



SCHOOL OF  
**MEDICINE &  
DENTISTRY**

---

UNIVERSITY *of* ROCHESTER  
MEDICAL CENTER

**REQUIRED PAPERWORK FOR**

**ALL SMD FACULTY**

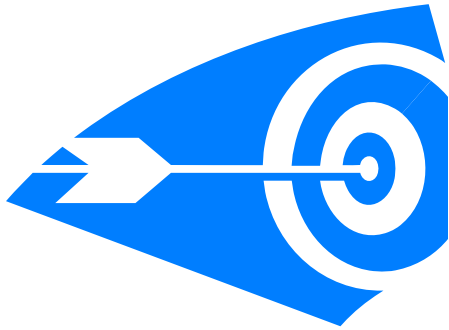
**PERSONNEL ACTIONS**

**MARCH 2010**

## TABLE OF CONTENTS

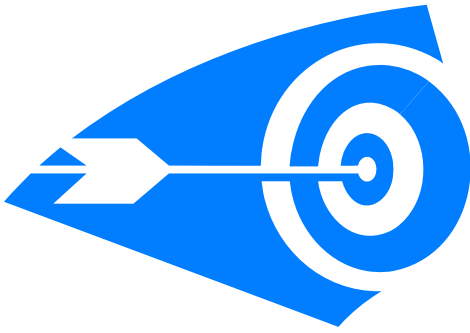
	<u>Page</u>
Helpful Hints – Read Before Starting	4-5
Professors, Research Professors and Associate Professors appointments (full-time and academic part-time)	6
Professors, Research Professors and Associate Professors promotions / Granting of Tenure (full-time and academic part-time)	7
Professors, Research Professors and Associate Professors reappointments (full-time and academic part-time)	8
Professors and Associate Professors appointments (professional service and voluntary)	9
Professors and Associate Professors promotions and reappointments (professional service and voluntary)	10
Research Associate Professors appointments	11
Research Associate Professors promotions and reappointments	12
Assistant Professors appointments and promotions	13
Assistant Professors reappointments	14
Research Assistant Professors appointments and reappointments	15
Assistant Professor (professional service), Senior Instructor, Instructor (academic or professional service), Senior Associate, Associate, & Assistant (full-time or part-time) appointments, promotions, and reappointments	16
Voluntary Faculty (Clinical Assistant Professor and below)	17
Joint Appointments	
Professor, Research Professor, Associate Professor and Research Associate Professor	18
Assistant Professor, Research Assistant Professor, Senior Instructor, Instructor, Sr. Associate, Associate, and Assistant	19
Adjunct and Visiting appointments and reappointments	20
Emeritus appointments	21
Departmental Fellows appointments and reappointments	22

<b><u>Appendices:</u></b>	<b><u>Page</u></b>
Appendix A - Faculty Recommendation Form	24
Appendix B - Adjunct Faculty Reappointment Form	25
Appendix C – Self-Assessment Forms	26-29
Appendix D – Procedure for Evaluation of Assistant Professor Prior to First Reappointment	30-31
Appendix E – Fast Track Process	32-33
Appendix F – Job Codes and Faculty Titles	34-35
Appendix G – Memo from Dean Guzick regarding offer letters	36



## HELPFUL HINTS – READ BEFORE STARTING

- **Offer Letters:** All offer letters for full-time, salaried faculty, *regardless of rank*, require the signatures of the Department Chair (and Center Director, when applicable) and the Dean of the School of Medicine and Dentistry.
- **I-9:** I-9 must be completely filled-out – Section 1 and Section 2. Accompanying the original I-9 must be copies of whatever documents were attested to viewing; e.g., passport, driver's license, certificate of birth, etc. Link to form (*revised 8/7/2009*): <http://www.uscis.gov/files/form/i-9.pdf>
- **Affirmative Action Form:** Please note - The use of "unknown" is no longer an option for the Race/Ethnicity category. Link to form (*revised 2/2009*): <http://www.rochester.edu/provost/ir/index.html>
- **Intellectual Property Agreement Form:** Signed, original IPA should be forwarded to ORPA; a copy of the IPA should be included with original appointment packet as appropriate. Link to form (*revised 11/2009*): <http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- **Explanation of Full-Time vs. Part-Time:** Full-Time faculty are 1FTE and are entitled to full-time faculty benefits. Part-Time faculty are .5FTE to .99FTE and entitled to part-time faculty benefits. When dropping below .5FTE the faculty member's appointment changes to one with Clinical preceding his/her title; e.g. Clinical Assistant Professor, and there are no benefits associated with these ranks. Academic Affairs can make an exception to this last rule on a case-by-case basis (it does not, however, change the benefits association) – please contact our office.
- **Internal Letters of Recommendation:** Any faculty member with an appointment at the University of Rochester School of Medicine and Dentistry is considered "internal" – this includes all faculty with a "voluntary" faculty appointment.
- **Part-Time (or Departmental Fellow) changing to Full-Time:** Please note a Faculty Recruitment Form is required for any faculty member moving from a part-time (paid or non-paid) faculty position (or Departmental Fellow) to a full-time faculty position. Also, when going from part-time (or Departmental Fellow) to full-time a completed I-9, an IPA, and an affirmative action form are required, if not previously submitted.
- **Reappointment of Assistant Professor:** 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. Departmental review is considered one of the more important points in the academic career of junior faculty. Please see the following pages: 14, 26, and 27.



