching

The department's faculty policy on classroom teaching, applicable to all tenure track faculty, is based on the following guidelines and principles:

- 1) With the exception of newly hired Assistant Professors who should be given a grace period of one year with no teaching assignments if possible, all faculty are expected to carry the same teaching load, regardless of rank.
- 2) Courses vary in the demand on faculty time, with core methods courses more demanding than substantive courses.
- 3) Serving as a lead instructor imposes a markedly greater demand on faculty time than serving as a co-instructor.

- 4) The expectations for half-time faculty with or without half-time appointments elsewhere and other jointly appointed faculty will be determined in consultation with other Department or Unit heads and the faculty.
- 5) Considering the overall modest teaching load in the Department and to avoid taking our best research faculty out of the classroom altogether, higher levels of research support do not provide an option of lower amounts of classroom teaching.
- 6) A distinction is made between courses that are a foundational part of the curriculum and cover major aspects of epidemiology and small, specialized courses or seminars. The later are often very rewarding for faculty and students, but serving as instructor in such small classes or seminars typically cannot substitute for teaching in key methods and substantive courses and will be given a lower priority.
- 8) Course responsibilities may rotate periodically, such as switching lead instructor and co-instructor roles as well as assuming instructor responsibility for new courses.
- 9) Time off from teaching can be arranged with the Chair under special circumstances, if this serves a specific purpose of value to the department and can be implemented without disruption to the overall curriculum.

(The previous point system for teaching has been replaced with a simple general requirement)

All tenure-track faculty are expected to lead one course per academic year. Leading the course is defined as being the person with the primary responsibility to develop the general course plan, syllabus, select reading materials, provide classroom lectures, grade assignments, and determine the final grade. In contrast, note that the official co-instructor role is typically defined as at least a 30% time commitment in the course.

These guidelines represent a baseline expectation for all faculty. *Their implementation requires interpretation by the Chair, with input from the Program Leaders and the Graduate Studies Committee. Consideration is given to the interests of the Department and of flexibility in individual circumstances if deviations from policy need to be considered.*

Advising and Mentoring

Effective advising and mentoring require that connections between students and faculty be made based on shared interests, compatibility of work styles, funding opportunities, and other elements. It also is important that students be in a position to change advisors as their career orientation and research interests mature over the course of a student's tenure in the Department. Although it is desirable and encouraged that students interact with many faculty and role models in this and other departments, it is necessary that at all times students have one member of the Epidemiology faculty identified as their advisor, and to have this choice formally recorded with the Office of Student Services.

Advising is an expectation for all tenure track faculty. It is not an expectation of research faculty to serve in formal roles of student advisor. Advising responsibility does not include an obligation to provide funding from the advisor's own projects nor to secure

funding from other sources, but advisors are expected to work with the student and others to help secure funding.

Advisor roles vary greatly. Upon admission students are assigned a tenure track member of the faculty whose advising responsibility involves helping the student in selecting courses, finding research opportunities (including those that involve funding), and being willing to offer career guidance. Each year, tenure track faculty are expected to accept at least 1 incoming student as an academic advisor. Even if the new advisee does not have initial research interests tightly linked with the assigned advisor, the advisor is expected to provide guidance in the first critical stages of the advisee's graduate career.

Advising more advanced students involves a greater emphasis on tutoring, serving as a role model, promotion of the student's goal, support for career development and other mentoring functions. Because the Department has a large number of faculty with expertise in many areas multiple options are available for students in the choice of an advisor. Similarly, the large number of students enables faculty to encourage some students to work with them on research and not encourage others. Students engaged in research have the option of selecting an advisor from among the Department's research track faculty or faculty from another department or institution. Under these circumstances the student also has to register an academic advisor with Student Services.

The number of advisees per faculty in the Department is uneven, often reflecting variation in the profile of student interests as well as the ability and desire of various faculty to closely work with students. Faculty are expected to mentor graduate students approximately 5 students per year within a few years of the initial appointment. This should allow for the matriculation of at least 1 doctoral student by the time an Assistant Professor is put up for promotion to the Associate Level and for Associate and Full Professors, to matriculate 1 student per year over a 3 year period.

Research Support

Each member of the faculty is expected to have a long term average of at least 60% of salary coverage through contracts and grants (after a 2-3 years from the initial appointment for Assistant Professors). This can be achieved in a number of ways, but there should be at least one major grant on which the faculty person serves as Principal Investigator, ideally covering at least 20% of salary. The balance can be obtained by co-investigator roles on one or more projects, contracts with outside agencies, or fellowships.

Where possible, research projects should help support other faculty and especially graduate students through Graduate Research Assistantships. Support for staff is also highly desirable. In preparing grant budgets faculty must consult with the Department's fiscal manager to consider appropriate staff support. Although not mandatory priority consideration should be given to submitting the grant through the department.

