



**FACULTY HANDBOOK**

**OF**

**PROCEDURES AND POLICIES**

**Endorsed by the University Senate  
July 30, 2008**

## **MISSION**

To serve the nation through the education of health and biomedical professionals and the discovery of knowledge dedicated to improving the health of its people.

## **VISION**

Together with its partners, the University will be recognized as an established academic health sciences center serving a diverse nation with excellence and innovation in education of health and biomedical professionals, knowledge creation and scientific discovery focused on prediction and prevention of disease, clinical programs and community service.

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# **Part I: PROCEDURES REGARDING FACULTY POSITIONS**

## **INTRODUCTION**

This document is an appendix to the University Faculty Bylaws and contains details of policies and procedures described in that document. In the event of any conflict between the two documents, the University Faculty Bylaws shall govern.

## **A. APPOINTMENTS AND REAPPOINTMENTS**

A proposal of an appointment to a full-ranked academic faculty position will be tendered by a letter issued by the Chair of the department in consultation with the Dean of that school. The letter of offer will elaborate the respective initial departmental duties for teaching, research and other scholarly activity, and clinical or University service; describe the space assignment, specify the salary, the length of appointment (see specific academic ranks) and any other special arrangements and will state whether the appointment is on a tenure or non-tenure track. Upon acceptance by the faculty candidate, the candidate's credentials will be assessed by the procedure described in the following paragraph.

Every recommendation for appointment or promotion to a full or "Clinical" or "Adjunct" prefixed academic rank shall first be submitted by the Chair of the department to the Dean of the school. With approval by the Dean, each such recommendation will then be considered by an appropriate faculty committee, which shall be provided for in each school's bylaws. Upon conclusion of the appropriate committee's deliberations, the recommendations shall be transmitted through the Dean of the school to the Vice President for Faculty Affairs, and finally, in writing, to the President of the University. Upon approval by the President of the University and the Board of Trustees, an appointment or promotion shall be made by letter, signed by the President, setting forth the terms and conditions. In the case if a new appointment, these terms and conditions are those in the original offer to the prospective faculty member, unless stated otherwise.

Appointments to the title of Lecturer, a professorial rank with the prefix "Visiting" or "Research" and second appointments require only the approval of the respective chair(s) and dean(s) prior to transmittal to the Vice President for Faculty Affairs and appointment by the President.

In the case of a renewed or continuing appointment, terms and conditions of the appointment shall be given in writing to the faculty member prior to the first of July of each academic year by the President of the University.

## B. PROMOTIONS AND TENURE

All promotions and tenure awards shall become effective upon approval of the Board of Trustees. Final notification of the appointment will be by letter to the faculty member signed by the President of the University.

Promotions and tenure awards are based primarily upon evaluation of performance in three areas: (1) teaching, (2) research, and (3) professional service.

- **Teaching:** Documentation should be provided that indicates the candidate's teaching load in terms of number of hours presented and number of students in relationship to departmental standards. Roles in teaching innovation, course design and organization, development of teaching materials, and other similar scholarly activities should be described. Authorship of a text or articles in educational journals is an important item of support. Student evaluations and additional evaluations by faculty who have directly observed the candidate's performance should be included. If a candidate is presented for promotion to Associate Professor on the primary basis of outstanding contributions in the area of teaching, the documentation should be particularly rigorous. With a promotion to the rank of full Professor, a candidate with a primary effort in teaching must be recognized at the national level. This could include service on site visit teams for teaching programs, appointment to educational committees of national organizations, invitation as a participant in education symposia, membership on editorial boards of educational journals, and other activities that clearly require superior performance in education.
- **Research:** There must be evidence that the candidate is continuously and effectively engaged in scholarly activity of high quality. Account shall be taken of the type and quality of creative activity normally expected in the candidate's field. Documented evidence must be provided of genuine scholarship, productivity, and creativity in such form as published works or recognized creative production. Other viable factors for consideration are awards received, acquisition of research funds through competitive grant mechanisms, invited participation in symposia, the commission of reviews, referee activities, and all such other sources deemed relevant. Appraisals of publication or other works in the scholarly and critical literature provide important testimony. When published work is in joint authorship (or another product of joint effort is considered), it is the responsibility of the departmental chair to establish as clearly as possible the role of the candidate in the joint effort. Publication of research and other creative accomplishments must be evaluated, not merely enumerated. If the record of the candidate includes journal articles, monographs, and/or specialty texts and chapters, it is the responsibility of the chair to communicate clear information concerning the publication and review standards of the journal and its standing in the discipline. Work in progress should be assessed whenever possible. In addition, the department must solicit evaluations from acknowledged scholars at other institutions.