### Helpful Hints – continued.....

- **Departmental Fellow:** Departmental Fellow with a joint appointment as Instructor requires a letter of approval from the Office of Compliance (Fred Holderle) to practice outside of the training program.
- **Termination:** All 510s terminating faculty appointments must be routed to the Academic Affairs Office for the signature of the Senior Associate Dean for Academic Affairs. A letter of resignation is required for any faculty member at the level of Assistant Professor or higher. Also, in the "remarks" section of the 510 please indicate where the faculty member is going, if known.
- **Vacation Payout:** According to the Chief Financial Officer of the Medical Center, there is no payout of unused faculty vacation days.
- **eCV:** Beginning in July 2006, all full-time and paid part-time faculty are required to have an eCV in the database to process faculty actions (reappointments, promotions), including leave of absence (sabbatical) requests. Also, new faculty are required to have their cvs in the eCV database within 30 days of hire.
- Please note for new faculty requiring a Medical Staff appointment Physician Services will contact Academic Affairs to let us know the “file” is clear. Academic Affairs will then proceed with the faculty appointment.
- Website link to the SMD Regulations of the Faculty, (*revised October 2009*):  
<http://www.urmc.rochester.edu/smd/faculty-regulations.cfm>
- Website link to the UR Faculty Handbook, (*revised July 2008*):  
<http://www.rochester.edu/provost/FacultyHandbook>

**PROFESSOR and ASSOCIATE PROFESSOR\***

(Researcher-Teacher, Researcher-Clinician-Teacher, Teacher-Clinician-Scholar,  
Teacher-Institutional Scholar, and Clinician-Teacher)

and

**RESEARCH PROFESSOR**

**(These appointments require ad hoc committee review, MEDSAC Steering Committee approval,  
and University Board of Trustees approval.)**

• **APPOINTMENTS:**

- 1) Original signed offer letter
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (**Original plus one copy**)  
<http://www.rochester.edu/provost/ir/index.html>
- 4) **Copy** of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)  
<http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate  
Department Chair(s) and/or Center Director(s). (Include the faculty recruitment position  
number assigned by the Dean’s Office in the “remarks” section of the 500 form)

**ADDITIONALLY, YOU MUST PROVIDE FOUR COPIES OF ITEMS 6 - 10**

- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter (*for Research Professor, letter  
must identify funding source(s) for salary for the entire appointment period*)  
(For joint appointment(s) include recommendation letter from appropriate department  
chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>,  
regarding joint appointment conditions.)
- 8) Current Curriculum Vitae
- 9) Internal referee letters (4-8 - actual number depends on rank and option)  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time,  
all paid part-time and all voluntary faculty.)
- 10) External referee letters (4-8 - actual number depends on rank and option)
- 11) Selected reprints of most significant recent publications (3-5 from the last 3 years)  
(3 copies of each)

\*The requirements for academic part-time associate professors and professors are the same. Those  
faculty have previously been designated as such and their efforts are 50% or greater.

**PROFESSOR and ASSOCIATE PROFESSOR\***

(Researcher-Teacher, Researcher-Clinician-Teacher, Teacher-Clinician-Scholar,  
Teacher-Institutional Scholar, and Clinician-Teacher)

**GRANTING OF TENURE**

(Associate Professor (R-T) (R-C-T); Professor (R-T) (R-C-T) (T-C-S) (T-IS))

**RESEARCH PROFESSOR**

(These actions require ad hoc committee review, MEDSAC Steering Committee approval, and  
University Board of Trustees approval.)

• **PROMOTIONS:**

- 1) Faculty Personnel Action Form (#510)

**ADDITIONALLY, YOU MUST PROVIDE FOUR COPIES OF ITEMS 2-7**

- 2) Completed and signed Faculty Recommendation Form
- 3) Department Chair/Center Director recommendation letter (*for Research Professor, letter must identify funding source(s) for salary for the entire appointment period.*)  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 4) Current Curriculum Vitae  
(To ensure the promotion goes forward, our office must be able to verify that the faculty member's cv is complete in the e-CV database)
- 5) Internal referee letters (4-8 - actual number depends on rank and option)  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)
- 6) External referee letters (4-8 - actual number depends on rank and option)
- 7) Self-assessment of research (not required for C-T option)  
Self-assessment of teaching  
Peer evaluation of teaching (only one is required)
- 8) Selected reprints of most significant recent publications (3-5 from last 3 years) (3 copies of each)

\*The requirements for academic part-time associate professors and professors are the same. Those faculty have previously been designated as such and their efforts are 50% or greater.