Scholarly Publications

Assistant professors are expected to publish **at least two** papers per year as first or senior author in the peer-reviewed scientific literature, excluding book chapters, letters, and symposium proceedings. **Associate and full professors** are expected to publish **at least four** papers per year as first or senior author in the peer-reviewed scientific literature, excluding book chapters, letters, and symposium proceedings. Faculty must provide notation for the articles in which they were senior author and not first author to inform those reading the annual report or curriculum vitae. A senior author guides and directs the research and is commonly the second or last author, and may be the corresponding author. The impact of the publications with regard to the provision of critical new data, methods, perspective, or influence on policy will also be considered.

In addition, each year **assistant professors** are expected to publish **at least one** paper in the peer-reviewed scientific literature, with her/his student as primary author. **Associate and full professors** are expected to publish **at least two** papers per year with his/her student as primary author.

Also, **each assistant professor** is expected to publish **at least two** papers as co-author in the peer-reviewed scientific literature. **Associate and full professors** are expected to co-author **at least four** papers per year.

Thus, for **assistant professors** a total of at least five papers per year is expected. For **associate and full professors** the total number of papers per year should total **at least ten** papers.

In evaluating the yearly publication output of faculty consideration will be given to faculty rank and the overall balance of the total portfolio. For example, new untenured Assistant Professors may have an initial period of lesser productivity until a research base is established.

Professional Service

The expectations on faculty for service at the School and University level vary according to faculty rank. All tenure track faculty are expected to serve on a departmental committee, *ad hoc* working group, or search committee as needed, at the request of the Chair. Tenure track faculty may be asked to chair a departmental committee or task group, at the request of the Chair. Tenure track faculty at the Associate or Full professor levels are expected to serve on committees at the School, University, or State levels, voluntarily or at the request of the Chair. Faculty are expected to regularly participate in their major program area activities related to developing and grading qualifying exams. Mentoring of faculty is considered to be an important departmental activity and tenured faculty are expected to actively participate in the mentoring of other faculty in the tenure and research tracks.

In addition, all faculty are expected to attend departmental meetings and seminars, and help in the development and grading of qualifying exams.

As service to the larger scientific and professional community, all faculty are expected to provide service. This service includes participating in local, state, national and global activities. Service may occur with communities, governments, or organizations. Markers of professional service such as participation in professional organizations are expected of faculty with evidence of increasing leadership with increasing seniority and

rank. Examples include editorial boards, leadership positions in professional organizations, grant reviewing, and membership in national or international expert or policy committees.

Faculty Engagement

Faculty engagement with the public outside the traditional scholarly community is be valued and will be evaluated during the tenure and promotion process. Faculty “engagement” refers to scholarly, creative or pedagogical activities and includes services to the public (usually with and through communities, governments, NGOs, other organizations and the private sector) outside the formal scholarly community. Such activities (in the form of research, teaching and/or service) develop as collaborative interactions that respond to short and long-term societal needs. Faculty whose work does not include engaged activities will not be penalized or denied tenure or promotion on those grounds. However, it is considered as part of an individual’s dossier when evidence of faculty engagement is provided. Community involvement, such as service on one’s child’s PTA or leadership in a civic or religious organization, while laudable, is not considered public service for purposes of appointment, promotion and tenure decision. Examples of faculty engagement can be found in the SPH APT manual (page 17):

https://sph.unc.edu/files/2016/09/aa_APT-Manual_2016-2017.pdf

Mentoring, Faculty Development, and Yearly Review

Faculty mentoring and development is an important goal of the Department. The Department is greatly invested in the success of its faculty, both tenure and fixed-term, to meet its responsibility to the members of its community and as a means to achieving its mission. For the development of its faculty the Department draws on its own resources and on those of the School and the University. The primary responsibility for mentoring and the facilitation of the career development of faculty rests with the Chair, supported by senior faculty and the department’s mentoring program. The Chair is accessible to members of the faculty for advice and consultation at the initiative of faculty. A structured review session of faculty development and performance by the Chair takes place on an annual schedule (or more frequently if required), based on an annual review prepared by faculty. All faculty are expected to participate in the annual review meeting with the Chair. Comments are provided by the Chair in response to this review, which also serves as an element for recommendations for salary raises. In addition, all Assistant Professors are expected to identify a specific mentoring committee with at least one senior faculty from the Department of Epidemiology and are expected to meet with this group once a year (before the annual review with the Chair). A designated chair of the mentoring group will be asked to submit a brief report of the meeting to the Department Chair. This report will also be used in the annual review discussion with the Departmental Chair

Based on each faculty’s annual report, the Chair prepares a brief summary for inclusion in the departmental annual report that is shared with all faculty members. This allows each faculty member to gauge their progress and contributions in the context of the Department as a whole and makes equity in teaching, research and service more transparent. An overview of departmental progress, based on this departmental annual

report, is prepared by the office of the Chair for distribution to the Dean, alumni and supporters of the Department.