If the record of the candidate includes presentations, invited and/or subject to peer evaluation, it is the responsibility of the chair to communicate clear information concerning the standards involved. In certain disciplines in which competitive grant and contract support is available, a record of continuous support would be an indication of recognized research ability and productivity. Other viable factors for consideration are awards received, acquisition of research funds through competitive grant mechanisms, participation in invitational symposia, the commission of reviews, referee activities, and all such other sources by which the candidate's ability may be judged.

In cases involving a tenure review by the University Credentials and Tenure Committee, the submitted documentation must include the following:

1. A maximum of 5 reprints of salient published research reports;
  2. a one-page summary of the candidates research program;
  3. the ranking and/or impact of the journals in which the candidate has published, and, where appropriate, the statement about the citation index of recent work; and
  4. three letters from advisors, colleagues or current collaborators, with at least two having no affiliation with the University.
  5. If the candidate is seeking tenure with a stress on research, three Letters of support from recognized research scientists in the field and having no affiliation with the University must also be included. These reviewers should be tenured or the equivalent, and at the associate professor rank or higher, but should not have been doctoral or postdoctoral advisors, or collaborators in the previous five years. The letters should comment on the appropriateness of the candidate's curriculum vitae and the quality of the candidate's research efforts.
- **Professional Service:** The Faculty has a vital role in the governance of the University and in the formulation of its policies. Effective service in this regard is expected of all faculty members and should be documented by letters from committee chairs or committee members, if the candidate is chair of a committee. Recognition should be given to scholars who participate effectively and productively in faculty governance and in the formulations of departmental and University policies. Similarly, contributions to student welfare through service on student-faculty committees, as an advisor to student organizations, or as a contributor to the promotion of cultural pluralism of the University should be considered. Recognition also should be given to contributions furthering the cultural and intellectual atmosphere of the University.

Providing clinical care is considered a service function at the University. An

environment of clinical excellence, as perceived by patients, students, house staff, faculty, and the public, is necessary for teaching students. Skillful clinical work, reflecting knowledge, judgment, respect, compassion, and altruism of the faculty in their relationships with patients and colleagues should be considered in promotion decisions. Candidates also may demonstrate their service contributions through effective participation at the community, state and/or national professional level, and/or governmental level through membership on accreditation teams, on extramural grant review boards, as an officer of a professional organization, or as a professional consultant for public benefit.

The candidate's professional service activities should be scrutinized rigorously for evidence of achievement and leadership in the field and in the development or utilization of new approaches and techniques for the solution of professional problems. Evidence must be provided of the quality of the service rendered, including evaluations by persons or agencies served.

Tenure track faculty who have achieved the rank of Associate Professor or Professor, and have not been previously tenured, are eligible to be considered for tenure by the appropriate academic committee in their respective schools following a period of seven years of continuous appointment to the University. (See Tenure Track Faculty Advancement Pathway)

The Dean of the school, upon petition of the eligible faculty member, shall initiate this review. The faculty member may decline this opportunity for tenure review; however, the option for a subsequent tenure review may be considered after this seven-year period on a yearly basis. A negative decision does not limit future consideration for tenure, up to a 9-year time limit following continuous appointment at the University. Extension beyond this 9-year time limit may be allowed for extenuating circumstances, following petition made by the faculty member to the Dean and the Vice President for Faculty Affairs. A faculty member not receiving tenure by the 9th year may continue to be reappointed as described in Section 5:1-03 of the University Faculty Bylaws.

### **C. NON-REAPPOINTMENT**

When a decision to terminate a non-tenured faculty member by not renewing an appointment has been reached, the faculty member involved will be informed of that decision in writing by the Dean of the School (see below). The faculty member will be advised by a request to the Chair of the basis for that decision, and may request its reconsideration by the Dean.

