

**UNIVERSITY OF ROCHESTER  
SCHOOL OF MEDICINE & DENTISTRY**

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**REGULATIONS  
OF THE  
FACULTY**

**JANUARY, 2001  
OCTOBER, 2009(*revised*)**

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## INTRODUCTION

In recent years, the faculty and leadership of the University of Rochester Medical Center have recognized that certain elements in the current system for academic appointments, promotions, and tenure needed change in light of increasing complexities and competing demands among the various missions of the Medical Center. It is now recognized that adoption of a faculty system of greater breadth and flexibility than in the past is a requirement in addressing these new challenges.

The School of Medicine and Dentistry (SMD) is the constitutive and integrating division of the University of Rochester Medical Center. The Medical Center's mission is to **“improve health through caring, discovery, teaching and learning”**. The School's contribution to this mission can be stated as follows:

- To educate and train expert and compassionate physicians and knowledgeable and skilled research scientists.
- To foster research programs that advance basic or clinical knowledge and lead to new and effective medical discoveries or applications.
- To provide postgraduate education of physicians, scientists, dentists, and other professionals for careers of leadership in research, health care, and education in the clinical and biomedical sciences.
- To provide those advances in biomedical knowledge and technology with potential to contribute to exemplary health care services.

The *Regulations of the Faculty* for the School of Medicine and Dentistry describe a system in which faculty participate in defined academic activities and pursue a promotion pathway option that best reflects the faculty member's interests and ability to contribute to the goals of the School. These goals are represented in the key functions: teaching, patient care and research, and in administrative activities that support and enhance these principal functions. The specified appointment activity option available to faculty who have full-time or part-time academic appointments reflects the diversity of interests and capabilities required to meet the broad goals of the School of Medicine and Dentistry and Strong Memorial Hospital. These regulations state the requirements for promotions, appointments and reappointments, and the necessary ongoing review of faculty contributions.

Full-time academic appointments are reserved for those faculty who are committed to a career in some branch of academic medicine or dentistry or biomedical research and who devote their time to an appropriate combination of teaching, research, and clinical activities in the University Medical Center or in University-affiliated institutions. Other clinical or research faculty appointments are available for those whose contributions to the Medical Center are more narrowly focused or who participate in academic programs on a part-time basis. Among the latter are many community-based and regional clinical faculty whose contributions to the Medical Center's mission are recognized.

## OVERVIEW

Promotion and reappointment require that a faculty member's qualifications and contributions are outstanding. Such contributions are initially evaluated by the department chair (and when appropriate, the Aab center director – see footnotes below) who makes the request for promotion to the Office of the Dean. The chair's recommendation is usually made with the advice of a faculty promotion committee and may include an evaluation of the relationship of the particular academic activity to other departmental or medical center programs, the space and facilities available for the activity, and the availability of fiscal and personnel support for the program. For promotion to Associate Professor, Professor, or for tenure, an internal ad hoc committee is appointed by the Dean or Senior Associate Dean for Academic Affairs to review the department's request. Recommendations of ad hoc committees are reviewed, in sequence, by the Steering Committee of the Medical School Advisory Council (MEDSAC)\*\*, the full MEDSAC (see footnote on page 3), the Office of the Dean, Senior Vice President/Vice Provost for Health Affairs, the Offices of the Provost and President, and are then submitted to the Executive Committee of the Board of Trustees for final approval.

The Regulations of the Faculty, as they apply to the School of Medicine and Dentistry, provide the time limits by which promotion, reappointment, or the awarding of tenure must be achieved. **Recommendations for early promotion and/or tenure are encouraged if the case is strong and future promise of continued high achievement is evident.** It is the responsibility of the chair (or Aab center director when appropriate\*) to encourage the early advancement of truly exceptional faculty.

Additional information on University policies and procedures is provided by the Faculty Handbook of the University of Rochester and the University's Personnel Policies and Procedures Manual. In the University of Rochester Faculty Handbook, the development and adoption of school or college-specific faculty rules and regulations are stipulated and allow schools to develop and implement certain policies and procedures at their discretion (University of Rochester Faculty Handbook, 2008 Edition; Introduction, page 4 paragraph 5 (last updated September 2004)).

Provisions in the Regulations may be changed from time to time. The faculty will be involved in and informed of changes in accordance with procedures in the Faculty Handbook. Members of the faculty are responsible for familiarizing themselves with such changes. **For two full academic years following the adoption of these Regulations, faculty who are anticipating promotion have the option to request being considered for promotion, tenure or both under the guidelines in place at the time of their most recent appointment.** Clinical faculty appointed to the medical staff of Strong Memorial Hospital, Highland Hospital, the Eastman Dental Center, or other University affiliated hospitals will, in addition, be subject to the policies and procedures of all such hospitals in which they have appointments.

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### ***\*Aab Institute of Biomedical Sciences***

*The Aab Institute of Biomedical Sciences is a Medical Center-based, University-wide program designed to enhance research and education in the biomedical sciences. The structure of the Institute includes individual centers that report to the Dean for Research of the School of Medicine and Dentistry. For the Institute, there is an External Advisory Board, which is appointed by the Senior Vice President for Health Affairs to assist the leadership of the University of Rochester Medical Center in evaluating progress, in identifying and recruiting program directors and associate program directors, in identifying funding sources, and in the development of new institute programs. Center directors are appointed for five-year terms, which may be renewed by mutual agreement of the center director and the Dean.*

### ***Interrelations between Aab Institute Centers and Academic Departments in the School of Medicine and Dentistry, School of Nursing, and The College***

All faculty affiliated with the Aab Institute hold primary appointments in one of the traditional academic departments of the School of Medicine and Dentistry, the School of Nursing, or The College. Financial responsibility for full-time faculty is assigned to each Institute center. Evaluations and actions pertaining to appointments, promotions, and recommendations for tenure of such faculty is the joint responsibility of the relevant department chair and the center director. This is a dual primary faculty appointment model.

These interactions are implicit with respect to faculty actions throughout all relevant sections of these Regulations, even when not specifically stated.

**\*\*Medical School Advisory Council (MEDSAC)**

This is a standing committee of the School of Medicine and Dentistry, whose membership includes all chairs of academic departments, all Aab Institute center directors, and the director of the Cancer Center and Center on Aging. Senior Associate Deans and the chairs of the Medical Faculty Council (MFC) and of the University of Rochester Medical Faculty Group (URMFG) are ex-officio members. MEDSAC meetings are normally held monthly (except for July and August) and are chaired by the Dean.

The MEDSAC's role in the School's governance includes, but is not limited to, the following:

- receive and discuss reports from the Dean and from other senior administrative officers regarding various aspects of the School's educational, research, and clinical programs;
- receive, discuss, and endorse reports of various committees, as appropriate;
- review and, when appropriate, recommend changes in policies, procedures, and academic programs; and
- review and act on all recommendations for faculty appointments, reappointments, and promotions.

Recommendations by MEDSAC are advisory to the Dean.

The Steering Committee of MEDSAC is a standing subcommittee chaired by the Senior Associate Dean for Academic Affairs. The committee's principal role is to review and make recommendations on all proposals for appointments or promotions of tenure-track faculty to associate professor or above and to full professor regardless of academic option.

The Steering Committee consists of eighteen regular members serving three-year, staggered terms. Nine members are selected from MEDSAC and nine are other senior full-time faculty with a rank of full professor. The nine MEDSAC members are alternately selected from basic science and clinical departments, in sequence, so as to achieve an approximate balance between basic sciences and clinical disciplines. Faculty representatives are selected from a pool of nominees submitted by chairs and center directors so as to broaden and enhance the Committee's representation and expertise. At the start of each academic year, six new Steering Committee members (three chairs or center directors and three from the faculty group) replace an equal number of members who have completed their three-year terms using the same principles with respect to representation, with the goal of maintaining the ratio of MEDSAC to non-MEDSAC members as well as the committee's composition with respect to discipline and area of expertise.

The Dean, the Senior Associate Deans, and the chair of the Medical Faculty Council are ex-officio members of the Steering Committee. Procedural and other details regarding processes for appointments, promotions, or other actions, and of the role of the Steering Committee and MEDSAC on such actions can be found in the relevant section starting on page 22.

The Medical Faculty Council (MFC) is a committee of MEDSAC whose membership includes one faculty representative, elected by the appropriate constituency of each basic science and clinical department of the School of Medicine and Dentistry, one representative from each of the affiliated

*hospitals, and one from the house staff of the University of Rochester Medical Center. The purpose of the MFC as well as procedures for election of its members, election and duties of officers and for the conduct of meetings are described in the MFC Charter and By-Laws. Among key functions of the MFC are:*

- to provide a forum for discussion and expression of faculty views in matters related to education, research, clinical programs, and all other aspects of the Medical Center;*
  - to disseminate information to faculty and to bring to the attention of the Dean and the MEDSAC topics that are of concern to the faculty as a whole;*
  - to improve communication and relations among faculty and between the faculty and other constituencies of the medical center;*
  - to vote on key issues of faculty concern, thus conveying to the Dean and to the administration of the Medical Center the sense of the faculty on such issues.*
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## **OBJECTIVES**

The principal objective in developing and adopting revisions to the faculty guidelines is to promote excellence in performance of all faculty, leading to enhancement of quality of all academic and clinical faculty of the Medical Center. The revised system places additional emphasis on career development and periodic review of faculty in both basic science and clinical departments and embraces accountability for performance by all faculty. An optimal system should be sufficiently flexible to meet changing needs for different types of faculty as the health-care system evolves and as an individual's needs and aspirations change. Full-time faculty appointments, promotions, and tenure should be based on the contributions the individual faculty member brings to the various missions of the Medical Center. Criteria for evaluating achievements in research, teaching, scholarship, clinical care, and service should be individualized (i.e., applied on a case-by-case basis) when judging merit and value, and comparable from department to department and center. Therefore, the individual's appointment and potential for promotion and tenure can best be assessed in terms of specific roles in the department, center and Medical Center. It is beneficial both to the faculty member and to the institution to initiate such an assessment as early as possible; i.e., when an activity option is first selected – preferably at the time of first appointment as Assistant Professor or at the time of first reappointment, at the latest. This should provide ample time for faculty to pursue those activities that are most appropriate for promotion in the option they have chosen.

## **GENERAL PRINCIPLES**

In general, the specific terms of each faculty appointment, reappointment or promotion will be agreed upon between the faculty member and the department chair. The chair will have the flexibility to recognize positive achievements and address weaknesses in the areas of research, teaching, patient care and scholarship by allocating and reallocating departmental resources, including space or compensation or both. When disagreement arises between a faculty member and department chair with respect to allocating and reallocating departmental resources, including space or compensation or both, the case should be referred to the Dean for review in accordance with the "General Grievance Procedure" in the Faculty Handbook.

When faculty hold dual primary appointments in a traditional department and in one of Aab Institute centers, terms of such appointments as well as reappointment and actions on promotion and tenure are the joint responsibility of the department chair and center director (see footnote pp.2-3). When disagreement emerges between a department chair and a center director with respect to a faculty member's proposed promotion or tenure, the case should be referred to the Dean for review and resolution.

Criteria for promotion or reappointment for faculty at different levels and options (previously also known as "tracks") are set forth in general terms in these Regulations. For promotion and tenure,

faculty will be expected to meet the principal criteria, which qualitatively define the particular activity option they have chosen for their academic development. It is understood that faculty in any given option, although contributing to all the goals of their option, may vary in their relative contributions to each activity, but will demonstrate excellence in the various types of academic and professional activities encompassed within the chosen option. When asked to make recommendations for appointments and promotions, ad hoc promotions and MEDSAC committees will weigh all qualifications, credentials, and accomplishments in arriving at their recommendations. The Senior Associate Dean for Academic Affairs is available for consultation and advice with respect to the criteria for promotion in each option. The specific recommendations and requirements will be communicated to individual faculty by the department chair or center director and through appointment, promotion, or reappointment letters.

## **PREMISES**

### **Recognition of Faculty Contributions**

The Medical Center requires a variety of academic faculty and professionals to support clinical care, to participate in education of individuals preparing for careers in health care and related sciences, and to engage in research in a range of biomedical sciences. The faculty appointment system must recognize the individual's qualifications, academic contributions and meritorious performance in his or her chosen field of endeavor or specialty.

To accommodate faculty with wide ranging academic interests, clinical expertise, research and scholarly activities and involvement in educational programs, several pathways of academic progression, called "options", have been developed with defined criteria for progression in each, including requirements for tenure.

To assure success in its multifaceted mission, the Medical Center recognizes and values the essential nature of all contributions and achievements of individual faculty members in all options. Thus all options are necessary for the goals of the Medical Center, and no option is superior or inferior to others.

### **Emphasis on Faculty Development**

Career planning and assessment of academic contributions of each faculty member is enhanced through a program of faculty development. The program shall include critical evaluations based on defined objectives for each individual, and shall provide periodic feedback. Such a program is viewed as a particularly important element in guiding junior faculty through their early years of academic development. Guiding faculty to pursue appropriate initiatives for their professional and academic success is the responsibility of chairs and center directors.

Evaluation of teaching, research, and clinical contributions, as appropriate, and of contributions to the intellectual environment or to committees of the Medical Center or the University and to the discipline will be included among the performance criteria in the context of any system of individual goal setting and mentoring.