**PROFESSOR and ASSOCIATE PROFESSOR\***

(Researcher-Teacher, Researcher-Clinician-Teacher, Teacher-Clinician-Scholar,  
and Clinician-Teacher)

**RESEARCH PROFESSOR**

**(These actions require MEDSAC Steering Committee approval and  
University Board of Trustees approval.)**

• **REAPPOINTMENTS:**

- 1) Faculty Personnel Action Form (#510)
- 2) Completed and signed Faculty Recommendation Form
- 3) Department Chair/Center Director recommendation letter (*for Research Professor, letter must identify funding source(s) for salary for entire appointment period.*)  
(For joint appointment(s) include letter of recommendation from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 4) Current Curriculum (To ensure the reappointment goes forward, our office must be able to verify that the faculty member's cv is complete in the e-CV database)
- 5) Internal referee letters (3-5 – actual number depends on rank and option)  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)
- 6) External referee letters (2-4 – actual number depends on rank and option)

\*The requirements for academic part-time associate professors and professors are the same. Those faculty have previously been designated as such and their efforts are 50% or greater.

**PROFESSIONAL SERVICE - PROFESSOR and ASSOCIATE PROFESSOR**  
(“of Clinical...”)

**VOLUNTARY FACULTY – CLINICAL PROFESSOR AND**  
**CLINICAL ASSOCIATE PROFESSOR**  
(No-Pay, TAR, or under .5FTE)

(For Professors of Clinical... and Clinical Professors MEDSAC Steering Committee approval is required.)

**Above actions also require University Board of Trustees approval**

• **APPOINTMENTS:**

- 1) Copy of the signed offer letter (professional service contract, when relevant), only required if faculty member is to be salaried
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (required for full-time faculty only) (**Original plus one copy**) <http://www.rochester.edu/provost/ir/index.html>
- 4) Copy of Intellectual Property Agreement Form (required for full-time or part-time salaried faculty only) <http://www.rochester.edu/ORPA/Forms/ipa.pdf> (Note: original should be forwarded to ORPA)
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Include the faculty recruitment position number assigned by the Dean’s Office in the “remarks” section of the 500 form for full-time faculty.)

**ADDITIONALLY, YOU MUST PROVIDE TWO COPIES OF ITEMS 6 – 9**

- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include letter of recommendation from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 8) Current Curriculum Vitae
- 9) Internal referee letters – Professor 3-5; Associate Professor 2-4  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)

**PROFESSIONAL SERVICE – PROFESSOR and ASSOCIATE PROFESSOR**  
**(“of Clinical...”)** and  
**VOLUNTARY FACULTY – CLINICAL PROFESSOR AND**  
**CLINICAL ASSOCIATE PROFESSOR**  
**(No-Pay, TAR, or under .5FTE)**

(For promotions to **Professors of Clinical... and Clinical Professors**, MEDSAC Steering Committee approval is required.)

**Above actions also require University Board of Trustees approval**

- **PROMOTIONS:**

**PLEASE PROVIDE TWO COPIES OF ITEMS 1-4**

- 1) Completed and Signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include letter of recommendation from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 3) Current Curriculum Vitae (To ensure the promotion goes forward, our office must be able to verify that the faculty member’s cv is complete in the e-CV database. This requirement is **only** for full-time and paid part-time faculty.)
- 4) Internal referee letters – Professor 3-5; Associate Professor 2-4  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)
- 5) Faculty Personnel Action Form (#510)

- **REAPPOINTMENTS:**

- 1) Department Chair/Center Director recommendation letter (2 copies)  
(For joint appointment(s) include letter of recommendation from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 2) Faculty Personnel Action Form (#510)

**NOTE:** Use above reappointment requirements for “grandfathered” Professor (part-time) and Associate Professor (part-time) – both with no declared option.

## **RESEARCH ASSOCIATE PROFESSOR**

**(For initial appointment, MEDSAC Steering Committee approval is required as well as approval by the University Board of Trustees)**

- **APPOINTMENTS:**

- 1) Copy of the signed offer letter
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (**Original plus one copy**)  
<http://www.rochester.edu/provost/ir/index.html>
- 4) Copy of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)  
<http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Include the faculty recruitment position number assigned by the Dean’s Office in the “remarks” section of the 500 form)
- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter  
(*Include information regarding the funding sources from which the faculty member’s salary will be paid throughout the term of the appointment.*)
- 8) Current Curriculum Vitae
- 9) Internal referee letters (3-5)  
(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)
- 10) External referee letters (3-5)

## **RESEARCH ASSOCIATE PROFESSOR**

**(For promotions, MEDSAC Steering Committee approval is required as well as approval by the University Board of Trustees)**

- **PROMOTIONS:**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter  
*(Include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment.)*
- 3) Current Curriculum Vitae (To ensure the promotion goes forward, our office must be able to verify that the faculty member's cv is complete in the e-CV database)
- 4) Internal referee letters (3-5)  
*(Internal referees are defined as any member of the University of Rochester faculty. Includes all full-time, all paid part-time and all voluntary faculty.)*
- 5) External referee letters (3-5)
- 6) Faculty Personnel Action Form (#510)

- **REAPPOINTMENTS:**

(Reappointments are approved by the Senior Associate Dean for Academic Affairs and require University Board of Trustees approval as well.)