A faculty member may request the Faculty Affairs Committee to review a termination decision in terms of adequate consideration of the relevant standards of the University. However, it is the responsibility of the faculty member to indicate that area(s) which s/he believes has not been adequately considered. If the Faculty Affairs Committee concludes that adequate consideration was not given, it will request reconsideration of the decision by the Dean, indicating the respects in which it believes the judgment may

have been inadequate. It will provide copies of its findings to the faculty member, the Chair, the Dean of the school, and the Vice President for Faculty Affairs.

Faculty members will be advised by the Chair in writing at the time of initial appointment and, for non-tenured faculty, every year thereafter, of the substantive standards and procedures employed in decisions affecting appointment renewal and the awarding of tenure. Regardless of the stated term, or other provisions of any appointment, written notice that an appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as detailed in the University Faculty Bylaws.

#### **D. TERMINATIONS**

**Termination for Cause:** Incompetence, moral turpitude, neglect of duty, commission of a felony, misconduct in office, or academic misconduct including scientific misconduct shall constitute just cause for termination of a faculty member.

A written charge or charges supported by evidence shall be brought by the Dean of the school to the Vice President for Faculty Affairs. The Vice President for Faculty Affairs may prepare formal charges and present them to the Faculty Affairs Committee of the University Senate and the faculty member being charged. The Faculty Affairs Committee may act as an investigating committee, or appoint an ad hoc investigating committee of at least five members to investigate the charges.

The investigating committee examines the case, questioning the faculty member being charged and such other persons as the committee or the faculty member may desire. In the hearing of charges of incompetence, the testimony should include that of teachers, students, and other scholars, either from the University or from other institutions, or both. The proceedings of the investigating committee, receipt of documents or testimony are not bound by the strict rules of evidence. At the conclusion of its deliberations, the investigating committee shall formulate a report summarizing its findings on the charges and shall make a recommendation of the action to be taken. The investigating committee reports these findings to the Faculty Affairs Committee. The Faculty Affairs Committee deliberates on these findings and makes a recommendation to the Vice President for Faculty Affairs. The faculty member being charged, the chair of the Faculty Affairs Committee, and the Vice President for Faculty Affairs will receive a copy of the recommendation, together with a written transcript of the full record of all testimony given. The Vice President for Faculty Affairs considers the recommendation of the Faculty Affairs Committee, determines its merit, makes a written recommendation to the President of the University, and transmits a copy to the faculty member being charged. No action upon the recommendation of the Vice President for Faculty Affairs and the written record will be taken for 14 days. The faculty member being charged has the right to appeal the recommendation of the Vice President for Faculty Affairs, but not later than 30 days of its receipt by submitting additional evidence to the President of the University. The President shall inform the faculty member of the final recommendation and convey this recommendation along

with the charged faculty member's appeal to the Board of Trustees, who makes the final decision. The President, who executes the will of the Board of Trustees, conveys the decision to the faculty member.

Nothing in this statement of procedure should be construed as preventing the faculty member being charged from having a legal counselor present as an advisor at any and all hearings.

A faculty member under investigation may be relieved by the Vice President for Faculty Affairs of any or all duties in the University pending final decision as to dismissal; salary, benefits and faculty privileges will continue during this period of relieved duties. Such relief from duty shall not be considered a sanction.

If the charges prove to be unfounded, all references to the incident will be expunged from the faculty member's record, the faculty member will receive a letter of exoneration from the Vice President for Faculty Affairs and no record of the proceedings will be kept in the school archives.

**Termination for Financial Exigency:** The existence of a financial exigency which might lead to the termination of tenure may occur under extraordinary circumstances because of a demonstrably bona fide financial emergency, i.e., an imminent financial crisis which threatens the survival of the institution as a whole and which cannot be alleviated by less drastic means. A state of financial exigency shall be determined by the Board of Trustees. In adopting regulations on financial exigency, the administration will need to decide how to share and allocate the judgments and decisions that are necessary in such a crisis. As a first step, the Senate Council will participate in a discussion with the President's Cabinet of all feasible alternatives to termination of tenured appointments.