### **Faculty Teaching Obligations**

With the exception of faculty with research appointments, who have no obligatory teaching responsibilities, all faculty, whether full-time or part-time, are expected to teach. While specific teaching obligations may vary by type of appointment, faculty background and educational setting, all academic and clinical faculty have an obligation to teach as a necessary part of their contribution to the School of Medicine and Dentistry. This obligation may be met through the teaching of medical students, through undergraduate teaching, through the teaching and mentoring of graduate students and post doctoral

fellows, or through the teaching and training of residents, clinical fellows, or allied health professionals. The specific combination of teaching responsibilities will be established in discussion between the faculty member and the department chair.

The School is committed to a program for assisting faculty in enhancing their teaching skills, when needed, and to providing feedback on to the effectiveness of their teaching activities. This program is based in the Offices for Medical Education.

### **Scholarship and Other Academic Activities**

In addition to teaching, all faculty with full-time or academic part-time appointments in basic science and clinical departments are expected to contribute to scholarship. The balance between scholarship, research, teaching, clinical activities, administrative activities, and the other essential activities should be established by the chair and agreed upon by the faculty member at the time of first appointment. It should be relevant to the career option being pursued by the individual. Weight should be given to each criterion according to an agreed-upon position description for the individual, which should include information about the professional effort to be allocated among each of the major activities. Department chairs (and, when appropriate, center directors) are responsible for such faculty position descriptions, which should be reviewed and updated at regular intervals.

### **Service to the School and the University**

The School of Medicine and Dentistry recognizes that, at various times in their career, faculty may be called upon to provide their talent and expertise by serving on standing committees, ad hoc task forces or other advisory bodies of the School or the Medical Center. The deliberative or oversight functions of such committees are essential to assure that high quality operations and services are in place or in meeting vital regulatory requirements. It is recognized that time spent in such valuable service to the School or University may divert faculty effort from other academic or professional activities. Faculty participation on committees or other such organized bodies will be given due consideration at the time of promotion.

### **Annual Review**

Annual faculty review should be performed by all departments and centers and is an essential element in the development and continuing academic and professional success of all faculty. Annual reviews provide an excellent opportunity for faculty to reflect on their academic progress, their professional activities, achievements, and educational contributions during the previous year. Further, annual reviews provide an excellent opportunity for faculty to discuss with the chair potential changes in their academic aspirations, career goals, or in the distribution of their effort among various activities. At the time of annual review, the School of Medicine and Dentistry requires department chairs and, when appropriate, center directors to communicate, in writing, any revisions to the mutual obligations of the department and the faculty member pertaining to anticipated changes in distribution of effort amongst various activities during the subsequent year and to any corresponding changes in compensation.

*Note: Specific guidelines pertaining to faculty compensation are described in the SMD's "Faculty Compensation Plan" document. References to compensation principles in this or in any other section of the Regulations of the Faculty are included for the purpose of completion of pertinent discussion.*

### **Tenure Appointments**

Tenure is generally awarded in recognition of the compilation of a meritorious body of scholarly work, typically supported by sustained peer-reviewed extramural funding, excellence in teaching, and the expectation of continued productivity leading to promotion to Professor. Appointments with tenure are available to full-time faculty in basic science or clinical departments in the researcher-teacher

(R-T), researcher-clinician-teacher (R-C-T), teacher-clinician-scholar (T-C-S), and teacher-institutional scholar (T-IS) options, who have reached the rank of Associate Professor (R-T or R-C-T options) or Professor (R-T, R-C-T, T-C-S or T-IS options).

**Definitions**

*The term "tenure" is defined as an appointment continuing until the faculty member resigns or retires from the University or tenure is revoked for cause, academic cause, or financial exigency of the School or University. As stated in the Faculty Handbook, the term "unlimited tenure" and "tenure" are synonymous, thus when the latter term is used in this document, it means "unlimited tenure". "Limited tenure", "limited term" or simply "term" appointment is defined as an appointment for a specified and limited number of years.*

# CRITERIA FOR APPOINTMENTS TO FULL-TIME FACULTY RANKS AND TENURE IN THOSE RANKS

## ACADEMIC APPOINTMENTS

Academic appointments are reserved for those faculty holding doctoral degrees; the rare exceptions must be specifically and carefully justified to the Dean and approved by the Senior Vice President for Health Affairs and Vice Provost (SVP/HA/VP). For faculty not having a previous appointment, the initial academic appointment will normally be as Assistant Professor, which initiates the “academic clock”. The term “academic clock” is used to denote specified time intervals, in years, by which tenure-track faculty must be promoted or achieve tenure. Faculty may be first appointed to the ranks of Instructor or Senior Instructor to provide additional time to gain experience in research, teaching or clinical practice prior to embarking on an academic career. The time spent in these ranks does not count toward the “academic clock”.

The department chair or designee guides and assists junior faculty in achieving academic objectives and departmental expectations. **Appointments or promotions at or above the rank of Assistant Professor may be to one of five activity options: Researcher-Teacher (R-T); Researcher-Clinician-Teacher (R-C-T); Teacher-Clinician-Scholar (T-C-S); Teacher-Institutional Scholar (T-IS) and Clinician-Teacher(C-T). The academic titles for faculty at each rank are the same for all options.** The determination of the option in which the faculty member will be recommended for promotion or appointment is the responsibility of the chair of the department in which the faculty member holds the primary appointment. In the case of dual appointments in one of the Institute centers, it is the joint responsibility of the chair and the center director. The department chair (and center director, when appropriate) shall make this recommendation to the Dean and the MEDSAC, after discussion with the faculty member and after consultation with others who have knowledge of the faculty member's academic strengths.

At the time of consideration of first reappointment to Assistant Professor or at any time prior to promotion or tenure, the chair, after undertaking a comprehensive review of the faculty member's activities and potential for achieving academic excellence, may give the faculty member the opportunity to change options or to move to a nontenure track appointment, when such a change would better reflect the faculty member's academic activities and continuing contributions. A recommendation for a change in option should be made after thorough consideration of its implications and only by mutual agreement between the faculty member and the department chair and, when appropriate, the center director. A recommendation to change options requires review by the Steering Committee or MEDSAC, as appropriate.

If a department chair decides not to recommend a faculty member for reappointment or promotion, the chair should discuss this decision with the Dean and the faculty member. A letter should then be sent to the faculty member, with a copy to the Dean, summarizing the basis for this decision. Such written notification must be given the number of months prior to the end date of the appointment that is specified for each rank and option.

It is the responsibility of the chairs, promotion committees, Steering Committee, and MEDSAC to interpret the School's criteria for each appointment, to assess excellence of performance, and to strengthen the School and Medical Center through appointment and retention of faculty of the highest quality. A second and equal responsibility is to promote faculty development and protect their academic and professional interests by periodic evaluation and fair judgments.

## INSTRUCTOR

This title may be given to faculty in either basic science or clinical departments with no or very limited previous academic experience who participate in an agreed upon set of activities that include an appropriate combination of teaching, research, and patient care.

The first appointment as Instructor shall ordinarily be made for one year. Reappointment may be for one or two years. Instructors will not usually be continued in this rank for more than three years. If exception is to be made to these provisions of appointment or reappointment, it shall be done after thorough review by the department and the Senior Associate Dean for Academic Affairs. The appointment to the rank of Instructor does not count toward the 11-year limit on time as an untenured Assistant and Associate Professor in the Researcher-Teacher option or toward the 16-year limit (including the final notification year) as untenured Assistant and Associate Professor in the Researcher-Clinician-Teacher options.

If an Instructor is not to be reappointed or promoted, notification to that effect will be made in writing by the chair of the department not later than five months before the expiration of the appointment unless an end-date was specifically indicated in the letter of initial appointment. If such notification is given less than five months before the expiration of the appointment, then the appointment will expire five months from the date notification is given.

## SENIOR INSTRUCTOR

This title may be given to faculty in basic science or clinical departments in recognition of experience beyond that expected of an Instructor.

The first appointment may be made for either one or two years and reappointment may be for one or two years. Senior Instructors will not usually be continued in this rank for more than three years. If exception is to be made to these provisions of appointment or reappointment, it shall be done only after review by the department and the Senior Associate Dean for Academic Affairs. The appointment to the rank of Senior Instructor does not count toward the 11-year limit on time as untenured Assistant and Associate Professor in the Researcher-Teacher option or toward the 16-year limit (including the final notification year) as untenured Assistant and Associate Professor in the Researcher-Clinician-Teacher options.

If a Senior Instructor is not to be reappointed or promoted, notification to that effect will be made in writing by the chair of the department no later than five months before the expiration of the appointment, unless an end date was specifically indicated in the letter of initial appointment. If such notification is given less than five months before the expiration of the appointment, then the appointment will expire five months from the date notification is given.

## ASSISTANT PROFESSOR

This title is reserved for faculty who, in their written scholarship, teaching, professional skills, and leadership, have shown promise of and commitment to academic development in their chosen field.

Initial appointment of Assistant Professors shall normally be for three or four years. Reappointments of Assistant Professors at the end of their third year in this rank shall be for three years or at the end of their fourth year for an additional two years, unless otherwise specified in the letter of appointment. **Reappointment of an Assistant Professor at the completion of the first appointment period requires a preceding departmental review of performance and of the relationship of the faculty member's contributions to an activity option, which the department chair and faculty member may have previously selected or are prepared to select for his/her career development. No faculty ad hoc committee is required for this review.** Departmental review is considered one of the more important points in the academic career of junior faculty. As part of an on-going development program, the faculty member's departmental evaluation and other

supporting documentation will be submitted, in writing, to the Dean whose review and approval authorizes reappointment in the option selected. The faculty member will receive a copy of the Dean's evaluation. Once an option is selected, faculty are expected to pursue those activities that will prepare them for promotion to Associate Professor in the selected option (see Appendix I for tabulation of criteria for promotion in each option).

Once the decision is made to seek promotion, the faculty member should be notified by the department to begin assembling the required documents and other information needed to advance such a recommendation to the Dean's Office. **No later than the end of the sixth year of appointment as Assistant Professor, the decision concerning promotion to Associate Professor must be made. For promotion to Associate Professor in any one of the five options, appointment of an internal faculty ad hoc committee is required.** (see section on Procedures for Appointments and Promotions for details).

If an Assistant Professor is not to be reappointed or promoted, notification to that effect should be made in writing by the department chair at least six months prior to the expiration of the appointment, if that appointment is for one or two years, and not later than one year prior to the expiration, if the appointment is for three or four years. If such notification is given less than six months or one year before the expiration of the appointment (depending on the length of the appointment) then the appointment will expire six months or one year from the date notification is given, again depending on the length of appointment. With the periodic advice of the chair, center director, or other designated faculty member, the evaluation of an Assistant Professor for promotion shall usually be done during their sixth year at that rank. If the sixth year is the last year of appointment and promotion is not approved, the faculty member may be reappointed for one year prior to discontinuation of the appointment. The maximum duration of appointment at this level shall be seven years.

## **ASSOCIATE PROFESSOR**

Appointment or promotion to Associate Professor is reserved for faculty who have demonstrated broad knowledge and scholarship by an appropriate combination of: 1) excellence in teaching; 2) excellence in research, as judged by meritorious, scientific publications; 3) promise of continued research productivity and independence and creative contributions to basic or clinical science; 4) outstanding clinical skills and patient care practices; 5) academic leadership; and 6) service to the School and the University. Faculty contributions may vary in their in-depth emphasis in each of the foregoing elements. The expectations of the University regarding each faculty member's anticipated achievements in these various areas are reflected in the criteria for promotion in each of the five activity options, and in the letter from the University appointing or reappointing the faculty member. The five activity options are: Researcher-Teacher (R-T); Researcher-Clinician-Teacher (R-C-T); Teacher-Clinician-Scholar (T-C-S); Teacher-Institutional Scholar (T-IS); and Clinician-Teacher (C-T). Ad hoc committee review is required for promotion to Associate Professor, to tenure and to Professor of faculty who are in the R-T, R-C-T-, T-C-S, T-IS, or C-T options.

### **Activity Option: Researcher-Teacher (R-T)**

Appointment or promotion to Associate Professor in this activity option recognizes that the principal interests and contributions of the faculty member to the School are in research and teaching. Excellence in teaching is required. National and international recognition of research in the scientific or professional discipline shall be essential for a recommendation to this type of appointment. Scholarly publications in appropriate high-quality, peer-reviewed journals and an appropriate level of authorship are required for promotion in this option. In addition research supported from extramural funds successfully awarded through peer-review process, such as NIH, NSF, or other agencies with equivalent review processes, are also typically required for promotion in this option.

Initial appointment or promotion to Associate Professor in this activity option may be with a five-year term or with tenure. Reappointment as Associate Professor in this option shall be made only with

tenure, and may be governed by a new appointment letter from the department chair. The maximum combined service at the ranks of Assistant Professor and Associate Professor without tenure in this activity option may not exceed eleven years, including the final notification year. The period of an academic leave is included in this total, but that of a personal leave is not.

If the department chair and the faculty member believe a change to another activity option is appropriate, the chair shall make such recommendation to the Dean in accordance with the general guidelines set forth in the introductory paragraphs on “academic appointments” (p.8). Such a change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If an Associate Professor with this type of appointment is not recommended for reappointment with tenure or promotion, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment and the Dean informed of the basis for such action. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire one year from the date notification is given.