- 1) Department Chair/Center Director recommendation letter (2 copies)  
*(Include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment.)*
- 2) Faculty Personnel Action Form (#510)

**ASSISTANT PROFESSOR**  
**(Full-Time and Part-Time)**

• **APPOINTMENTS:**

- 1) Copy of the signed offer letter
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (**Original plus one copy**)  
<http://www.rochester.edu/provost/ir/index.html>
- 4) Copy of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)  
<http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Include the faculty recruitment position number assigned by the Dean’s Office in the “remarks” section of the 500 form)

**ADDITIONALLY, YOU MUST PROVIDE THE FOLLOWING ITEMS:**

- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 8) Current Curriculum Vitae
- 9) Referee Letters (2-5) (actual number dependent on anticipated academic option, can be internal or external)

• **PROMOTIONS:**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook regarding joint appointment conditions, see above #7.)
- 3) Current Curriculum Vitae (To ensure the promotion goes forward, our office must be able to verify that the faculty member’s cv is complete in the e-CV database)
- 4) Letters of support (2-5) (actual number dependent on anticipated academic option)
- 5) Faculty Personnel Action Form (#510)

**ASSISTANT PROFESSOR**  
**(Full-Time and Part-Time)**

- **REAPPOINTMENTS:**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter for reappointment

(Refer to pages 9 and 10 in the Regulations of the Faculty:  
<http://www.urmc.rochester.edu/smd/academic-affairs.cfm>;

as well as Appendix D for further information on the departmental evaluation of Assistant Professors.)

(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)

- 3) Current Curriculum Vitae (To ensure the reappointment goes forward, our office must be able to verify that the faculty member's cv is complete in the e-CV database)
- 4) Referee Letters (2-5 – actual number dependent on selected academic option, can be internal or external)
- 5) Faculty Personnel Action Form (#510)

## **RESEARCH ASSISTANT PROFESSOR**

- **APPOINTMENTS:**

- 1) Copy of the signed offer letter
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (**Original plus one copy**)  
<http://www.rochester.edu/provost/ir/index.html>
- 4) Copy of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)  
<http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Include the faculty recruitment position number assigned by the Dean’s Office in the “remarks” section of the 500 form)

**ADDITIONALLY, YOU MUST PROVIDE:**

- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter  
(*Include information regarding the funding sources from which the faculty member’s salary will be paid throughout the term of the appointment.*)
- 8) Current Curriculum Vitae
- 9) Referee Letters – 1-2 (can be internal or external)
- 10) Faculty Personnel Action Form

**NOTE:** For promotions to the rank of Research Assistant Professor, please follow the guidelines above – numbers 6-10 and be sure the cv is in the eCV database.

- **REAPPOINTMENTS**

- 1) Department Chair/Center Director recommendation letter  
(*Include information regarding the funding sources from which the faculty member’s salary will be paid throughout the term of the appointment.*)
- 2) Faculty Personnel Action Form (#510)

**ASSISTANT PROFESSOR (Professional Service) (full or part time)**  
**SENIOR INSTRUCTOR, INSTRUCTOR (Academic or Prof. Service) (full or part time)**  
**SENIOR ASSOCIATE, ASSOCIATE, and ASSISTANT (full or part time)**

• **APPOINTMENTS:**

- 1) Copy of the signed offer letter (professional service contract, when relevant)
- 2) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 3) Affirmative Action Data Form (**Original plus one copy**)  
<http://www.rochester.edu/provost/ir/index.html>
- 4) Copy of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)  
<http://www.rochester.edu/ORPA/Forms/ipa.pdf>
- 5) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). ( For full time: Include the faculty recruitment position number assigned by the Dean’s Office in the “remarks” section of the 500 form)

**ADDITIONALLY, YOU MUST PROVIDE:**

- 6) Completed and signed Faculty Recommendation Form
- 7) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 8) Current Curriculum Vitae

• **PROMOTIONS:**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 3) Current Curriculum Vitae (To ensure the promotion goes forward, our office must be able to verify that the faculty member’s cv is complete in the e-CV database)
- 4) Faculty Personnel Action Form (#510)

• **REAPPOINTMENTS:**

- 1) Faculty Personnel Action Form (#510) (copy of the signed professional service contract, when relevant)

## VOLUNTARY FACULTY

(Clinical Assistant Professor, Clinical Senior Instructor, Clinical Instructor  
Clinical Senior Associate, Clinical Associate, and Clinical Assistant)  
(No Pay, TAR, or under .5FTE)

- **APPOINTMENTS:**

- 1) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)

Note: If there is any possibility of the faculty member receiving any salary, compensation, honorarium, etc., then the I-9 is required.