Before the administration issues notice to a faculty member of its intention to terminate a tenured appointment because of financial exigency, the institution will make every effort to place the faculty member concerned in another suitable position. When a tenured appointment is terminated because of financial exigency, the position of the released faculty member shall not be filled by an appointee for a period of two years unless the released faculty member has been offered reappointment, and after a time of 60 days for consideration, has declined the offer.

**Termination for Elimination of Program:** Elimination of an institutional program or academic organizational unit requires full consideration by the administration (President, Vice President for Faculty Affairs, and Dean of the respective school), in consultation with the Senate Council. The deliberations shall be guided by the criteria and procedures established for consideration of proposals for new programs, substantive program changes, or program elimination. The administrators shall report their findings to the University Senate. A minimum of 30 days for faculty discussion shall be afforded before the President makes a recommendation to the Chairman of the Board. The program or unit to be eliminated shall be afforded an opportunity to appeal such

recommendation to the President before the matter is presented to the Board of Trustees.

Under certain circumstances, elimination of an institutional program or academic organizational unit can lead to termination of tenured faculty members. Before a decision to terminate tenure is made, a reasonable effort must be made to relocate a faculty member whose position is to be terminated in another unit of the University in which it is mutually agreed that the faculty member can make a substantive contribution. Termination of tenure under such circumstances requires a full consideration by the Faculty Affairs Committee of the University Senate, which shall seek assurance that a genuine effort has been made to relocate the faculty member, and that proper standards and notices will be observed. The Faculty Affairs Committee shall report its findings to the University Senate and to the Vice President for Faculty Affairs. The Vice President for Faculty Affairs will convey these findings to the President. An opportunity for faculty discussion shall be afforded before the President makes a recommendation to the Chairman of the Board. In addition, the faculty member whose position is to be terminated shall be afforded an opportunity to appeal such recommendations to the President before the matter is presented to the Board of Trustees.

If no position is available within the institution, the faculty member's appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member's length of past and potential service.

The salary for a tenured faculty member, who is dismissed for reasons not involving moral fitness or financial exigency (see University Faculty Bylaws), will continue to be paid by the University for the remainder of the academic year.

## **E. IMPOSITION OF SANCTIONS**

If the Dean of the school decides the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service or loss of salary for a stated period of time, the Dean shall inform the Vice President for Faculty Affairs. The Vice President for Faculty Affairs shall direct the Faculty Affairs Committee to investigate the charges and make a written recommendation, which shall be given to the charged faculty member. The Vice President for Faculty Affairs shall make a final decision based on this information. The charged faculty member has the right to appeal within 14 days of the decision by submitting additional evidence to the President of the University. The President will inform the faculty member in writing of the final decision.

If the charges prove to be unfounded, all references to the incident will be expunged from the faculty member's record, the faculty member will receive a letter of exoneration from the Vice President for Faculty Affairs and no record of the proceedings will be kept in the University or School archives.

## **F. IMPOSITION OF REPRIMANDS**

If the Dean of the school believes the conduct of a faculty member justifies a reprimand to be placed on the record, the Dean will notify the faculty member of the basis of the proposed action. The faculty member will be provided with an opportunity to appeal to the Vice President for Faculty Affairs that the proposed reprimand should not be imposed. If a faculty member believes the reprimand has been unjustly imposed, a petition may be made to the Faculty Affairs Committee for such action as may be appropriate. The Faculty Affairs Committee will report its recommendation to the Vice President for Faculty Affairs. The Vice President for Faculty Affairs will make a final decision after consideration of the recommendation of the Committee. If the charges prove to be unfounded, all references to the incident will be expunged from the faculty member's record, the faculty member will receive a letter of exoneration from the Vice President for Faculty Affairs and no record of the proceedings will be kept in the University or School archives.

## **G. ACADEMIC FREEDOM AND TENURE**

Academic freedom includes the right of dissent, since any democratic institution ceases to merit the name democratic when this fundamental right is denied. This obligation is imperative, and universities have a tradition and a duty to maintain an independence of judgment in the face of contrasting public opinion. Limitations to academic freedom because of religious or other aims of the University should be clearly stated in writing at the time of the initial appointment.

Tenure is an indispensable pre-condition for academic freedom and a guarantee that a faculty member shall not be dismissed without adequate cause.