### **Activity Option: Researcher-Clinician-Teacher (R-C-T)**

Appointment, reappointment, or promotion to Associate Professor in this activity option recognizes that the principal abilities and contributions of the faculty member to the School are in: 1) research, 2) education, and 3) patient care. In some cases, professional service by faculty with a doctoral degree can substitute for patient care. For example, such service includes that provided by directors of clinical laboratories, biostatisticians, sociologists, and psychologists. Most appointees in this option are likely to be clinician-scientists. To justify promotion or reappointment to Associate Professor in this academic option, faculty must demonstrate excellence in a combination of teaching and research, in addition to patient care or other professional service.

Faculty in this option are expected to conduct independent research. Such faculty will have an identifiable area of scientific expertise in which they conduct independent research. Scholarly publications in appropriate high-quality, peer-reviewed journals and an appropriate level of authorship are required for promotion in this option. In addition, research supported from extramural funds successfully awarded through peer-review process, such as NIH, NSF, or other agencies with equivalent review processes are also typically required for promotion in this option. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

Appointment or promotion to Associate Professor in this activity option may be with a five-year term or with tenure. Reappointment can be recommended for one additional five-year period. Normally, during the fourth year of the second appointment as Associate Professor, the faculty member must either be recommended for promotion to Professor (with tenure) or be reappointed to the same rank with tenure or notified of the decision not to recommend continuance on the faculty. The maximum combined terms at the ranks of Assistant Professor and Associate Professor without tenure in this option may not exceed sixteen years, including the final notification year. The period of an academic leave is included in this total but that of a personal leave is not.

If the department chair and the faculty member believe a change to another activity option is appropriate, the chair shall make such recommendation to the Dean in accordance with the general guidelines set forth in the section on “academic appointments” (p.8). Such change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If an Associate Professor with this type of appointment is not recommended for reappointment or promotion, notification should be made to the faculty member in writing by the chair of the department at least one year in advance of the expiration of the appointment, and the Dean apprised of the basis for the action. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire one year from the date notification is given.

### **Activity Option: Teacher-Clinician-Scholar (T-C-S)**

Appointment and reappointment or promotion to Associate Professor in this option recognizes that the principal contributions of the faculty member to the School are in: 1) education 2) patient-care 3) clinical scholarship, and 4) administration of educational or patient-care programs. Although most faculty appointees in this option are likely to be physicians or dentists with substantial clinical responsibilities, faculty with other doctoral degrees who, by virtue of their training and expertise have special roles in education, clinical research and service may also be appointed and promoted in this option. For appointment or promotion to Associate Professor in this activity option, faculty must demonstrate excellence in teaching and clinical service. Scholarship shall also be an important factor in the evaluation of the faculty member. Contributions to education, patient care, scholarship and administration of the highest quality are expected. Scholarship is best judged by written works, which demonstrate a developed, in-depth approach to an area of focused interest. Examples of objective scholarly contributions and other criteria for promotion in this option are described in the Appendix.

Appointment or promotion to Associate Professor in the T-C-S activity option shall be limited to five years. Reappointments may be for two-to five-years, and there shall be no limit on the number of reappointments. Evidence of continued scholarly productivity, excellence in clinical service, and participation in teaching are expected for reappointment in this rank. The chair's letter to the Dean recommending reappointment should include an explanation when a term of less than five years is recommended.

If the department chair and the faculty member believe a recommendation for change in activity option is appropriate, the chair shall make such recommendation to the Dean in accordance with the general guidelines set forth in the section on "academic appointments" (p.8). Such change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If an Associate Professor in the T-C-S activity option is not recommended for reappointment or promotion, notification shall be made in writing by the chair of the department at least one year in advance of the expiration of the appointment if the appointment is for four or five years, and the Dean shall be apprised of the basis for the action. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire at the end of the required number of months from the date notification is given. If the appointment is for less than four years, the notification period should be three months for every year in the current appointment period.

### **Activity Option: Teacher-Institutional Scholar (T-IS)**

Appointment and reappointment or promotion to Associate Professor in this option recognizes that the principal contributions of the faculty member to the School are in: 1) education, 2) research scholarship, and 3) institutional service. This activity Option is reserved for individuals with career paths that reveal a sustained commitment to activities that transcend individual departments or centers. For appointment or promotion to Associate Professor in this activity option, faculty must demonstrate excellence in teaching and institutional service. It is expected that faculty will demonstrate exceptional skills and sustained contributions in teaching, development of technologies and/or research facilities, or

specialized technical, scientific or analytical approaches with a broad institutional impact, and documented scholarship in these endeavors. Scholarship will be judged primarily by authorship (or co-authorship) of works such as research articles, syllabi/curricula and technical protocols available to the national and international community, where the contribution of the faculty member is clear and substantial. It also expected that scholarship will be recognized by invitations to speak at national and international meetings, and memberships on editorial boards and national advisory committees. Examples of objective scholarly contributions and other criteria for promotion in this option are described in the Appendix.

Appointment or promotion to Associate Professor in the T-IS activity option shall be limited to five years. Reappointments may be for two-to five years, and there shall be no limit on the number of reappointments. Evidence of continued scholarly productivity, excellence in institutional service, and participation in teaching are expected for reappointment in this rank. The chair's letter to the Dean recommending reappointment should include an explanation when a term of less than five years is recommended.

If the department chair and the faculty member believe a recommendation for change in activity option is appropriate, the chair shall make such recommendation to the Dean in accordance with the general guidelines set forth in the section on "academic appointments" (p.8). Such change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If an Associate Professor in the T-IS activity option is not recommended for reappointment or promotion, notification shall be made in writing by the chair of the department at least one year in advance of the expiration of the appointment if the appointment is for four or five years, and the Dean shall be apprised of the basis for the action. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire at the end of the required number of months from the date notification is given. If the appointment is for less than four years, the notification period should be three months for every year in the current appointment period.

#### **Activity Option: Clinician-Teacher (C-T)**

Promotion in this non-tenure option is most appropriate for those full-time clinicians who contribute the majority of their professional effort to the University of Rochester Medical Center's clinical programs and who actively support and participate in education at Strong Memorial Hospital or one of its closely affiliated facilities. Participation in scholarly activities, including publications of the various types described in the Appendix, and in the continuous enhancement of clinical services and health-care delivery programs are additional important considerations. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

Initial appointment or promotion to Associate Professor in this option shall be for five years. Reappointments may be made for two to five years and there shall be no limit to the number of such reappointments. Continuing contributions in teaching and clinical programs are expected during reappointment periods.

If the department chair and the faculty member agree that a change in activity option is appropriate on the basis of the faculty member's exceptional achievements and future academic plans and prospects, the chair may make such recommendation to the Dean in accordance with general guidelines set forth in the introductory paragraphs on "academic appointments" (p.8). Such change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If an Associate Professor in this option with a four or five year appointment is not recommended for reappointment or promotion, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment, and the Dean shall be apprised of the basis for the action. If the appointment is for less than four years, the notification period should be three months for every year in the current appointment period. If such notification is given less than the specified period before the expiration of the appointment, then the appointment will expire the required number of months from the date notification is given.

## **PROFESSOR**

This title is reserved for faculty members who have attained eminence in their chosen field. Categories of qualifications and academic achievements are similar to those for appointment to Associate Professor, but evidence of sustained, greater and more significant scholarly accomplishments is required. Promotion to Professor may occur at any time after the criteria are met. **Review for promotion to Professor in any of the five academic activity options requires consideration by an ad hoc committee, the Steering Committee, and MEDSAC.**

### **Activity Option: Researcher-Teacher (R-T)**

Promotion to Professor in this activity option is with tenure and is given in recognition of preeminence in education and research and superior academic leadership. Evidence of international recognition for high-quality research investigation, continued success in maintaining an externally funded research program, continuation of publications of original research findings in high-quality, peer-reviewed journals, and exceptional record of teaching and mentoring graduate and medical students are all important considerations for promotion to Professor. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

The term of the original appointment to this rank for individuals whose last appointment was not at the University of Rochester will normally be for a period of five years. Exceptions may be made for individuals who were awarded tenure in the same rank at a comparable institution. Reappointments shall be accompanied by tenure, which may be governed by a new appointment letter from the department chair. If a Professor with a five-year appointment in this option is not recommended for reappointment, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire one year from the date notification is given.

### **Activity Option: Researcher-Clinician-Teacher (R-C-T)**

Promotion to Professor in this option is with tenure, except as noted below. Promotion or appointment to Professor in this option is given in recognition of national and international eminence, in clinical teaching and mentoring of students or trainees, clinical or basic investigation, outstanding contributions to the School and University, and superior academic leadership. Exceptional knowledge in a professional area and scholarly productivity and success in maintaining an externally funded research program from granting agencies are expected. Excellence in clinical or other professional service is required. Demonstration of administrative leadership shall be an additional factor. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

The term of the original appointment to this rank for individuals whose last appointment was not at the University of Rochester may be for a period of five years. Exceptions may be made for

individuals who were awarded tenure in the same rank at a comparable institution. Reappointments shall be accompanied with tenure. Reappointments may be governed by a new appointment letter from the department chair. If a Professor with a five-year appointment in this option is not recommended for reappointment, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire one year from the date notification is given.

#### **Activity Option: Teacher-Clinician-Scholar (T-C-S)**

Appointment or reappointment to Professor recognizes high achievement and eminence as a teacher, clinician, and clinical scholar. In addition, administrative responsibilities that facilitate teaching and patient care are expected. Membership and participation in professional societies and organizations and election to positions of leadership in regional and national clinical societies are examples of additional achievements that will be considered. Participation in health-care planning or as organizers or speakers in clinical symposia, seminars, and continuing-education programs and scholarly writings also represent achievements as a clinician-teacher that will be valued for promotion to Professor in this activity option. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

Appointment or promotion to Professor in this option shall initially be for five years. Reappointments shall be for two to five-year periods and there shall be no limitation on the number of reappointments. Evidence of continued scholarly productivity, excellence in clinical practice and participation in teaching are expected for reappointment in this rank. The chair's letter to the Dean recommending reappointment shall include an explanation when a term of less than five years is requested.

Professors who have shown sustained distinction as teachers or have achieved national recognition as clinician scholars and leaders in their discipline may be considered for tenure. Such recommendations will be made by the chair to the Dean, normally after the faculty member has completed a five-year term as Professor. The Dean will appoint an ad hoc faculty committee to review the candidate's credentials. The recommendation of the ad hoc committee will be brought forward to the Steering Committee and MEDSAC for a decision advisory to the Dean.

If a Professor with a four or five-year appointment is not to be recommended for reappointment, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment, and the Dean shall be apprised of the basis for the action. If the appointment is for less than four years, the notification period should be three months for every year in the current appointment period. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire at the end of the required number of months from the date notification is given.

#### **Activity Option: Teacher-Institutional Scholar (T-IS)**

Appointment and reappointment or promotion to Professor in this option recognizes high achievement and eminence as a teacher, research scholar and institutional service provider. This rank is reserved for those who have achieved significant and notable distinction in their field. It is appropriate for those who have made consistent and distinguished contributions, with a broad institutional impact that transcends individual Departments and Centers within the SMD, toward high-quality research advances and/or outstanding contributions to teaching and educational initiatives that are recognized at a national and international level. A more detailed summary of criteria for promotion in this option can be found in the Appendix.

Appointment or promotion to Professor in this option shall initially be for five years. Reappointments shall be for two to five-year periods and there shall be no limitation on the number of

reappointments. Evidence of continued scholarly productivity, excellence in institutional service and participation in teaching are expected for reappointment in this rank. The chair's letter to the Dean recommending reappointment shall include an explanation when a term of less than five years is requested.

Professors who have shown sustained and exceptional distinction as teachers or have achieved national recognition as scholars and leaders in their discipline may be considered for tenure. In such cases, it is expected that qualifications will include sustained individual extramural funding and a significant published body of work representing self-directed research or teaching initiatives, judged primarily by authorship of works such as research articles, syllabi/curricula and technical protocols available to the national and international community, where the contribution of the faculty member is clear and substantial. Recommendations for promotion to tenure will be made by the chair to the Dean, normally after the faculty member has completed a five-year term as Professor. The Dean will appoint an ad hoc faculty committee to review the candidate's credentials. The recommendation of the ad hoc committee will be brought forward to the Steering Committee and MEDSAC for a decision advisory to the Dean.

If a Professor with a four or five-year appointment is not to be recommended for reappointment, notification should be made in writing by the chair of the department at least one year in advance of the expiration of the appointment, and the Dean shall be apprised of the basis for the action. If the appointment is for less than four years, the notification period should be three months for every year in the current appointment period. If such notification is given less than one year before the expiration of the appointment, then the appointment will expire at the end of the required number of months from the date notification is given.

#### **Activity Option: Clinician-Teacher (C-T)**

To achieve promotion to Professor in this option, the candidate must have achieved national distinction as a consistently superior clinician, educator or both with an effective style as an administrator of innovative regional health-care or educational programs. Relevant scholarly publications of various types in journals or books, etc., as further outlined in the Appendix are also desirable. Letters of recommendation from colleagues attesting to national reputation for extraordinary clinical knowledge and expertise, for contributions to medical or graduate education, for continuing contributions in quality health services or to any combination of the above, will also be considered. Recognition for distinguished service, teaching or other contributions are additional objective indicators of regional or national leadership and provide a means for evaluating promotion in this option.

Initial appointment or promotion to Professor in this option shall be for five years. Reappointments may be made for two to five years and there shall be no limit to the number of such reappointments.