<http://www.uscis.gov/files/form/i-9.pdf>

Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)

- 2) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s).
- 3) Completed and signed Faculty Recommendation Form
- 4) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 5) Current Curriculum Vitae

- **PROMOTIONS:**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter  
(For joint appointment(s) include recommendation letter from appropriate department chair(s). Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 3) Current Curriculum Vitae
- 4) Faculty Personnel Action Form (#510)

- **REAPPOINTMENTS:**

- 1) Faculty Personnel Action Form (#510)

**PROFESSOR and ASSOCIATE PROFESSOR**  
**(full-time, part-time and voluntary)**

**RESEARCH PROFESSOR and RESEARCH ASSOCIATE PROFESSOR**  
**(full-time and part-time)**

(University Board of Trustees approved appointments)

**JOINT APPOINTMENTS**

- **APPOINTMENTS**

**PLEASE PROVIDE TWO COPIES OF ITEMS 1-3**

- 1) Completed and signed Faculty Recommendation Form
- 2) Joint Department Chair/Center Director recommendation letter  
Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.
- 3) Current Curriculum Vitae (our office must be able to verify that the faculty member's cv is complete in the e-CV database)
- 4) Faculty Personnel Action Form (#500 or #510)

**Please note: The primary department chair and secondary department chair must sign the 500/510 and the faculty recommendation form.**

- **REAPPOINTMENTS**

- 1) Joint Department Chair/Center Director recommendation letter (2 copies)  
Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.
- 2) Faculty Personnel Action Form (#510)

**Please note: The primary department chair and secondary department chair must sign the 510.**

**REMINDER:**

**Secondary appointments cannot exceed the term of the primary appointment. For tenured faculty, secondary appointments cannot exceed a term length of three years.**

**ASSISTANT PROFESSOR, RESEARCH ASSISTANT PROFESSOR,  
SENIOR INSTRUCTOR, INSTRUCTOR  
SENIOR ASSOCIATE, ASSOCIATE and ASSISTANT**  
(full-time, part-time and voluntary)

**JOINT APPOINTMENTS**

- **APPOINTMENTS**

- 1) Completed and signed Faculty Recommendation Form
- 2) Joint Department Chair/Center Director recommendation letter  
Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 3) Faculty Personnel Action Form (#500/#510)

**Please note: The primary department chair and secondary department chair must sign the 500/510 and the faculty recommendation form.**

- **REAPPOINTMENTS**

- 1) Joint Department Chair/Center Director recommendation letter  
Refer to the Faculty Handbook, <http://www.rochester.edu/provost/facresources.html#handbook>, regarding joint appointment conditions.)
- 2) Faculty Personnel Action Form (#510)

**Please note: The primary department chair and secondary department chair must sign the 510.**

**REMINDER:**

**Joint faculty appointments cannot exceed the term of the primary appointment.**

## ADJUNCT AND VISITING

- **APPOINTMENTS:**

- 1) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)

Note: If there is any possibility of the faculty member receiving any salary, compensation, honorarium, etc., then the I-9 is required.

<http://www.uscis.gov/files/form/i-9.pdf>

Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)

- 2) Copy of Intellectual Property Agreement Form (Note: original should be forwarded to ORPA)

<http://www.rochester.edu/ORPA/Forms/ipa.pdf>

- 3) Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s).

- 4) Completed and signed Faculty Recommendation Form

- 5) Department Chair/Center Director recommendation letter

- 6) **For Adjunct Associate Professor and Professor:** Internal referee letters (1-2)

- 7) Current Curriculum Vitae

**NOTE:** Adjunct and Visiting appointments should be for one year, but the appointment can be renewed if justified.

- **REAPPOINTMENTS:**

**Adjunct Faculty:**

- 1) For Adjunct Instructor through Adjunct Assistant Professor a chair's letter or the Adjunct Faculty Reappointment Form (see Appendix B) is sufficient.