Termination of tenure should occur only under those conditions stated in Section 5: 2-02 of the University Faculty Bylaws. However, there are recognized qualifications that must be attained and maintained before the privilege of being a member of the academic profession can be considered a permanent one. These include satisfactory performance as a teacher, a scholar, and an individual with high moral standards.

## **H. SABBATICAL LEAVES**

An application from a faculty member for a sabbatical leave should contain the following items:

1. A statement as to the purpose of the sabbatical leave;
2. A current curriculum vitae;
3. A letter from the offsite location where the time will be spent that confirms the availability of the resources needed for the proposed activity, and be submitted to the Chair of the department at least three months prior to the start of the proposed sabbatical. If approved, the Chair will add a letter to the file stating that

the faculty member is released from all teaching and departmental administrative obligations during the proposed sabbatical period and forward the application to the Dean of the school. If approved, the Dean will add a letter to the file stating the faculty member is released from all obligations to the school during the sabbatical period and forward all of the documents to the Sabbatical Leave Committee of the University Senate, which then makes a recommendation to the Vice President for Faculty Affairs of the University, who in turn, makes a recommendation to the President of the University. The final decision will be conveyed to the faculty member by a letter signed by the President of the University.

## **Part II: FACULTY TITLES AND RANKS**

## **A. TENURE TRACK FACULTY**

Faculty in the Tenure track include continuing, full-time faculty of the University who are engaged in broad scholarly activities, including research, teaching, and service. Ranks included in the Tenure track include Instructor, Assistant Professor, Associate Professor and Professor of their respective disciplines, although tenure may be granted only to those who have achieved the rank of Associate Professor or Professor.

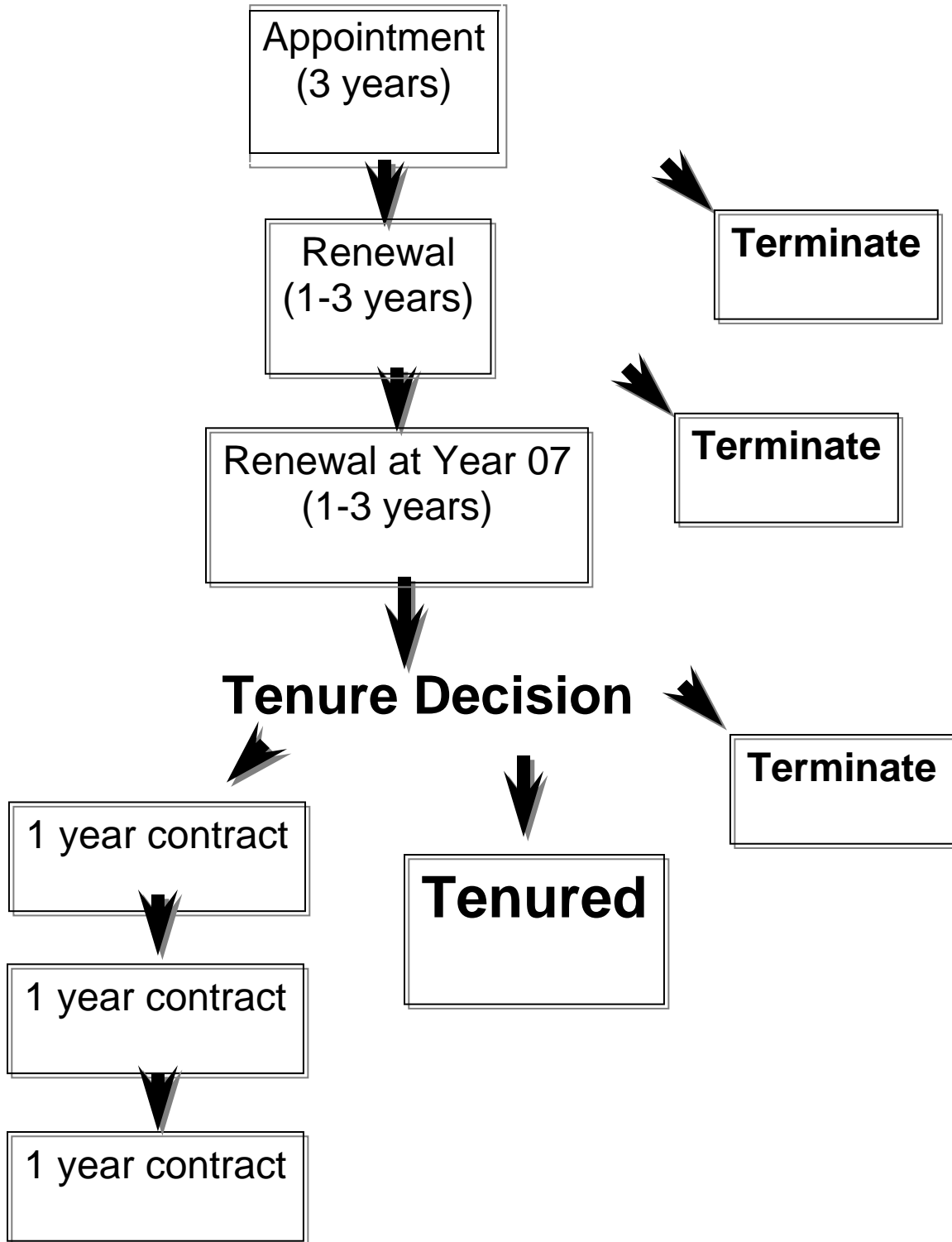
Tenure track faculty shall be considered to be “full-ranked” faculty and shall have the rights and responsibilities of a faculty member, including eligibility to serve in the Senate and other faculty committees.