If the department chair and the faculty member agree that a recommendation for change in activity option is appropriate, the chair shall make such recommendation to the Dean, in accordance with guidelines set forth in the introductory paragraphs on "academic appointments" (p.8). Such change would typically occur at the time of consideration for reappointment. The Steering Committee, and when appropriate the MEDSAC, and the Dean will judge the evidence submitted in support of this recommendation, and the Dean will communicate this decision to the faculty member and the chair in writing.

If a Professor with this type of appointment is not to be recommended for reappointment, notification should be made in writing by the chair of the department at least three months for each year in the current appointment period (e.g., for a three year appointment, notification should be given nine months before). If such notification is given less than the specified period before the expiration of the appointment, then the appointment will expire the required number of months from the date notification is given.

## RESEARCH APPOINTMENTS

Research activities in research-intensive medical schools require faculty whose interests are principally in research and who provide special areas of expertise required for complex, collaborative research programs. Notwithstanding the prior sections in these Regulations, these appointments are governed as described below.

The titles Research Assistant Professor, Research Associate Professor, or Research Professor may, therefore, be used for persons with a doctoral degree who are engaged in research supported by a research grant, contract, or other funding. These appointments and reappointments depend on the continuation of support from programs, grants, or contracts and terminate concurrently with the cessation of the program, grant, or contract. The description of the source of funds for the appointee's support shall be explicit and reaffirmed at each proposed reappointment so as to make the decision about the continuance of the position unambiguous. The department has an obligation to support the salary for the duration of the contractual agreement, thus appointments may be made only when support is currently available for the entire agreement term.

There is no specific requirement for formal teaching assignments. Research faculty at all ranks may be members of graduate thesis advisory committees. Research faculty who wish to mentor graduate students must obtain approval to do so from the chair of the department in which the graduate student is enrolled and from the Dean.

Research faculty may attend departmental and School meetings and participate in all activities in accordance with the rules and regulations of their department. Participation in departmental decisions regarding faculty appointments and promotions will be in accordance with departmental guidelines and the Faculty Handbook.

The factors that will be used to make the judgment as to the rank include length of experience since the award of the doctoral degree, the quality of the research training received, the quality and quantity of research publications, the focus and the depth of the research performed, and the sponsored-research funding record. For the rank of Research Associate Professor, independent peer-reviewed publications (first/senior author) and invited presentations at national and other scientific meetings are required. Independent funding for research (principal investigator or co-investigator) is highly desirable. There is no limit as to time spent in this rank, if reappointment is approved. Appointments and promotions to the rank of Research Associate Professor require review by the Steering committee of MEDSAC, whose recommendation is advisory to the Dean.

For promotion to the rank of Research Professor, the recommendation of an ad hoc promotion committee will be required. For this rank, national leadership and international reputation, independent funding (principal investigator), peer-reviewed publications (first/senior author), and invited national presentations are appointment criteria specifically required. There is no limit as to time spent at this rank, if reappointment is approved. Appointment or promotion to Research Professor requires review by the Steering Committee and of the MEDSAC, whose recommendations are advisory to the Dean.

These appointments may be made for one to five years duration. Whatever the length of the appointment, annual review by the department chair and, when appropriate, by the principal research sponsor are expected. If the faculty member is not to be reappointed, at least two months notice for each year of appointment should be given in writing by the responsible chair or center director. A copy of the termination letter should be sent to the Dean's Office. If the requisite notification is not given, the appointment will terminate in the number of months from actual notification equal to the length of notice that would have been required depending on the length of the current appointment (e.g., two months from actual notification for a one-year appointment).

## PROFESSIONAL APPOINTMENTS

### **INSTRUCTOR, SENIOR INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR OR PROFESSOR OF (CLINICAL) DEPARTMENT**

In some circumstances, individuals with a medical, dental, or other doctoral degree who provide principally clinical or other professional services and who may contribute significantly to teaching may be appointed full-time faculty as Instructor through Professor at the recommendation of the chair and with the approval of the Dean on the advice of the Steering Committee of the MEDSAC. For purposes of compensation and benefits such individuals shall be considered as full-time faculty and shall receive full-time benefits, and must participate in the faculty compensation plan. Appointments in this category are normally relevant to clinical departments only and are not considered academic in the same sense as those in the other options, since there are no specific expectations for scholarship or research contributions. The services provided by some of these faculty may be outside the Medical Center. **The title of such faculty shall have the qualifier “Clinical” preceding the name of the department or discipline, e.g., Instructor of Clinical Pediatrics, Assistant Professor of Clinical Medicine, when such a qualifier is appropriate.**

Appointments and reappointments to these ranks shall be for one, two, or three years contingent on availability of salary support. The length and other elements of such appointments may be governed by additional stipulations as specified in separately executed contractual agreements between such faculty and their department or division in the Medical Center.

Promotion of faculty in this category from Instructor through Professor shall be based on periodic evaluation by the department of the clinical care, teaching and other service contributions, in accordance with criteria and expectations appropriate to the discipline. Individuals in this category are not normally eligible for promotion beyond the rank of Associate Professor and any exceptions in this regard may be made only by the Dean, with the advice of the Steering Committee of MEDSAC. Review and recommendation by an ad hoc faculty committee is not required for appointment or promotion to Associate Professor or above in the professional service category.

### **ASSISTANT, ASSOCIATE, SENIOR ASSOCIATE**

These appointments are reserved primarily for those persons whose principal responsibilities are to provide professional service in clinical or academic programs, but who also make significant contributions in teaching of students, housestaff or other trainees. For most appointments, such faculty will not have attained a doctorate degree. These appointments (B.A., B.S., M.A., M.S., or equivalent degree) are not intended for administrative staff who are not actively engaged in significant teaching. These appointments will be: Assistant, Associate, or Senior Associate. Reappointments are not limited, but are to be made only after careful review of the performance of the faculty member by the relevant department chair. Appointments should be made to extend only over a period of available of funding, so that departmental and School funds will not be required to complete the term of the appointment.

#### **Assistant**

The title may be used to recognize accomplishments and responsibilities of individuals in supporting service and technical roles who also contribute by teaching in the academic programs of the School.

Appointments and reappointments to this rank shall be for a period of one or two years contingent on availability of salary support and superior performance, as documented in annual performance reviews.

### **Associate**

The title may be used to recognize accomplishments and responsibilities of individuals performing supporting service and technical roles and who make important contributions through teaching in the academic programs of the School.

Appointments and reappointments to this rank shall be for a period of up to three years contingent on availability of salary support and superior performance as documented in annual performance reviews.

### **Senior Associate**

This title may be used to recognize responsibilities and accomplishments of individuals performing outstanding supporting service in clinical or research programs, unique technical roles and who, in addition, make excellent contributions through teaching in the academic programs of the School.

Appointments, reappointments, and promotions to this rank should be made in recognition of the candidate's experience and contributions and shall be for a period of up to three years contingent on availability of salary support and superior performance as documented in annual performance reviews.

### **TERMINATION OF PROFESSIONAL APPOINTMENTS**

If a faculty member with an appointment in one of the professional categories is not to be reappointed, at least two-months notice for each year in the current appointment period should be given, in writing, by the chair or supervisor; for example, minimum of two-months notice for a one-year appointment and maximum of six-months notice for a three-year appointment.

## **PART-TIME APPOINTMENTS**

### **Academic Part-Time**

In special circumstances, the department chair may recommend to the Dean that a faculty member in one of the academic options be appointed on a part-time basis. To be considered as being in an academic part-time status, the faculty member's percent of full-time effort devoted to the School (which must otherwise represent his or her entire professional effort) must be 50% or greater. Academic titles may be used for such persons with the term "part-time" placed in parenthesis after the title; for example, Assistant Professor (part-time). The processes used for appointments or promotions and the criteria for determining the activity option and rank of academic part-time faculty are generally the same as for full-time academic faculty.

Faculty at the Assistant or Associate Professor level in one of the tenure-accruing options may, on occasion, have a need to move to academic part-time status to achieve better balance between professional and family priorities during a certain period. Procedures to be used by faculty and departments to request an appointment or move to academic part-time status, to request an adjustment to the "academic clock", when appropriate, and other stipulations are detailed in Appendix III. The procedure for extending the time-in-rank (i.e. "adjusting the clock") is based on the use of the "part-time leave" provision in the University's Faculty Handbook. Review of such requests by chairs or center directors and by the Dean will be done in the context of assuring that programmatic, clinical service and

teaching needs of the department can be met, therefore, approval of such requests should not be viewed as automatic.

Review for reappointment and promotion of academic part-time faculty in their selected option is the same as for individuals in full-time status. The time in rank shall be approximately in proportion to the ratio of full-time to the part-time function as explained in Appendix III. It is the responsibility of the department chair to examine the performance of part-time faculty at periodic intervals to determine if promotion should be considered. At reappointment, faculty in this category should be advised as to their academic progress and readiness for promotion.

Academic part-time members of the faculty may be compensated in proportion to the amount of effort given in service to the University. Further, such faculty should consult the University's Personnel Policies and Procedures Manual with respect to the potential impact of their part-time status on certain benefits.

### **Other Part-Time Appointments**

Appointments of faculty to part-time status at less than 50% effort are possible. Compensation of such faculty is also in proportion to the percent effort devoted to school or other clinical activities. Such appointments are not considered academic. Since benefits are substantially different, faculty in this category should consult the department (or center) administrator or the University's Benefits Office for information.

### **Voluntary Clinical Faculty**

Members of clinical departments who make valuable contributions to patient care, teaching, or to other activities of the Medical Center, but who devote the entire or a major portion of their time to private practice or to other professional activities outside the Medical Center, may be given faculty appointments. In this case, **the term "Clinical" will precede their academic titles**; for example, Clinical Instructor, Clinical Assistant Professor seriatim through Clinical Professor.

Appointments and promotions to the rank of Clinical Instructor through that of Clinical Associate Professor may be made for one, two, or three years upon the recommendation of the department chair to the Dean and to MEDSAC, in accordance with departmental guidelines. Participation in teaching in accordance with departmental guidelines is an important criterion for promotion.

Promotion or appointment or reappointment to the rank of Clinical Professor is given in recognition of any appropriate combination of superior patient care, excellence in education, participation in clinical research, professional leadership in the community or nation, and for special administrative or other contributions to the welfare of the Medical Center. The term of the initial appointment to Clinical Professor shall normally be for a period of five years. Reappointment may be for two-to five-year periods, and there shall be no limitation on the number of reappointments. Appointments and reappointments to this rank require review only by the Steering Committee of MEDSAC, whose recommendation is advisory to the Dean.

Recommendations for promotion of Voluntary Clinical Faculty should include, in addition to the chair's letter, an updated copy of the candidate's curriculum vitae and supporting letters from individuals who are familiar with the candidate's accomplishments and contributions. For the rank of Clinical Professor, such letters should be from colleagues who are in a position to evaluate the candidate's clinical, educational and professional contributions or his or her leadership in the development or supervision of health care programs, or both.

No advanced notification is required if a reappointment is not recommended unless the faculty member is receiving a salary from the University. In the latter case, the faculty member should be notified two months in advance for each year in their current appointment. If the requisite notification is

not given, the appointment will terminate in the appropriate number of months from actual notification depending on the length of the current appointment (e.g., two months from actual notification for a one-year appointment).

## SPECIAL APPOINTMENTS

The title **Visiting** may be prefixed to the title of special appointees at any rank and discipline appropriate to the academic accomplishments of the individual. Appointments in this category are normally reserved for faculty from other academic institutions, clinical or research facilities, who have been invited to visit with faculty in a department or center in pursuit of collaborative academic activities. Appointment in this category should not be used as an interim step in the full-time appointment of a newly recruited faculty member. The appointments are made by the Senior Associate Dean for Academic Affairs, at the recommendation of the department chair and, when appropriate, the center director. Such appointments will not usually be made for periods longer than one year.

The title **Adjunct** may be used to provide faculty status for professional persons who contribute to the educational or research mission of the School but whose primary place of appointment is outside the University, usually at an institution or other organization with which the University is cooperating in some way. Appointments should be for one year, but the appointment can be renewed, if justified. Compensation is usually not provided for the contributions of adjunct faculty. Initial appointments of Adjunct faculty require, in addition to a *curriculum vitae*, supporting letters from the department chair, as well as from principal University faculty with whom the appointee will be collaborating, describing the role and expected contributions of the appointee in departmental programs.

The title **Emeritus** can be awarded to faculty at the time of their retirement in recognition of outstanding contributions to the School and University. The title Professor Emeritus or Clinical Professor Emeritus is recommended by the department chair to the Dean who, with the advice of the MEDSAC, shall recommend the appointment to the Senior Vice President and Vice Provost for Health Affairs, the Office of the President and the Board of Trustees.

The titles **Fellow** and **Departmental Fellow** are used to identify those continuing their education in advanced postdoctoral positions. These titles do not by themselves make an individual a member of the faculty, although the title Fellow may be used, when appropriate, as a qualifier in conjunction with a faculty appointment; for example, Professor and Senior Buswell Fellow.

## JOINT (SECONDARY) APPOINTMENTS

Faculty members may hold full or part-time appointments in more than one department, ordinarily at the same rank as in the primary department.

Joint or secondary appointments are functional and not honorific in nature. They are intended to benefit both the faculty member and the secondary department by enhancing collaboration in teaching, research, clinical programs and in other activities of the secondary department. Joint or secondary appointees are expected to contribute in specified activities of the department in which they have a secondary appointment, e.g., attending faculty meetings, as appropriate, participating in seminars, journal clubs, etc. Secondary appointees are not expected to serve on faculty appointment and promotions committees of such departments.