- 2) For Adjunct Associate Professor and Adjunct Professor the Department Chair/Center Director letter is required together with the Adjunct Faculty Reappointment Form

- 3) Faculty Personnel Action Form (#510)

**Visiting Faculty:**

- 1) Department Chair/Center Director recommendation letter

- 2) Faculty Personnel Action Form (#510)

## **EMERITUS**

**(Professor Emeritus and Clinical Professor Emeritus)**

**(University Board of Trustees approved appointment)**

- **APPOINTMENTS:**

**PLEASE PROVIDE TWO COPIES OF ITEMS 1-3**

- 1) Completed and signed Faculty Recommendation Form
- 2) Department Chair/Center Director recommendation letter
- 3) Current Curriculum Vitae
- 4) Faculty Personnel Action Form (#510)

## DEPARTMENTAL FELLOW

- **APPOINTMENTS:**

- 1) Faculty Personnel Action Form (#500) (Please note: Faculty Recruitment form not required for Departmental Fellow appointments)
- 2) Completed and signed Faculty Recommendation Form
- 3) Department Chair/Center Director recommendation letter
- 4) Current Curriculum Vitae
- 5) Employment Eligibility Verification (I-9) Form (**Original plus one copy**)  
<http://www.uscis.gov/files/form/i-9.pdf>  
Attach legible copy/copies of proof of citizenship (U.S. Citizen) or work authorization (Non-U.S. Citizen)
- 6) Department must verify that the M.D. Departmental Fellow has a valid, current NYS Medical License – please provide proof with initial appointment packet. Also, please note that the end date of the appointment cannot exceed the term of their NYS medical license.

- **REAPPOINTMENTS:**

- 1) Faculty Personnel Action Form #510
- 2) Re-verify I-9 form if appropriate
- 3) Re-verify NYS medical license, if appropriate

**APPENDICES "A" THROUGH "G"**

**PAGES 24 - 32**

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

**Faculty Recommendation Form**

Candidate's Name:	
Department:	Unit (if applicable):
Affiliated Hospital (if applicable):	
Employee ID Number:	Citizenship:

**Proposed Action**

Appointment \_\_\_\_\_ Change in Appointment \_\_\_\_\_  
 Reappointment \_\_\_\_\_ Additional Appointment \_\_\_\_\_  
 Promotion \_\_\_\_\_

**PRIMARY APPOINTMENT**

Current Title:	
Proposed Title:	
Effective Date:	End Date:

**Specify Activity Option** (if applicable)

Researcher-Teacher \_\_\_\_\_ Teacher-Clinician-Scholar \_\_\_\_\_  
 Researcher-Clinician-Teacher \_\_\_\_\_ Teacher-Institutional Scholar \_\_\_\_\_  
 Clinician-Teacher \_\_\_\_\_ Professional/Service \_\_\_\_\_

**JOINT APPOINTMENT(S)** (for more than one joint appointment, attach second sheet)

Current Title:	
Proposed Title:	
Effective Date:	End Date:

**Remarks**

**Signatures**

Primary Department Chair \_\_\_\_\_

Joint Department Chair \_\_\_\_\_

## ADJUNCT FACULTY REAPPOINTMENT FORM

Name\_\_\_\_\_

Home Address\_\_\_\_\_

Primary Institution Affiliation\_\_\_\_\_

Title/Rank at Primary Institution\_\_\_\_\_

Business Address\_\_\_\_\_

End Date of Current Adjunct Appointment\_\_\_\_\_

1. Time spent teaching in the School of Medicine and Dentistry

A. Course(s)

B. Dates of participation

C. Hours

2. Time spent on-site doing research

A. Grants on which you are named principal investigator and faculty at the University of Rochester are named co-investigator (include title, agency, and grant period)

B. Grants on which you are named co-investigator (include title, agency, and grant period)

C. Other research collaboration

2. Other on-site activities

3. Comments

## **Appendix C**

Name of Candidate: \_\_\_\_\_

### **TEACHING**

#### Evaluation of Faculty Contributions to Teaching: Outline for Compilation

Essential Elements:

1. Faculty Member's Self-Assessment.
2. Peer Evaluation by faculty members, based on direct observation.
3. Written materials (syllabi, special initiatives, reports, etc.) pertaining to education.
4. Summary of student, resident, graduate student evaluations, obtained from data collected by the Offices for Medical Education or Graduate and Postdoctoral Education office, as appropriate.
5. Letter of recommendation from Department Chair/Center Director summarizing the quantity and quality of the faculty member's teaching.

Name of Candidate: \_\_\_\_\_

## RESEARCH/SCHOLARSHIP

Faculty Member's Self-Assessment of Research and/or Other Scholarly Contributions

**A self-assessment of published work assists reviewers by providing the candidate's perceptions and by serving as a starting point for the reviewers' evaluations. Please select up to five papers summarizing in two to three sentences the specific contribution each has made to the advancement of the field. The citations and the annotation for each should be single-spaced and limited to one page.**

Name of Candidate: \_\_\_\_\_

## TEACHING

### Faculty Member's Self-Assessment of Teaching Contributions

**Please discuss each item; limit your comments to this page.**

1. Your involvement in teaching medical students, graduate students, and participation in continuing professional education. For each activity, indicate extent of involvement, for example, hours or weeks of teaching duties per year.
2. Your involvement in student advising, school applicant interviews, and education-related committee work.
3. Your general teaching philosophy and objectives, your general learning objectives for students, and your teaching strategies, methods, resources used (submit sample syllabi, lecture handouts, or other similar materials).