Terms of appointment are defined in the Faculty ByLaws and may extend from one to three years.

### Advancement Pathway for Tenure Track Faculty.

The advancement pathway for Tenure Track faculty is shown in Figure 1 below. An initial appointment may be given for one to (typically) three years. Near the end of the second year the chair will decide whether to terminate the appointment after three years or to reappoint the faculty member for another term of one to three years. Prior to the sixth year, the chair will decide whether to extend the appointment for a third time. During the seventh or eighth year the chair will typically decide to recommend the faculty member for tenure consideration. If tenure is approved the faculty member needs no further reappointment. If tenure is not approved the chair may decide to terminate the faculty member at the end of that appointment period. Alternatively the chair may decide that the faculty member, even though failing to attain tenure, is still of value to the mission of the department and may continue their employment with a two year renewable contract. Such a contract may be renewed, but the faculty member would no longer be eligible for tenure.

# Tenure Track Faculty Advancement Pathway



\*Timing of Tenure consideration could be delayed by a clock stopping provision for maternity, paternity, or other life interruption.

## **B. CLINICAL EDUCATOR TRACK FACULTY**

Appointment of a faculty member within the Clinical Educator Track category is applicable to full-time or core part-time, non-tenured, clinical faculty who are primarily engaged in patient care and teaching. ("Core" part-time Faculty refers to part-time faculty whose direct and indirect contributions to the University constitute at least half of their professional effort.) Faculty in this track are paid either directly by the University or paid indirectly by the University through its affiliated clinical entities. Ranks included in the Clinical Educator track include Instructor, Assistant Professor, Associate Professor, and Professor of their respective disciplines.

Clinical Educator Track faculty shall be considered to be "full-ranked" faculty and shall have the rights and responsibilities of a faculty member, including eligibility to serve in the Senate and other faculty committees. Clinical Educator track faculty are not eligible for tenure.

Terms of appointment are defined in the Faculty ByLaws and may extend from one to three years.

## **C. PART-TIME OR VOLUNTEER FACULTY**

The University recognizes the contribution to its programs of faculty whose major time commitments may be to private practice or to other institutions but who serve the University on a voluntary or part time basis.

Clinical Prefix: Part time or Volunteer faculty include those who are:

1. Registered or certified nationally or licensed in the State of Illinois in the health professions (such as psychologists, physical therapists, medical technologists, etc.; or
2. Licensed to practice medicine, or eligible for licensure in the State of Illinois, or otherwise complying with the State of Illinois Medical Practice Act.

Such faculty may be given the ranks of Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor of their respective discipline.

Adjunct Prefix: Part time or Volunteer persons who are non-clinical members of the faculty. Such faculty may be given the rank of Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor of their respective disciplines.