Initial secondary appointments are usually made for up to five years, but cannot exceed the end-date of the primary appointment. Reappointments are permissible, and the maximum term of each may also be up to five years. Secondary appointments will terminate automatically when the primary appointment is terminated. Reappointments should be preceded by a review of the faculty member's

participation in, and contributions to the programs of the department in which he or she holds a secondary appointment. Recommendation for a secondary reappointment should be conveyed by the chair in a letter to the Dean. At times, faculty with primary appointments in the School of Medicine and Dentistry may hold secondary appointments in a department at another School of the University or vice versa. In listing of titles, designation of the primary appointment should precede that of the secondary appointment; for example, "Professor of Medicine and of Pharmacology and Physiology", where the primary appointment is in the department of Medicine.

Faculty with full-time academic appointments in one of the centers of the Aab Institute of Biomedical Sciences are considered to have dual primary appointments; i.e., primary appointments in a traditional basic science or clinical department and in one of the centers. For this reason, recommendation for initial appointment, promotion or tenure is the joint responsibility of the relevant department chair and center director. Therefore, the transmittal letter to the Dean for such proposed actions should be signed by both. Whereas academic titles are similar, titles of center appointees will also have an appropriate modifier; e.g., Associate Professor of Biochemistry and Biophysics in the Center for Oral Biology or Assistant Professor of Microbiology and Immunology in the Center for Vaccine Biology and Immunology. Since all center appointees have primary appointments in traditional academic departments, they have the same privileges and responsibilities as all other primary faculty appointees.

# PROCEDURES FOR APPOINTMENTS AND PROMOTIONS

## *FULL-TIME AND ACADEMIC PART-TIME APPOINTMENTS*

Appointments, promotions, and reappointments of all full-time faculty are initiated by a letter of recommendation from the department chair to the Dean. For any such anticipated action, the faculty member should consult with the chair of the academic department in which their primary appointment resides. Departmental administrative offices have all the necessary information, and checklists with respect to the length of the process, the types of documents that need to be completed by the candidate, letters of recommendation for each type of action, and other information that needs to be assembled prior to finalizing the chair's recommendation to the Dean.

**All faculty are responsible for maintaining a record of their past and current teaching activities.** For promotion to Associate Professor and above in any option, faculty are responsible for completing and submitting the following documents: an up-to-date *curriculum vitae* prepared in accordance with the format given in the Appendix; the Self-Assessment of Research or Scholarly Contributions form (not applicable for the Clinician-Teacher option), the Self-Assessment of Teaching Contributions form. A list of names and addresses of internal and external faculty or other individuals who can be requested to write letters of recommendation should be developed by the chair and should include leaders in the faculty member's clinical or scientific discipline, who have not previously served as the faculty member's advisor or mentor. When soliciting letters of recommendation from referees, the chair should include a copy of the candidate's *curriculum vitae* and of the completed Self-Assessment of Research and Scholarly Contributions form.

The letter of recommendation to the Dean from the chair (and center director when appropriate) should be accompanied by supporting documentation including the candidate's *curriculum vitae* and bibliography and an evaluation from other faculty of the department who are at or above the rank to which the appointment or promotion is being recommended. In those departments that utilize a departmental promotions committee to assist the chair in evaluating the faculty member's credentials for promotion, the chair may include a synopsis of the committee's recommendation in the chair's letter to the Dean.

For appointments and promotions of full-time faculty up to and including Assistant Professor, the recommendation of the chair, accompanied by the requisite number of supporting letters from internal referees, is presented to the Dean and the Steering Committee of MEDSAC for its review and recommendation. For appointments and promotions to the Associate Professor and Professor ranks, letters from faculty in other institutions should be submitted. Objective evaluations from faculty at other academic institutions, particularly those who are viewed as leaders in the faculty member's field of research or clinical interest, are considered important in assessing the candidate's academic contributions and national or international recognition.

The Dean will review the recommendation and the supporting documentation. If there are questions about the appointment or the documentation, the Dean will return the recommendation with comments to the chair. If the recommendation of the chair and the supporting documentation are in order, and if the Dean approves, one of two procedures will be initiated:

For reappointments for up to five years at the same rank, the recommendation of the chair is presented by the Dean to the Steering Committee of the MEDSAC. If the recommendation of the Steering Committee is positive, the candidate is recommended to the full MEDSAC (which is advisory to the Dean). If the Steering Committee believes the reappointment is not justified, and the Dean concurs, the department chair should notify the candidate, in writing, in a timely fashion of the negative decision to reappoint.

**For appointments and promotions of full-time academic faculty to the rank of Associate Professor or Professor, or for the granting of tenure, or for a proposed change in status at these**

ranks from part-time to full-time, the Dean or Senior Associate Dean for Academic Affairs will appoint an ad hoc committee of faculty to review the recommendation and the supporting documentation received from the department chair. This committee will normally consist of three members of the full-time faculty whose academic rank is equal to or higher than the candidate's proposed rank. Faculty from the candidate's own academic department or center are not eligible to serve on the ad hoc committee. The chair of the ad hoc committee shall also be a regular member of the Steering Committee. Other members of ad hoc committees are selected by the Senior Associate Dean for Academic Affairs from the faculty at large in order to provide appropriate balance with respect to discipline, research focus, and academic option. The ad hoc committee's deliberations are confidential.

*The Senior Associate Dean for Academic Affairs may assign a junior faculty member (e.g., assistant professor) as an observer of the ad hoc committee's deliberations, on condition that strict confidentiality will be maintained. Such junior faculty will be selected from a list submitted by chairs or center directors. Assignments will be made based on the view that observing an ad hoc committee's deliberations would be most beneficial to the junior faculty member if the candidate under review was in the same promotion pathway or option, provided, however, that the candidate was not in the same department and the junior faculty member had no other personal connections to him or her.*

The ad hoc committee will review the material submitted by the department chair and may solicit additional information considered of value in reaching a judgment. This may include additional information from the chair, other faculty in the School or elsewhere in the University. Further, the committee may seek to obtain, through the Dean, its own evaluation of the candidate from persons in other institutions in addition to any persons previously contacted by the recommending chair. These referees are selected on the basis of their scholarship and expertise in the relevant field and may not be individuals who are previous mentors of the candidate. The ad hoc committee will judge the evidence in support of the appointment or promotion as well as the appropriateness of the option being recommended.

The ad hoc committee will submit a written confidential report to the Senior Associate Dean for Academic Affairs (SADAA). The report should include a description of all documents reviewed, the committee's activities in gathering information, a critical evaluation of the available information and a recommendation with respect to the proposed appointment or promotion. The SADAA will transmit the ad hoc committee's report to the department chair (and center director, when appropriate) who, in turn, will convey the essence of the committee's assessment and recommendation to the faculty member.

If the ad hoc committee concurs with the department's recommendation with respect to the appointment or promotion, the report will be presented to and reviewed by the Steering Committee in accordance with review procedures established by that committee. Before making a final recommendation the Steering Committee may request, through the SADAA, additional information or seek to clarify the basis of the department's decision with respect to the candidate's academic option. For faculty actions, a minimum of ten of the eighteen voting members of the Steering Committee must be in attendance for a quorum. A YES vote by three quarters of those present will be considered a positive or favorable vote. The Steering Committee's vote on the proposed departmental recommendation will be recorded and is advisory to the Dean. The Steering Committee's recommendation and a summary of any relevant discussion points will be communicated by the SADAA to the chair, in writing, and the Dean will be so advised.

If the ad hoc committee disagrees with the department's recommendation, the department chair (and center director, when appropriate) will be so informed by the SADAA and the chair has the following options: 1) accept the ad hoc committee's report and recommendation without challenge; 2) provide further documentation to the SADAA in support of the faculty action and request reconsideration of the case by the ad hoc committee, or 3) appeal directly to the Steering Committee, in writing, with or without additional documentation; 4) depending on the outcome of this appeal, the case may be appealed directly to the full MEDSAC.

If the Steering Committee's recommendation with respect to the proposed action disagrees with the department's or the ad hoc committee's recommendation, the SADAA shall report to the chair, in writing, the substance of the Steering Committee's comments, and will include in the communication the final vote tally on the department's original proposal or on any alternative recommendations made by the Steering Committee. The chair at this point may: 1) withdraw the recommendation for appointment or promotion; 2) accept an alternative recommendation, if any, that the Steering Committee may make; 3) assemble additional documentation in support of the original departmental recommendation and request reconsideration by the Steering Committee; or 4) appeal the decision, in writing, to the full MEDSAC with or without additional documentation.

With the Dean's concurrence, positive Steering Committee recommendations for appointments and promotions will be presented to the full MEDSAC for information, then forwarded to the Senior VP and Vice Provost for Health Affairs, to the Provost, President and Board of Trustees for action. Negative Steering Committee recommendations will be returned to the department for further action.

When negative Steering Committee recommendations are subsequently appealed to the full MEDSAC, they will be presented by the department chair (and center director, when appropriate) for further discussion and a final recommendation by that body, provided that any additional information or documentation that the chair assembles and plans to present in support of the appeal must be first submitted to and reviewed by the Steering Committee. A written summary of the Steering Committee's discussion of the case will be included as part of the documentation presented to MEDSAC. The MEDSAC will judge the evidence in support of the candidate's appointment or promotion and will make a recommendation, which is advisory to the Dean. In cases involving unlimited tenure, once a recommendation is made by the MEDSAC and the Dean concurs, it is considered final and no further appeals are possible. In non-tenure cases, the department may elect to resubmit the case for consideration, with or without a change in activity option, after a period of two years.

The department chair (and center director, when appropriate) will provide periodic feedback to the faculty member, as necessary, regarding the status of the faculty member's case as it progresses through the review process. The final decision concerning a faculty member's appointment, reappointment or tenure will be communicated to the faculty member, in writing, by the department chair (and center director, when appropriate).

### ***PROFESSIONAL, SERVICE, SPECIAL, AND OTHER PART-TIME APPOINTMENTS***

Appointments and promotions of these faculty are made on the recommendation of the department chair to the Dean and to MEDSAC, where appropriate. Appointments at the Associate Professor level and above require approval of the Office of the President and Board of Trustees.

## **PROCEDURES FOR APPEAL OF DECISIONS**

If a faculty member believes that the department chair has not put forward a recommendation for reappointment or promotion at an appropriate time or in the appropriate activity option, the faculty member may appeal to the Dean (who may consult with an ad hoc committee), whose decision, following review of the case, will be final. In situations in which a final decision on a department chair's recommendation has been made but in which the faculty member believes that the promotion or the reappointment process had procedural irregularities or bias, an appeal can be made according to the procedures described in the Faculty Handbook of the University in the section on "General Grievance Procedure". The appeal must be initiated within four weeks of the time the final decision on promotion is mailed to the faculty member. **The appeal procedure described in the Faculty Handbook applies equally to faculty with tenure or term appointments.**

## TENURE

The School of Medicine and Dentistry is committed to protecting academic freedom through the tenure system. It will foster the faculty member's intellectual and professional success and not restrict his or her ability to succeed in the academic discipline of his or her choice. In cases of disagreement or concern, the School should give the faculty member a fair hearing (see Faculty Handbook for hearing procedures). In return, faculty are expected to remain productive members of the University community throughout their appointment period, and compensation will be determined based on the faculty member's efforts in this regard. Contributions by faculty will be measured differently according to their activity area. These efforts and their compensation will be determined through annual discussions between faculty members and their chair, or center director.

The term "tenure" is defined as an appointment continuing until the faculty member resigns or retires from the University or tenure is revoked for cause, academic cause, or financial exigency of the School or University. At the time of promotion to tenure, the institutional commitment, including financial commitment, will be determined and specified by the department chair and the Dean, subject to the annual review process previously described for all faculty.

**Tenure is an option available to full-time faculty only in the Researcher-Teacher, Researcher-Clinician-Teacher, Teacher-Clinician-Scholar and Teacher-Institutional Scholar options under procedures described in the guidelines for promotion in those options.**

As stated in the University of Rochester Faculty Handbook (July 2008, page 20), "part-time appointments will be without tenure". Full-time faculty with tenure who, after discussions with and approval from the chair and the Dean change to non-academic part-time status (i.e., less than 50% effort), must relinquish their tenure resulting in a new letter of appointment. Tenured faculty are eligible to request to change their appointment to academic part-time status using the "part-time leave" provision described in Appendix III. In the latter case, tenure may be retained since the part-time leave policy stipulates an interim or temporary arrangement.

Tenure appointments may be revoked for cause, academic cause, or financial exigency of the School or University, in accordance with procedures outlined in the *Faculty Handbook* (1999 Edition, p. 23 "Procedures for Revocation of Tenure"). The terms "cause" and "academic cause" shall be defined as in the *University of Rochester Faculty Handbook* and for the following reasons: (1) losing one's eligibility to receive federal grants for cause; (2) in the case of faculty whose responsibilities include patient care, loss of one's license to practice medicine or another professional discipline; (3) loss of hospital privileges; (4) engaging in activity that results in a criminal conviction for a felony or misdemeanor (as defined in New York State Penal Law, section 10.00) involving behavior that is incompatible with the duties, responsibilities, and expected conduct of a tenured faculty member; (5) engaging in behavior which poses a significant threat to patient health; (6) engaging in conduct which constitutes a conflict of interest as that term is defined in the Faculty Handbook.

