

INTRODUCTION

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, education, and community partnerships 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 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 components 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 (rev. July 2014)

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 center director*) 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 appointment or promotion to Associate Professor or 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 for Health Sciences, 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 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.

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. 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.

**All faculty in Medical School–level Centers 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 and all school-level center directors and similar-level leaders. 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 academic-appointed faculty to associate professor or above and to full professor.

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 18.

The Medical Faculty Council (MFC) is a committee of MEDSAC whose membership comprises faculty representatives from each basic science and clinical department of the School of Medicine and Dentistry. 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.

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, providing ample time for faculty to pursue those activities that are most appropriate for promotion in their chosen career path.

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 the School 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. 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 in the various activity components 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 components they have chosen for their academic development. It is understood that faculty in any given appointment and career path, although contributing to all the goals of their relevant activity components, may vary in their relative contributions to each component, but will demonstrate excellence in the various types of academic and professional activities so encompassed. 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 component. 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 components of professional activity have been established and are described below, 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 activity components. Thus all appointment types and activity components are necessary for the goals of the Medical Center, and no one of them 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, allied health professionals, community members, or other relevant constituents. The specific combination of teaching responsibilities will be established in discussion between the faculty member and the department chair.

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 path and activity components 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, informing ongoing and future mentoring and faculty development activities to help the faculty member reach her/his mutually agreed-upon goals. 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 solely for the purpose of completion of pertinent discussion.

Tenure Appointments (rev. July 2014)

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 based on accomplishments in the components of Research, Scholarship, or Institutional Scholarship, as described more fully below.

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.