Adjunct and Clinical faculty are not eligible for tenure or for membership in the Faculty Senate. Such faculty are appointed on one year terms which may be renewed.

## **D. RESEARCH TRACK FACULTY**

Research track includes full time faculty of the University whose primary commitment to the University is in research. Generally these persons are paid from grant or specified research funds. Faculty in this track are not tenure eligible, are not eligible for Senate membership, and serve on renewable one year appointments. Faculty ranks in this track may include Research Assistant Professor, Research Associate Professor, or Research Professor.

## **E. VISITING FACULTY**

Visiting faculty are temporary members of the faculty who are scholars visiting the University as teachers or research investigators for a brief period of time, not to exceed one year. Titles may include Visiting Assistant Professor, Visiting Associate Professor, or Visiting Professor and should reflect the faculty member's rank at their home institution.

## **F. HONORARY FACULTY**

### ***Professor Emeritus***

#### *Definition:*

The title of Emeritus Professor is granted for life-time achievement at the University and is given without expiration and without expectation of continued teaching, research, or service for the University. This is a title of privilege conferred upon selected individuals who are nominated by their department chair at the time of retirement from the University.

#### *Qualifications:*

To be eligible for consideration for Emeritus status, a faculty member must be retiring from the University, must have been a permanent employee, have had tenure, and have held the rank of Professor or Associate Professor (as stated in section 4:1-03 VA of the University By-Laws) for a minimum of five years immediately prior to retirement. A nominee must have made major professional contributions while on the faculty of the University, with sufficiently established research, service and teaching to have achieved eminence so that the title Emeritus will be an honor to the individual and to the University.

#### *Process:*

The department chair shall nominate the faculty member for the proposed emeritus status at the time of processing the retirement documents. The nominating letter should describe the role of the Emeritus Professor for the department's mission, the candidate's qualifications for this honorary status and be addressed to the dean of the

appropriate school within the University. A curriculum vita must be attached to the request. The packet shall be presented to the promotions and appointments committee of the school in which the request is made. *Upon a favorable decision, that department shall forward the packet to the dean who may present it to the designated appointment and promotions process of the school* Upon a favorable decision by the executive council of the school, the packet will be sent to the University Credentials and Tenure Committee for evaluation. The decision of the University Committee will be communicated to the Principal Senator and forwarded to the Vice President for Faculty Affairs of the University, or their designee. Upon receiving a decision from the Committee, the Vice President for Faculty Affairs shall make a judgment as to whether the honorary title should be granted or denied. Honorary titles are conferred with the concurrence of the University President, and the approval of the Board of Trustees of the University. Final notification of the award of the emeritus title will be by letter to the retired faculty member signed by the President of the University.

*Responsibilities:*

The honorific title may be revoked for just cause. Incompetence, moral turpitude, commission of a felony, academic misconduct including scientific misconduct shall constitute just cause for revoking the emeritus status.

The department chair shall bear responsibility for monitoring the professional conduct of the Emeriti in all endeavors related to the University.

*Privileges for Emeritus faculty:*

Retain a University ID badge allowing access to the University  
Have their names listed in the University directory  
Use of the Library facilities  
Computer account for e-mail  
Departmental office space where possible and requested  
Exemption from parking fees  
Receive all appropriate University mailings  
Participation in academic functions

***Distinguished Professor***

*Definition:*

This title is bestowed upon a limited number of unusually qualified full-ranked professors whose academic accomplishments have gained national or international recognition and who have brought special honor to the University (Section 4:1-03 VB of the University By-Laws). This honorific is conferred upon faculty members with active status, and is not associated with retirement from the University.

Process:

As detailed above for Emeritus Professor status.

**G. LECTURER**

Individuals who have a primary appointment with another university or institution and who make a contribution to the academic programs of this University may be appointed Lecturer. Lecturers have no faculty rights or privileges. This appointment may be made for up to one year and may be renewed.

## **Part III: FACULTY EVALUATION**

### **INTRODUCTION**

The Annual Faculty Evaluation Program is a comprehensive program to evaluate faculty performance across a wide range of activities and disciplines. Its qualitative nature and flexibility allow it to evaluate all members of the faculty even when there is significant diversity in the nature of their jobs. It combines joint goal setting by the faculty member and department chair with expectations benchmarked against a faculty workload standard.