The *University of Rochester Faculty Handbook* provides detailed procedures for grievances with respect to tenure (pp. 35-36, 2008 Edition).

## TERM APPOINTMENTS

For term appointments, the period of appointment to be recommended will be decided before it is submitted for appropriate approval so that action will include the specified period of the appointment. In all instances of term appointments where reappointment is approved for a limited period, notification of the specified period of the extension of term of the appointment will be made by the department chair after review and approval by the Dean, the Senior Vice President and Vice Provost for Health Affairs

and Office of the President. Failure to receive notification of reappointment does not entitle a faculty member to reappointment. Upon notification of the Dean by the faculty member that notification has not been received, the Dean is generally expected to respond within two weeks.

Term appointments may be revoked for cause, academic cause, or financial exigency of the School or University, in accordance with procedures outlined in the *University of Rochester Faculty Handbook* ("Procedures for Revocation of Tenure"). The terms "cause" and "academic cause" shall be defined as in the Faculty Handbook and for the following reasons: (1) losing one's eligibility to receive federal grants for cause; (2) in the case of faculty whose responsibilities include patient care, loss of one's license to practice medicine or another professional discipline; (3) loss of hospital privileges; (4) engaging in activity that results in a criminal conviction for a felony or misdemeanor (as defined in New York State Penal Law, Section 10.00) involving behavior that is incompatible with the duties, responsibilities, and expected conduct of a tenured faculty member; (5) engaging in behavior which poses a significant threat to patient health; (6) engaging in conduct which constitutes a conflict of interest as the term is defined in the Faculty Handbook.

## COMPENSATION

The regulations governing compensation arrangements for full-time faculty are described in the document entitled *Faculty Compensation Plan - University of Rochester - School of Medicine and Dentistry*.

In general, compensation of clinical faculty will be determined between the faculty and department chair on a case-by-case basis, based on the particular faculty member's mixture of patient care, teaching and research activities. Compensation may include various combinations of clinical income, research funding and other monies, the exact mixture of which will be determined by the chair.

Compensation of non-clinical faculty will reflect their efforts in research, education and administration. Compensation will be set by department chairs or center directors, as appropriate, on a case-by-case basis and may be derived from research funding or other funding sources. Distribution of salary among these sources will be determined by the chair or center director, as appropriate, in discussions with the faculty member. In most circumstances, faculty will receive more institutional support early in their career, with the expectation that the level provided by the institution will decline as the faculty member gains external support.

Compensation for all full-time and academic part-time faculty is set forth annually in the compensation letter from the chair or center director, as appropriate.

## VACATION

All full-time faculty from Assistant Professor to Full Professor shall be granted one month (22 work days) of vacation each year. Vacation days accrue each academic year (July 1 through June 30) in proportion to the time employed by the University; that is, one day for every two and one-half weeks or fraction thereof. Faculty need to be aware of the University policy which allows only one year of vacation time to be accrued at any one time. Full-time and academic part-time faculty should consult with their chair or department administrator for the most current School policy with respect to faculty vacations and allowable floating holidays.

## ACADEMIC LEAVE OF ABSENCE

The University encourages applications for occasional leave for scholarly and educational purposes when appropriate opportunities present themselves and when they can be arranged without expense to the University and without unduly burdening the remaining members of the department concerned. The purpose of such leaves is to increase the value of the faculty member to the School and to the University. It is believed that a leave, with carefully planned activities, can add considerably to the faculty member's abilities as a teacher and scientist and can contribute greatly to their intellectual vigor and thereby to the improvement of the University. A leave of absence is, thus, not a periodic faculty right, but is highly regarded as an investment in the future for both the faculty member and the University. It is usually awarded to faculty in one of the academic tracks at the Associate Professor level and above.

It is for the above reasons that the University supports the leave of academic faculty up to the rate of full salary for six months, or half salary for a full year. The maximal annual salary rate while on leave is two-hundred thousand dollars or one-hundred thousand dollars for six months. This maximal annual salary rate is to be reviewed every three years by the Dean, the Senior Vice President and Vice Provost for Health Affairs, and Provost and adjusted as appropriate. Whenever the University approves a faculty leave, it can properly expect faculty members to return to the University at the conclusion of the leave and to contribute their increased experience and knowledge to the development of their department and the University.

Each application for leave will be judged by the Dean or the Dean's designate with full consideration of all the circumstances relating to the individual and the nature of the proposal. Arrangements for others to assume the faculty member's duties while the individual is on leave and arrangements concerning salary must be made with the department chair and the Dean.

Whereas academic leave is generally limited to academic faculty at the Associate Professor or Professor rank, faculty in the Research category may be granted academic leave if the Dean and Provost determine that such leave will benefit the academic development of the faculty member and of the program in which he or she serves. Only full-time faculty at the Research Associate Professor or Research Professor ranks are eligible to be considered for academic leave.

Requests for such leave should include, but not limited to, information about the faculty member's recent research contributions (including funding sources), description of a plan encompassing anticipated research activities during leave, and a statement on the availability and duration of funding (and by implication, the duration of the appointment) following completion of leave.

Applications for leave can be requested from the Dean's Office and should be completed and submitted at least six months before the anticipated beginning date of the leave. In such an application, all arrangements for transfer of responsibilities for education, research, and service, as appropriate, should be described and approved by the chair of the department. Final approval of all leaves rests with the President, who reports all leaves to the Board of Trustees.

Leaves of less than one month are subject to simpler procedures. Faculty who take a leave of thirty days or less should obtain permission from their chair. Where the individual is a chair, permission should be obtained from the Dean. The faculty member's location while on leave and arrangements to assure fulfillment of University responsibilities should be known to the chair. Important further details regarding various types of leaves may be found in the *Faculty Handbook* of the University in the Section on "Faculty Policies", sub-sections on "Faculty Appointments" and "Leaves."

## **ADMINISTRATIVE, FINANCIAL AND OTHER RESPONSIBILITIES**

Faculty members are responsible for being familiar and in compliance with the appropriate University and Medical Center policies and procedures relative to their specific activities at the University.

## **SUDDEN TERMINATION OF EMPLOYMENT WITHIN THE MEDICAL SCHOOL**

When a faculty member abruptly terminates his/her relationship with the School to take a position elsewhere or to enter private practice, there can be a deleterious impact on clinical, teaching, and research programs. If the faculty member's decision is made without giving the department chair and School adequate notice, especially when patient care and teaching obligations would be left unfulfilled, there can be a serious disruption of academic activities. The School requests that all faculty members resigning their position make every effort to provide timely notice prior to the actual termination of their employment. The duration of notice is a function of the disruption anticipated. For junior faculty appropriate notice amounts to six months and for senior faculty, especially if they have major teaching or administrative responsibility, it is twelve months.

## **CONSULTING POLICY AND OUTSIDE ACTIVITIES**

The School of Medicine and Dentistry recognizes that it is desirable for faculty to contribute to their discipline and to enhance the reputation of the School through private external consulting arrangements, while keeping faculty in touch with practical applications of their scholarly work. The University's *Faculty Handbook* provides general guidance with respect to such activities, describes broad principles for engaging in consulting arrangements, identifies limitations therein, and outlines procedures for reporting such activities and for avoiding potential conflicts of interest.

In the School of Medicine and Dentistry, faculty are employed on a 12-month, full-time (or prorated part-time) appointment basis. Nonclinical consulting arrangements should be undertaken in the context of assuring that the faculty member's other primary responsibilities, be they clinical, research, teaching, or administration, are met. Potential conflicts between a faculty member's external consulting activities and his or her primary responsibilities (especially with respect to patient-care requirements or those of external funding agencies), should be anticipated and discussed in advance with the department chair or center director (and with the Dean, when appropriate) and reviewed periodically, while consulting arrangements are in force.

Consulting arrangements vary widely in scope, in the degree to which they encroach on the faculty member's time and effort devoted to the School's affairs and in their potential for leading to the development of intellectual property and technology transfer agreements between the University and commercial organizations. In addition, compensation provisions in some consulting arrangements may need to be reviewed in the context of the School's *Faculty Compensation Plan*.

Regardless of whether the consulting opportunity is with the public or private sector, the basic tenet of the University's policy on consulting is that consulting must enhance, not reduce, the

individual's service to the University. **External consulting activity by faculty should not exceed one day per week on average during the faculty member's primary annual appointment period.**

When presented with the opportunity to consult, a faculty member should discuss with his or her department chair the effect of the opportunity on his or her teaching, research, and administrative responsibilities. The faculty member should apprise the chair of the expected effects on his or her administrative schedule; availability for students and departmental activities; the expected gains to the department and to the individual, and the potential for conflict as defined in the "Policy on External Activities" in the University Faculty Handbook. In evaluating a given consulting arrangement, the chair should determine whether or not the Dean's prior review and written approval is also required. Chairs may also contact the Dean if they are uncertain about comparable treatment of faculty in different departments.

Faculty have the duty to complete part I and, when appropriate, part II of the UR "Disclosure Form on Outside Interests and Activities". Faculty may not enter into consulting agreements that burden or waive the University's rights to intellectual property developed by a faculty member. All consulting agreements entered into by faculty members must include specific language acknowledging the University's rights to intellectual property developed by faculty in the context of their academic activities.

*Excluded from the above reporting requirement are the following types of activities:*

- *Invitations to participate in study sections for the National Institutes of Health or for other public or private funding organizations.*
- *Ad hoc invitations from other academic institutions to participate in an external committee for evaluating academic departments or programs.*
- *One time invitations from other institutions, organizations of industrial firms to give seminars, to participate in panel discussions, or in other comparable types of functions.*

When faculty are contemplating entering into discussions or making arrangements for the commercial development of intellectual property resulting from their research, the chair and the Dean should be apprised of such discussions. Such arrangements must comply with the provisions of the University of Rochester's "Policy on Intellectual Property and Technology Transfer", which is administered by the Office of Technology Transfer (OTT) and the Office of Research and Project Administration (ORPA).

## **RACIAL AND SEXUAL HARASSMENT**

The University's policy is not to tolerate sexual, racial, or any other unlawful harassment by any of its employees or agents. Faculty are expected to become familiar with the University's policies on harassment, which are found in the *Faculty Handbook* (pp. 16, 2008 Edition). Procedures for investigating and responding to instances of sexual or racial harassment can be found in the *Faculty Handbook* and in the University's *Personnel Policy and Procedure Manual*, available from the Human Resources Division of the Medical Center or on the University's World Wide Website. Violations of University harassment policy are grounds for disciplinary action, up to and including termination of employment and tenure revocation proceedings.

## DISABILITY

University policy is not to discriminate against faculty on the basis of any recognized disability and, when able, to reasonably accommodate disabled faculty who are otherwise qualified to perform the essential duties of their position, to do so. University policy is to comply with applicable federal and state laws prohibiting discrimination. A disability is a physical or mental impairment that substantially limits one or more of the major life activities, a record of such an impairment, or being regarded as having such an impairment. Reasonable accommodations shall be determined on a case-by-case basis by the chair and Dean. Additional policies and procedures relating to individuals with disabilities can be found in the University's *Personnel Policy and Procedure Manual*, which is available from the Human Resources Division of the Medical Center.

## ORGANIZATION AND GOVERNANCE

The School of Medicine and Dentistry is a division of the University of Rochester Medical Center, which also includes the School of Nursing and Strong Memorial Hospital. The Chief Executive Officer of the Medical Center is the Senior Vice President for Health Sciences. The Dean of the School of Medicine and Dentistry is responsible for oversight of the operations of the School of Medicine and Dentistry. The School is divided into Departments and Aab Institute Centers, overseen by a department chair, and an Aab Institute center director, respectively.

### References:

1. University of Rochester: Faculty Handbook (July 2008)
2. University of Rochester: Personnel Policies and Procedures Manual
3. School of Medicine and Dentistry: Faculty Compensation Plan
4. University of Rochester: Policy on Intellectual Property and Technology Transfer (Feb. 1997, rev. Nov. 2004)

## TIME IN RANK AND CRITERIA FOR PROMOTION

<i>TENURE TRACKS</i>		<i>TENURE POSSIBLE</i>		<i>NONTENURE</i>
<b>Researcher-Teacher</b>	<b>Researcher-Clinician-Teacher</b>	<b>Teacher-Clinician-Scholar</b>	<b>Teacher-Institutional Scholar</b>	<b>Clinician-Teacher</b>
Professor Associate Professor	Professor Associate Professor	Professor Associate Professor	Professor Associate Professor	Professor Associate Professor
Up to six years as Assistant Professor.  Up to one five-year term appointment as untenured Associate Professor.  Tenure decision no later than end of fourth year as Associate Professor.	Up to six years as Assistant Professor.  Up to two five-year terms as Associate Professor.  Tenure decision no later than end of ninth year as Associate Professor	Up to six years as Assistant Professor.  Unlimited two-to five-year term reappointments as Associate Professor and Professor.  Tenure considered in only most exceptional cases following promotion to full Professor.	Up to six years as Assistant Professor.  Unlimited two-to five-year term reappointments as Associate Professor and Professor.  Tenure considered in only most exceptional cases following promotion to full Professor.	Up to six years as Assistant Professor.  Initial five-year term appointment to Associate or Full Professor.  Unlimited two-to five-year term reappointments as Associate or Full Professor.  Full Professor in exceptional cases.
Peer-reviewed funded research and publications in field, leading to national and international recognition.  Teaching and evidence of mentoring (necessary, but not sufficient) evaluated at each promotion and reappointment.  Service: Department, School, University, and national and/or international organizations.	Peer-reviewed funded research and publications in field, leading to national and international recognition.  Teaching and evidence of mentoring (necessary, but not sufficient) evaluated at each promotion and reappointment.  Service: Department, School, University, and national and/or international organizations.	Peer-reviewed publications in field and in educational literature or both with credit for review chapters, texts, course syllabi, etc. Often clinical research and scholarly expertise in focused area.  Documentation of teaching and mentoring excellence, leadership and national recognition.  Service: Department, School, University, and national organizations.	Peer-reviewed publications in field and in educational literature or both with credit for review chapters, texts, course syllabi, etc. Often research and scholarly expertise in focused area.  Documentation of teaching and mentoring excellence, leadership and national recognition.  Service: Broad institutional impact across many departments through core facility, administrative, major educational or major supportive role/ service.	Promotion based on clinical excellence, local/regional clinical reputation, consistently excellent/substantive teaching, participation in institutional affairs, scholarship appropriate to this option.  Service: Department, School, University, and regional and/or national organizations.