Appendix A
Summary of Annual Expectations

Classroom Teaching	Lead one course per year
Advising	5 students per year (with 1 new student each year)
Research Funding	>=60% salary coverage
Publications	Minimum standards for assistant professors: 2 1st or senior/lead author papers each year 1 student paper (as primary advisor) 2 other publications Minimum standards for associate and full professors: 4 1st or senior/lead author papers each year 2 student paper (as primary advisor) 4 other publications
Service	One departmental standing or ad-hoc committee Participate in faculty mentoring, attend department faculty meetings, retreats, and seminars, and help in the development and grading of qualifying exams.
Review	Participate in annual meeting with the Chair.

Appendix B

Summary of Promotion Criteria

Promotion from Assistant Professor to Associate Professor

1. Research

- Scholarly Productivity
 - At least 2 papers per year as first or senior author
 - At least 1 paper per year with her/his student as primary author
 - At least 2 papers per year as co-author
 - Total of at least 5 papers per year
 - Focus on publication leadership, quality of publications, their demonstrated or potential impact, and the trend in publishing productivity

- Grants/Funding
 - Long term average of at least 60% of salary coverage (after 2-3 years from initial appt.)
 - An established independent research program based on one or more grants as principal investigator, ideally including a competitively funded multi-year major grant (e.g., NIH R01, ACS research scholar, AHA independent investigator awards).

2. Teaching

- Teaching
 - Lead role in one class per year
 - Evidence of impact of all forms of teaching (e.g. classroom and distance education teaching, supervising students in research and field experiences, academic advising, and continuing education)
- Mentoring/Advising
 - Willing to serve as academic advisor for 1-2 incoming students per year
 - Graduate at least 1 doctoral student by the time an Assistant is put up for promotion to Associate

3. Service

- Department/School/UNC
 - Serve on a standing departmental committee
 - Serve on ad hoc working group or search committee, as needed
 - Attend departmental faculty meetings, retreat, seminars and help in the development and grading of doctoral qualifying or masters comprehensive exams
- Profession
 - Provide service to the larger scientific and professional community, examples include: study sections, editorial boards, symposia planning, society committees, expert panels, working groups, and advisory committees.
- Community/Public Service
 - Faculty engagement with the public outside the traditional scholarly community is valued and will be evaluated during the tenure and promotion process

4. Other

- Must show excellence in either research or practice, evidence of high quality teaching, and adequate service
- Must demonstrate that they are on a course for national leadership in their

discipline

→Must be able to show how his/her work has led, or is likely to lead, to improved public health

→Other factors: interdisciplinary scholarship, ethical and collegial behavior, intellectual integrity, good rapport with students, staff and colleagues, moral probity reliability and responsibility and need for the faculty member's contributions"

Promotion from Associate Professor to Full Professor

1. Research

- Scholarly Productivity
 - Must have obtained national or international recognition
 - Must have demonstrated sustained excellence in research
 - At least 4 papers per year as first or senior author
 - At least 2 paper per year with her/his student as primary author
 - At least 4 papers per year as co-author
 - Total of at least 10 papers per year
 - Focus on publication leadership, quality of publications, their demonstrated or potential impact, and the trend in publishing productivity
- Grants/Funding
 - Must have consistently secured independent major external, R01-like grant awards as PI and Co-I
 - Long term average of at least 60% of salary coverage

2. Teaching

- Teaching
 - Must have demonstrated sustained and high quality accomplishment in teaching
 - Lead 1 course per year
 - Evidence of impact of all forms of teaching (e.g. classroom and distance education teaching, supervising students in research and field experiences, academic advising, and continuing education)
- Mentoring/Advising
 - Willing to serve as academic advisor for 1-2 incoming students per year
 - Mentor approximately 5 graduate students per year
 - Record of mentoring junior faculty is required

3. Service

- Department/School/UNC
 - Serve on a standing departmental committee
 - Serve on ad hoc working group or search committee, as needed
 - Attend departmental faculty meetings, retreats, seminars and help in the development and grading of doctoral qualifying or masters comprehensive exams
- Profession
 - Must have sustained contributions in professional and public health service
 - Provide service to the larger scientific and professional community, examples include: study sections, editorial boards, symposia planning, society committees, expert panels, working groups, and advisory committees.
- Community/Public Service
 - Must have sustained contributions in professional and public health service
 - Faculty engagement with the public outside the traditional scholarly community is valued and will be evaluated during the tenure and promotion process

4. Other

- Must have obtained national or international recognition
- Must have demonstrated sustained and high quality accomplishment in teaching and sustained excellence in research or public health practice

- Must have sustained contributions in professional and public health service
- Must demonstrate how his/her work has enabled improvement in the public's health or the advancement of the science or practice of their discipline"