Name of Candidate: \_\_\_\_\_

Name of Evaluator: \_\_\_\_\_

## **TEACHING**

### Peer Evaluation of Teaching Contributions

An excellent teacher is enthusiastic, knowledgeable and capable of conveying key information in an engaging, challenging manner which invites questions. Such an individual is responsible for timely feedback and, when serving as an advisor, commits to responsible ongoing oversight of the progress of the student's development. Please provide a commentary considering these and other points which will specifically identify the quality of the candidate's teaching. Limit comments to this page.

## Appendix D

Date: August 15, 2004

To: Department Chairs and Center Directors

From: Richard I. Burton, M.D.

Re: Procedure for Evaluation of Assistant Professor Prior to First Reappointment

Two years ago, the Dean's Office instituted the process for conducting the required review of assistant professors at the end of their first term, and for communicating this evaluation to individual faculty. At that time, the Dean's Office, Department Chairs, and Center Directors agreed that such letters are to be prepared by chairs, center directors (or both when appropriate) since they are most familiar with the faculty member's academic accomplishments, professional contributions, and plans for the future. This plan was initiated on October 1, 2002, with the sequence of steps outlined as follows:

- During the last year of the initial appointment (i.e. the third or fourth year), the faculty member should meet with the Chair (Center Director or both) for a detailed review of his or her academic progress. It may be desirable, when appropriate, to include the relevant Unit or Division Chief in such a meeting.
- An up-to-date copy of the candidate's CV, a minimum of three letters of recommendation (usually internal) and copies of any available teaching evaluations should be obtained.
- The Chair (and Center Director) should prepare a summary letter, addressed to the Senior Associate Dean for Academic Affairs (SADAA), which should include the following elements:
  - ✓ A brief description of the candidate's graduate educational background, specialty training, research training, board certification and experience, as appropriate.
  - ✓ A brief description of the faculty member's original goals and responsibilities, based on the original offer letter, and his/her subsequent activities in the areas of education, research, clinical and/or administrative service, as appropriate.
  - ✓ An assessment of the candidate's academic achievements, professional contributions, progress in achieving his/her goals, and success in integrating his/her activities within the department or center. This critical assessment should be done in the context of the candidate's chosen activity option, which, as you know, must be specified at this time, at the latest.
  - ✓ A final paragraph summarizing the candidate's performance to date. This summary should also include, when warranted, specific recommendations to the candidate for further actions in any area of academic endeavor that should be pursued during the second term of his/her appointment to assure subsequent promotion in the designated option.

- ✓ The letter should conclude with a sentence recommending reappointment and, in addition to the chair's signature, should include a line for the Dean's signature. In accordance with our *Regulations of the Faculty*, the letter must show that the candidate is to receive a copy.
- The entire reappointment packet should then be sent to the SADAA. If, after review, the SADAA concurs with the evaluation, he/she will present the letter to the Dean for signature. Should the SADAA have questions or disagreements with any aspect of the chair's letter, such issues should be resolved and changes made, as appropriate, prior to presenting the letter to the Dean for signature.

Over the past months, these letters have less and less often included all these items. For academic, legal, and human resource reasons, it is very important to consistently adhere to this format. Thank you very much for your cooperation and for your assistance with this.

cc: Kenneth E. DeHaven, M.D.  
C. McCollister, Evarts, M.D.  
Howard J. Federoff, M.D., Ph.D.  
Tana Grady-Weliky, M.D.  
David S. Guzick, M.D., Ph.D.  
Paul L. LaCelle, M.D.  
Thomas A. Pearson, M.D., Ph.D.

## Appendix E

### UNIVERSITY OF ROCHESTER SCHOOL OF MEDICINE AND DENTISTRY

---

#### A “FAST TRACK” PROCESS FOR PRELIMINARY REVIEW OF PROPOSED NEW SENIOR FACULTY APPOINTMENTS

---

##### A. JUSTIFICATION:

- When recruiting candidates for senior faculty appointments (i.e. assoc. professor and professor) in either basic or clinical sciences, the pool of viable candidates is frequently small, recruitment processes and negotiations may be protracted and, once a candidate accepts the offer, timelines for meeting a mutually desirable appointment start date are frequently short.
- Because of the above, an initial appointment as “Interim Professor” has often been used as a mechanism to allow the faculty member to be placed on the University of Rochester payroll and begin working, while awaiting the assembly and final review of all required appointment materials by the ad hoc and Steering Committees.
- Frequent use of such a mechanism creates problems -- among them:
  - It anticipates and presumes endorsement by the ad hoc and Steering committees of a permanent appointment in the exact rank and option stipulated in the offer letter.
  - It has the potential for creating significant conflicts within these committees. Steering Committee members often feel conflicted, as they try to make objective judgments and recommendations free of bias, given that the prospective faculty member may have already agreed to the rank/option stipulated in the letter, and in some instances may have already relocated to Rochester. Not uncommonly, differences of opinion emerge among committee members with respect to rank, tenure or activity option vis-à-vis what the department and/or the Dean specified in the offer letter.