## **EXAMPLES OF PROMOTION CRITERIA**

### **RESEARCHER-TEACHER**

#### **ASSOCIATE PROFESSOR**

- Major academic commitment to and principal interests and contributions in research (majority of effort) and education. Other activities include service to the department, Medical Center, University, and discipline.
- In general, this option is most suitable for faculty without any clinical responsibilities, e.g., faculty with a Ph.D. degree who are research scientists in basic-science or clinical departments, although some individuals with D.D.S. or M.D. degrees may also qualify.
- Demonstrable success in developing and sustaining a program in basic research with peer-reviewed funding from NIH, NSF or other agencies with equivalent review processes.
- Publications in highly regarded, peer-reviewed journals as senior author with identifiable independence from scientific mentors. Significant contributions to peer-reviewed publications and grants. The quality, rather than quantity, of such publications will be a primary determinant.
- Originality, quality and significance of research (basic or clinical) in contributing to scientific advances and creating new knowledge are essential considerations for promotion.
- Recognition of scholarly achievements by peers outside the University as judged by external referees who are familiar and have special expertise in the research contributions.
- Invitations to attend scientific meetings and symposia for oral presentations of research contributions.
- Participation and excellence in teaching based on documented effectiveness in lecturing/teaching in departmental/interdepartmental school courses for medical, graduate, or undergraduate students.
- Active and effective participation in research training/mentoring of medical/graduate students, and postdoctoral fellows.
- Membership on graduate thesis advisory committees.
- National recognition in a field of endeavor. Election to scientific societies, editorial boards, grant review committees, advisory committees, etc.

### **RESEARCHER-TEACHER**

#### **PROFESSOR**

- Whereas, general qualifications and accomplishments are similar to those for Associate Professor, the title is reserved for those who have achieved greater distinction in their field, consistent success in high-quality research investigations and strong record of external funding.
- Continued success in securing and sustaining peer-reviewed funding from NIH, NSF or other agencies with equivalent review processes
- National and international recognition and pre-eminence in the field of endeavor, as judged by references to the candidate's scholarly contributions in letters of support from national and international experts in the field.

- Wide recognition of preeminence in a field through national awards, prizes and other notable academic honors.
- Documented evidence of eminence in education and in training of medical/graduate students and in mentoring junior scientists.
- Academic leadership within and outside the Institution. Outstanding service contributions to School and University through participation in committees, task forces, curriculum design teams, etc.
- More prolific record of significant, original research findings and publications in highly regarded, peer-reviewed journals. Invitations to give presentations at other academic institutions, keynote addresses at national/international meetings, symposia, etc.
- Invitation to membership in study sections, editorial boards, advisory groups, prestigious organizations, policy-making bodies and societies.

### **RESEARCHER – CLINICIAN – TEACHER**

<b>ASSOCIATE PROFESSOR</b>
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- Major commitment to and principal interests and academic contributions in research (basic or clinical; majority of effort), in education and patient care.
- In general, this option is most suitable for M.D., M.D./Ph.D., D.D.S., or D.D.S./Ph.D. research clinicians, though in some instances faculty with other graduate degrees who provide certain clinical, professional services (e.g., clinical lab directors, biostatisticians, radiation physicists, psychologists, etc.) may pursue this option.
- Excellence in a combination of teaching and research in addition to patient care or other professional service are expected.
- Faculty will usually have had prior research training, will be expected to conduct an independent research program (basic, clinical, or translational) with success in securing consistent, significant extramural funding from NIH, NSF or other agencies with equivalent review processes. Funding from competitive, industrial clinical trial initiatives or from other national bodies supporting health-services research, will also be strongly considered depending on scope, faculty member's role and relationship to academic interests.
- Originality, quality and significance of research (basic or clinical) in contributing to scientific advances and creating new knowledge are essential considerations for promotion.
- Identifiable, highly developed areas of research interest, with publication of original scientific articles in relevant, highly regarded journals in which the faculty member is frequently the senior or corresponding author. The quality, rather than quantity, of such publications will be a primary determinant.
- Other types of publications; e.g., monographs, chapters, books, reviews, editorials are also considered valuable as they constitute natural extensions or outcomes of the faculty member's special talents and expertise.
- Recognition of scholarly achievements by peers outside the University as judged by appropriate external referees.

- Excellence in teaching students and in providing research experiences for graduate students, residents and fellows.
- National recognition in a field of endeavor. Election to scientific societies, editorial boards, grant review committees, advisory committees, etc.

### **RESEARCHER – CLINICIAN – TEACHER**

<b>PROFESSOR</b>
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- Whereas general qualifications and accomplishments are similar to those for Associate Professor, this title will be awarded to those who have achieved national/international eminence in investigation (basic and/or clinical), in research training and/or clinical teaching and in demonstrated expertise and renown in a professional specialty.
- Sustained record of publication of significant original research findings in peer-reviewed journals.
- Consistent record of success in securing and sustaining external funding from national/governmental granting agencies such as NIH, NSF or other agencies with equivalent review processes. Funding from competitive, industrial clinical trial initiatives or from other national bodies supporting health-services research, will also be strongly considered depending on scope, faculty member's role and relationship to academic interests.
- Preeminence in education and training of medical/graduate students, residents and fellows, and mentoring of junior scientists.
- Excellence in patient-care and national recognition via awards, honors, election to membership, etc., for innovative contributions to the clinical discipline, the health-care delivery system and to educational programs, shall be considered additional factors for promotion.
- Invitations to participate/chair research grant review committees, to give presentations/plenary lectures at national/international meetings, to organize seminars, workshops, etc., will also be considered.
- National and international recognition, as judged by references to the candidate's scholarly contributions in letters of support from national and international experts in the field.

### **TEACHER – CLINICIAN – SCHOLAR**

<b>ASSOCIATE PROFESSOR</b>
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- Promotion in this option recognizes that the principal contributions are in education, in patient-care, in clinical scholarship, and in the administration of education or patient-care programs. This option is most suitable for physicians, dentists and faculty with other advanced graduate degrees (e.g., biomedical or social sciences and humanities) who contribute the majority of their effort to patient-care activities or to teaching.
- Excellence in teaching based on evidence provided by students and peers documenting extraordinary knowledge of discipline, an unusual desire and aptitude for education and effectiveness in guiding students and trainees through learning exercises in structured or unstructured settings are all deemed major criteria to promotion.

- Recognition of outstanding educational contributions through teaching awards, educationally oriented research with relevant publications, leadership in curriculum or creative course development, or in preparation of teaching material in any format will be additional considerations for promotion.
- Scholarship, as judged by written works that demonstrate a developed in-depth approach to areas of focused clinical interest and special clinical expertise, will be an additional important criterion for promotion, since publication of such studies benefits others in the field.
- Scholarly work is expected, such as outcomes assessment in education, or organized and appropriately designed clinical research studies dealing with the evaluation and analysis of data from groups of patients with the aim of elucidating disease occurrence, causation, pathogenesis or diagnostic and treatment modalities. **Though external funding for such studies is not a requirement for promotion in this track, publication of results in peer-reviewed clinical, educational, or other journals is expected.** The emphasis is on quality rather than on quantity and on the specific intellectual contributions in the work reflected in such publications. The judgments about these qualifications should be made principally by regional and national experts.
- Other examples of objective scholarly contributions which will be considered and do not require original research are: various types of clinical reports, reviews, books/monographs, teaching manuals, course syllabi, computer programs/video tapes, written descriptive contributions in medical education, reports on administration or improvement of clinical practice, health-care programs, health- care systems, or policies.

#### TEACHER – CLINICIAN – SCHOLAR

<b>PROFESSOR</b>
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- Promotion to this rank recognizes consistent and continued excellence in teaching, in contributions to innovative teaching programs, sustained scholarship through publication of original studies in the areas of special clinical expertise, and leadership in health-care administration.
- Recognition of teaching contributions and excellence beyond the local level, as judged by invitations to teach at other institutions and to participate in educational programs, clinical symposia, seminars or workshops organized by medical societies, health-care organizations or other academic institutions, will be important additional considerations for promotion to Professor.
- Development of national reputation as a teacher-scholar, or a clinical specialist in one or more areas of special expertise, or as a clinical investigator in the development or introduction of new and effective diagnostic or therapeutic modalities are additional criteria. The judgments about these qualifications should be made principally by national experts.
- Membership and participation in professional societies and organizations and election to positions of leadership are achievements that are valued when considering promotion in this rank.
- Administrative responsibilities that facilitate educational and patient-care programs and service to the department, Medical Center, discipline or community will also be valued.
- Consideration of awarding tenure may be given five years after promotion to Professor for those who have achieved distinction as “master teachers” or exceptional recognition for clinical scholarship, or both, and national leadership in their field of endeavor.**

#### TEACHER – INSTITUTIONAL SCHOLAR

## ASSOCIATE PROFESSOR

- Promotion in this option recognizes that the principal contributions are in education, in institutional service, in research scholarship. Promotion is reserved for individuals with career paths that reveal a sustained commitment to activities that transcend individual departments or centers. This Option recognizes the principal interests and contributions of faculty members in the SMD whose major activities have a broad institutional impact, and focus on one or more of the following areas: 1) substantial and ongoing teaching, 2) development and successful implementation of academic or technical core facilities, and 3) leadership and administration of teaching and technical programs that are critical to the success of teaching and research endeavors across the SMD.
- Evidence of broad institutional impact, as reflected by collaborative grants, collaborative publications and other scholarly output, by letters of reference, and by the faculty member's own self-assessment of research and/or teaching (as appropriate).
- Development and maintenance of research support individually or collaboratively from peer-reviewed funding agencies such as NIH, NSF or other national or local agencies.
- Recognition of scholarly achievements by peers outside the University as judged by external referees who are familiar and have special expertise in the research or analytical advances in the faculty member's scientific discipline
- \*National recognition in the faculty member's field of expertise, as evidenced by participation in editorial services for peer-reviewed journals, nomination to editorial boards, invitations to participate in grant review committees and national advisory committees.
- Scholarly contributions as evidenced by authorship (or co-authorship) of peer reviewed publications, syllabi/curricula, technical protocols or other scholarly output where the intellectual contribution of the faculty member is clear and substantial. Also appropriate for consideration is authorship on invited reviews on topics of faculty member's research or teaching focus and/or publication or national dissemination of technical manuals, technical information, and procedures that document the area of expertise and contributions beyond immediate local community.

*For faculty members whose principal interests and are in teaching and/or in the leadership and administration of teaching programs that are critical to the success of teaching endeavors across the SMD:*

- Excellence and leadership in teaching, based on evidence by peers and students that document knowledge and insight into discipline, leadership in successfully implementing new teaching initiatives and innovative approaches to scholarship and learning within the SMD, graduate school or medical school.
- Recognition of outstanding educational contributions through teaching awards, invitations to speak at national and international meetings, awarding of grants for development of new educational initiatives and scholarly publications of educationally oriented research.
- Active and effective participation in research training of medical students, graduate students and/or undergraduates and/or post-doctoral fellows and/or junior faculty members. Evidence for achievement in this area can be documented by seminar presentations, formal mentoring activities and by membership on trainee advisory committees.

*For faculty members whose principal interests are in development and successful implementation of academic or technical core facilities and/or in the leadership and administration of technical programs that are critical to the success of research endeavors across the SMD:*

- Leadership in the development and administration of technical core facilities, with documented commitment toward development and successful implementation of innovative technologies and approaches, rather than simple and competent managerial oversight in a service capacity.
- Broad institutional service contributions in training activities relating to technical, analytical or computational instruction within the SMD, thus making these methods more accessible and successfully implemented by the SMD community.

## TEACHER – INSTITUTIONAL SCHOLAR

<b>PROFESSOR</b>
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- Promotion to this rank recognizes consistent and continued excellence in teaching, in contributions to innovative institutional service activities and in sustained research scholarship through publication of original studies in the areas of special research expertise. The general qualifications, efforts and accomplishments described for Associate Professor must be met, with additional distinctions, described below, for consideration for promotion to Professor. This title is therefore reserved for those who have achieved significant and notable national and international distinction in their field. It is appropriate for those who have made consistent and distinguished contributions, with a broad institutional impact across the SMD, toward high-quality research advances and/or outstanding contributions to teaching and educational initiatives that are recognized at a national and international level.
- Continued success in securing and sustaining either individual or collaborative peer-reviewed funding from NIH, NSF or other agencies with equivalent review processes.
- Academic leadership within and outside the SMD. Outstanding service contributions to the University can be documented through membership in such activities as University search committees, core oversight committees, academic task forces, and curriculum design teams or through leadership in design and successful implementation of novel research tools and approaches that are successfully made available to the SMD community.
- National and international recognition and pre-eminence in the field of endeavor, as judged by references to the candidate’s scholarly contributions in letters of support from national and international experts in the field.
- Wide recognition and preeminence in a scientific field or in teaching, as documented through national awards, prizes and other notable academic honors.
- More extensive record of significant, original research findings and publications in highly regarded, peer-reviewed journals with evidence of intellectual leadership in these publications. A portion of these publications should be of senior authorship. Also appropriate for consideration of promotion to this level are invitations to give oral presentations to external academic or other research institutions national or international symposia, invitations to provide written reviews on area of expertise for national dissemination.
- Invitations and participation in membership of study sections, editorial boards, advisory groups, policy-making bodies and societies.

*For faculty members whose principal interests and are in teaching and/or in the leadership and administration of teaching programs that are critical to the success of teaching endeavors across the SMD:*

- Documented evidence of eminence in education and/or research training of medical students, graduate students and/or undergraduates and/or post-doctoral fellows and/or junior faculty members.

*For faculty members whose principal interests and are in development and successful implementation of academic or technical core facilities and/or in the leadership and administration of technical programs that are critical to the success of research endeavors across the SMD:*

- Documented evidence of eminence in the continued development and successful implementation of innovative technologies and approaches
- Documented evidence of eminence in cross-departmental service contributions.

### CLINICIAN -- TEACHER

<b>ASSOCIATE PROFESSOR</b>
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- This track is best suited for full-time clinical faculty who contribute their entire professional effort to University of Rochester Medical Center's clinical programs at Strong Memorial Hospital or in one of its facilities and who actively support and participate in medical student or resident education, or both, while participating in scholarly activities and contributing to the continuous enhancement of health-care programs.
- A high degree of professional competence in patient-care, as judged by local peers and trainees, is expected.
- Documentable participation and excellence in teaching as judged by student/resident and peer evaluations are important considerations.
- Whereas scholarship, as documented in written works, is not considered essential for promotion, faculty in this track are encouraged to participate in scholarly activities. Examples of such activities include, but are not limited to, case reports, review articles, book chapters, syllabi for continuing education seminars, and the like. Examples of scholarly contributions which do not usually entail publication are: scholarly teaching (didactic or clinical), and introduction of innovations in health-care.
- Participation in the administration of health-care programs, departmental or institutional quality improvement committees, local professional organizations, task forces to develop practice guidelines and to improve clinical outcomes, etc., will also be considered important elements for promotion.
- Participation in establishing or supervising, or both, effective community-based clinical programs.
- Local presentations/publications about programs, quality improvement initiatives or similar activities.
- Length of service, by itself, is not a sufficient justification for further promotion.

### CLINICIAN -- TEACHER

<b>PROFESSOR</b>
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- Continuing exceptional and effective participation in teaching, in the development and implementation of educational programs, in major clinical programs, in the administration of innovative community health-care programs, and in local, regional and national presentations, seminars and continuing education workshops.
- Recognition for distinguished service, teaching and community contributions. Participation and achievement of leadership positions in regional or national professional society affairs.
- Maintaining superior reputation nationally as an outstanding clinician with extraordinary knowledge of and skills in the discipline, as an effective teacher with an unusual desire and aptitude to educate, as an able administrator of clinical programs, or any combination of the above.
- Consistent record of continuing scholarly activities and publications as described under Associate Professor.
- Appointment to Professor in cases of exceptional achievement and recognition will initially be for five years. Reappointment as Professor for unlimited number of two to five year terms.
- Length of service, by itself, is not a sufficient justification for further promotion.

**Note:** The standardized curriculum vitae format for the School of Medicine and Dentistry is all inclusive and is most useful for faculty who are being considered for promotion to Associate Professor and above. **Further, some of the categories are not applicable for faculty in certain options.**

**UNIVERSITY OF ROCHESTER  
SCHOOL OF MEDICINE AND DENTISTRY**

**Curriculum Vitae Format**

**CV Date:** \_\_\_\_\_

**PERSONAL INFORMATION**

Name  
Address - Work  
Telephone - Work  
Spouse's/Domestic Partner's Name  
Fax Number  
E-Mail Address  
Date of Birth  
Place of Birth  
Citizenship

**EDUCATION**

Include names of colleges, fields of study, degrees earned and year of each degree

**MILITARY SERVICE**

Include branch of military and month(s)/year(s) served

**POSTDOCTORAL (OR RESIDENCY) TRAINING**

Include name of hospital program, research lab, and mentor, as applicable

**LICENSURE INFORMATION**

Include medical license number(s) and state(s), professional board certification and specialty, as applicable

**FELLOWSHIP AWARDS**

Predoctoral Fellowship Award(s)  
Include source of award(s)\*, institution(s), purpose(s) and month(s)/year(s)

Postdoctoral Fellowship Award(s)  
Include source of award(s)\*, institution(s), purpose(s) and month(s)/year(s)

\* NIH Training Grant, NIH Fellowship, NIH Research Grant, trainee or fellow stipend from other extramural sources, etc.

### **FACULTY APPOINTMENTS**

Begin with present appointment, and include institution(s), rank(s) and month(s)/year(s)

### **PROFESSIONAL HOSPITAL AND ADMINISTRATIVE APPOINTMENTS**

Include institution(s), appointment(s) and month(s)/year(s)

### **MEMBERSHIPS IN LOCAL AND STATE ACADEMIC AND PROFESSIONAL ORGANIZATIONS**

Include organization(s), year(s) and positions of leadership, if applicable

### **MEMBERSHIPS IN NATIONAL AND INTERNATIONAL ACADEMIC PROFESSIONAL ORGANIZATIONS**

Include organization(s), year(s) and positions of leadership, if applicable

### **LECTURESHIPS AND VISITING PROFESSORSHIPS**

Include institution(s), appointment rank(s) and month(s)/year(s)

### **MEMBERSHIPS IN LOCAL AND STATE COMMUNITY SERVICE ORGANIZATIONS**

Include organization(s), year(s) and positions of leadership, if applicable

### **HONORS AND AWARDS**

Name(s), sponsoring organization(s) and year

### **EDUCATIONAL CONTRIBUTIONS OF LAST TEN YEARS (List separately for each year)**

1. Medical Students – types of courses, number of lectures, small group sessions, number of hours of contact, laboratory, etc.
2. Graduate Students - number of students, nature of supervision, thesis advising, dissertation committees (List names of past and present students or trainees who have completed the program and indicate their current position if available.)
3. Residents – tutorial, seminar, attending, teaching rounds, research mentoring (List names of past and present students or trainees who have completed the program and indicate their current position if available.)
4. Postdoctoral Fellows - on individual research grants or training grants within department, relationship of postdoctoral fellow to faculty member
5. Continuing Professional Education – courses, number of hours of contact

### **PROFESSIONAL SERVICE ASSIGNMENTS AND RESPONSIBILITIES**

### **PROFESSIONAL ADMINISTRATIVE ASSIGNMENTS AND RESPONSIBILITIES**

### **RESEARCH ACTIVITIES**

1. List research grants obtained (include sponsor, title, principal investigator, role, percent effort, total years of award, direct costs, and total dollar amount of award)
2. List research supervisory assignments (e.g., core facilities)

### **PRESENTATIONS AT MAJOR NATIONAL OR INTERNATIONAL PROFESSIONAL MEETINGS** **EDITORIAL ASSIGNMENTS IN PROFESSIONAL JOURNALS**

## **MEMBERSHIP AND PARTICIPATION IN NATIONAL ADVISORY AND HEALTH COUNCILS AND RESEARCH REVIEW COMMITTEES**

### **CONSULTATIONS TO UNIVERSITIES, HEALTH, AND SCIENCE AGENCIES**

#### **PUBLICATIONS**

Include author(s), full title, name of journal, volume, pages and date of publication. Book or book chapters should include the publisher's name, editor, and name of book.

List publications, cumulatively, under the following categories:

1. Original (scientific) articles – these may include case reports if new observations were reported
2. Books, monographs, book chapters and review articles
3. Letters, editorials, short articles and other contributions
4. Abstracts can be listed separately. (Abstracts need not be included if a paper has been published describing the work. Abstracts of recent work, as yet unpublished as a full paper, can be informative.)

*Note: The Steering Committee of MEDSAC has expressed concerns about the manner in which publications are listed in the curriculum vitae submitted as a part of credentials to be reviewed in faculty appointment and promotion processes. The Steering Committee has requested that the following policies be observed:*

Original Articles      *These should be listed only if they already are published or in press. Copies of those in press should be included as material to be reviewed. Papers submitted for publication should show journal name and submission date, with copies of the submitted papers included for the promotion review process. Articles in preparation should NOT be listed.*

Authorship      *Names of students, residents or postdoctoral fellows, and clinical fellows should be identified and relationship to the faculty member being reviewed should appear in the section on Educational Contributions. If it is not obvious in multi-author papers, the senior author should be identified.*

Publication Order      *List articles in chronological order.*

Revised 4/2003

## POLICY AND PROCEDURES FOR EXTENDING THE “ACADEMIC CLOCK” FOR PART-TIME ACADEMIC FACULTY

### A. **BACKGROUND, JUSTIFICATION AND GENERAL PRINCIPLES:**

- The need of some faculty to work less than full-time; i.e. to carry less than full-time load, but continue to devote their entire part-time effort to the school is recognized. This may be particularly applicable to faculty who wish to continue their academic and professional pursuits, while balancing professional or family priorities. When appointed, such faculty will be considered “academic part-time”.
- Faculty wishing to pursue such an option may apply, in writing, to the department chair (and center director when appropriate) to reduce their total professional effort in the school and revert to academic part-time status. The application should specify (1) the reasons for this request, (2) the percent of full-time effort requested (must be between 50-95%), and (3) the anticipated date on which the faculty member expects to return to full-time status.
- **Approval of the application will be based on utilization of the “part-time leave” provision in the UR Faculty Handbook (2008 Edition, pg. 42). The maximum initial period for which faculty will be permitted to remain in “academic part-time” status is three years. Extensions are possible, after appropriate justifications and review of the candidate’s career goals.**
- **This policy is applicable only for faculty at the Assistant/Associate Professor levels in one of the tenure-accruing options. This policy is unnecessary for faculty in the Clinician-Teacher option or in the Instructor or Senior Instructor ranks due to the availability of an unlimited number of 1-3 year reappointments at the same rank in the former, and the exclusion of “time in rank” from the “academic clock” computation for the latter. Since implementation of this policy is based on application of the “part-time leave” provision in the UR Faculty Handbook, tenured faculty applying for a change from full-time to “academic part-time” status need not relinquish their tenure, since the part-time leave policy stipulates an interim or temporary arrangement.**
- When Assistant or Associate Professors in one of the tenure-accruing options receive approval to move to academic part-time status, the time-in-rank may be extended by an amount proportional to the reduction in effort.
- For faculty in academic part-time status, annual salary will be correspondingly reduced in proportion to the percent effort. Whereas certain benefits may also be affected (e.g., tuition benefits), all other privileges, benefits, responsibilities, and performance expectations remain the same as those of full-time faculty.

The procedure outlined below is to be used in implementing this policy, while complying with University and School guidelines with respect to “time in rank” for promotion and tenure.

**B. PROCEDURE FOR CHANGING FROM ACADEMIC FULL-TIME TO ACADEMIC PART-TIME STATUS**

- 1) Application to the chair (and to the center director, when appropriate) and the Senior Associate Dean for Academic Affairs to change from full-time to part-time academic status is made on a two-part "leave" form at least 3 months in advance of the anticipated start date.
- 2) Part I should be completed by the applicant and includes fields requesting information about:
  - The percent effort requested (must be >50% to qualify).
  - Proposed starting date for part-time effort and anticipated date of return to full-time status
  - Reason(s) for the request, and
  - Anticipated impact of reduction in effort, if any, on the faculty member's role in the department with respect to educational, clinical, research, or administrative activities.
- 3) Part II will be completed by the chair or center director after appropriate discussion with the applicant. The chair (and the center director, when appropriate) will:
  - Consider the request in the context of programmatic and other needs of the department and, (with the advice of the departmental executive committee or equivalent, when appropriate), may endorse the application, then forward it to the Dean's Office for further review and approval.
  - Provide comments, if any, with respect to any anticipated changes in the faculty member's activities, potential impact on the faculty's career plan or in sources of funding for those activities.
- 4) The application will be sent to the Office of the Senior Associate Dean for Academic Affairs for further review, and forwarded to the Provost.
- 5) Once approval from the Provost's office is received in the Senior Associate Dean's office, an adjustment will be calculated to reflect the faculty member's appointment on a basis prorated for the new percent of effort. For example, if a previous full-time Assistant Professor goes to an 80% effort status and two years are remaining before he/she needs to be notified with respect to promotion or termination, the appointment interval will be increased by 20%; i.e., the notification date will be changed from 24 to 29 months (nearest whole month).
  - The Dean's Office will communicate this information, in writing, to the chair (and to the center director, when appropriate), and to the faculty member.
- 6) Faculty needing to continue their academic part-time status beyond the original period should write to the chair or center director requesting an extension and providing the reasons for this request.
- 7) If the faculty member returns to full-time status earlier than the date stated in the application, the "academic clock" will be re-adjusted accordingly.