The process outlined below is designed to minimize these conflicts. The proposed approach takes advantage of the Dean’s office accumulated experience and expertise in offering to department chairs and center directors an informal assessment of the candidate’s academic credentials for the proposed rank/option prior to the completion of the recruitment process. The goal is to increase the likelihood that provisions in the final offer letter with respect to rank and option will be more consistent with what the ultimate recommendation of the ad hoc and Steering Committees might be.

**B. PROCEDURE:**

1. Before an offer letter for a senior faculty appointment (i.e. associate professor or professor) in any of the four academic options is finalized, the department chair and/or center director will submit to the Deans' office (i.e. Senior Associate Dean for Academic Affairs (SADAA)) the following:

- A brief memo summarizing: (a) key elements in the candidate's current position, research interests, special expertise and academic/professional contributions; (b) the candidate's proposed role in the department and medical center with emphasis on the importance of the recruitment in meeting major programmatic, clinical, and/or research needs; (c) the candidate's proposed rank, option, and (when applicable) anticipated administrative leadership role.
- An up-to-date copy of the candidate's CV.
- Three internal and three external letters of recommendation.

*Note: This requirement should be easily met. For the former, internal memos to the chair from individuals who may know or who have interviewed the candidate during visits are an appropriate substitute. For the latter, the department should already have on hand the customary three letters of recommendation in conjunction with the candidate's initial application.*

2. Upon receipt, the SADAA will review the above material and then either: a) make a recommendation, within one week, with respect to the proposed rank and activity option or any other issue that may need to be addressed by the department prior to constructing the final offer letter; or b) ask one or two members of the Steering Committee (SC) to review the material and make a recommendation to the SADAA within one week. The SADAA will transmit the above (anonymized) recommendation to the department chair/center director. This recommendation may be made via CONFIDENTIAL e-mail and, if the chair agrees, he/she will incorporate the SADAA's recommendation in the offer letter.
3. Once the candidate accepts the offer, in writing, the department will promptly initiate the process for assembling the full complement of materials for the normal appointment process. When the complete dossier is received in the Deans' office, the SADAA will appoint the customary 3-member ad hoc committee, chaired by the SC member who served in the fast-track process.

(rev 1/2007)

**Appendix F**

**SCHOOL OF MEDICINE & DENTISTRY**

**Job Codes and Faculty Titles**

<b><u>JOB CODE</u></b>	<b><u>FACULTY TITLE</u></b>
0001	Professor
0003	Associate Professor
0005	Assistant Professor
0007	Senior Instructor
0009	Instructor
0046	Professor of Clinical
0048	Associate Professor of Clinical
0060	Assistant Professor of Clinical
0072	Senior Instructor of Clinical
0080	Instructor of Clinical
0038	Research Professor
0040	Research Associate Professor
0042	Research Assistant Professor
0006	Associate Professor (Service)
0008	Assistant Professor (Service)
0010	Senior Instructor (Service)
0044	Instructor (Service)
0070	Senior Associate
0071	Associate
0073	Assistant
0099	Departmental Fellow
0037	Adjunct Professor
0039	Adjunct Associate Professor
0041	Adjunct Assistant Professor
0043	Adjunct Senior Instructor
0045	Adjunct Instructor
0047	Visiting Professor
0049	Visiting Associate Professor
0057	Visiting Assistant Professor
0059	Visiting Senior Instructor
0061	Visiting Instructor

**SCHOOL OF MEDICINE & DENTISTRY**

**Job Codes and Faculty Titles (cont'd)**

<b><u>JOB CODE</u></b>	<b><u>FACULTY TITLE</u></b>
0027	Clinical Professor
0029	Clinical Associate Professor
0031	Clinical Assistant Professor
0033	Clinical Senior Instructor
0035	Clinical Instructor
0076	Clinical Senior Associate
0074	Clinical Associate
0036	Clinical Assistant
0117	Interim Professor (Professor Pending-Approval)
0118	Interim Associate Professor (Associate Professor-Pending Approval)

**Appendix G**

July 29, 2003

**MEMO TO:** Department Chairs and Center Directors  
Department Administrators

**FROM:** David S. Guzick, M.D., Ph.D.

**RE:** Full-Time Faculty Offer Letters

This is a reminder that the policy for signing faculty offer letters has not changed. Signatures are required from (1) the recommending Department Chair and/or Center Director; and (2) the Dean of the School of Medicine and Dentistry. This policy applies to full-time, salaried faculty at all ranks.

From time to time, it is advantageous to reinforce current policy to be certain that information remains consistent. In the event you have questions or concerns, please do not hesitate to contact me.

c: Richard I. Burton, M.D.  
Cathi Gray

br