The program starts with goal setting for the upcoming year. It is these goals that individuals, departments, schools, and the university will measure itself against. It is important that goal setting be a top-down process. The university's goals are set first, and these goals are then allocated to each school and department, according to the skills and resources of each. Finally, each department examines its goals and divides them among the faculty. Some faculty will be asked to contribute more to teaching, others to research and others to service or clinical patient care. If each person can achieve their individual goals, then each department will be successful, each school will be successful, and the university will flourish. A faculty member's goals will include both the workload needed by the department as well as individual goals for professional improvement.

Once goals have been set, each individual, department, and school will be assessed based on the achievement of their goals. The assessment method at all levels will be both qualitative and quantitative. It will consider data generated from a variety of sources. For instance, an individual faculty member will be evaluated based on self-assessment, assessment from students (in the form of teaching evaluations), evaluation from peers at the discretion of the Department Chair or the individual faculty member, and evaluation from the department Chair. Using this many sources allows for the most comprehensive and fair evaluation and helps dispel the notion that only one indicator is important for success.

Achievement levels will be measured against a 'workload model' as developed by each school. Such a model correlates the faculty effort (% time) in research, teaching and service against standard expectations of achievement.

### **A. FACULTY EVALUATION**

Each cycle of evaluation begins with documentation of proposed effort between Chair and faculty member; including expected distribution of effort, goals for personal professional development, and measurable outcomes.

At the end of the year, all faculty should update their curriculum vita and other records documenting their performance for the year. This record is used by the faculty member to support his/her self-evaluation and demonstrate their work in terms of quality and

productivity, and will be used as a centerpiece for discussion with the Department Chair during the yearly assessment activities. Chairs also will have access to data assembled from student evaluations for the courses in which they participate.

Peer assessment also is encouraged within each department at the discretion of the Department Chair or the individual faculty member. An assessment tool has been developed for peers within a department to provide praise and constructive criticism to fellow faculty. This can be done in a variety of ways that can be adapted to each department's needs. One way would be for the department to appoint an assessment committee that would meet to review the end-of-year data submitted by the faculty member to the Chair and to comment on that member's contribution to the department and ability to work in a departmental team. Another method would be for the Chair to ask individuals to fill out a peer review form about another faculty member in the department. These peer assessments will not be anonymous, and should be supportive and constructive, with the goal of improving team communication and cooperation. The peer assessment tool is provided in the University Web site at: <http://66.99.255.20/faculty/Assessments/FACWeb.cfm>.

The Chair's evaluation of each faculty member should take into account that faculty member's goals for the year, the information provided by the faculty member, the information gained through peer assessment, and student assessment, among others.

## **B. AREAS OF EVALUATION: TEACHING, RESEARCH, SERVICE, AND PATIENT CARE**

The Faculty Evaluation Program evaluates each person's performance in each of the areas of teaching, research, service, and patient care. Faculty should consider their goals for the year based on these categories, recognizing that everyone's goals will be based on their talents and the contribution that their department needs from them. A basic science faculty member may be asked to do primarily research, a small amount of teaching and service, and no patient care. Another member of the same department may be asked primarily to do teaching. A clinical faculty member may contribute almost all patient care, and spend a small amount of time in clinical teaching and university service. Given that promotion and tenure committees still look comprehensively at all four areas, however, faculty are encouraged to develop goals that make them as well-rounded as possible.

## **C. WHO GETS EVALUATED?**

All faculty members are evaluated on a yearly basis, whether tenured or not. The extent of the evaluation may vary with the expected level of contribution to the University. Full-ranked faculty (Tenure track or Clinical Educator track) will have the most extensive evaluations, reflecting the magnitude of their effort contribution to the University. For volunteer faculty (clinical or adjunct) the extent of the evaluation should be tailored to the expected contribution.

Faculty with administrative appointments such as department chairs, deans and vice presidents also will be evaluated yearly in both their faculty and administrative roles. The program for chair evaluation is described below. The programs for evaluation of deans and vice presidents will be set by the University President.

#### **D. OUTCOMES OF THE FACULTY EVALUATION PROGRAM**

The Faculty Evaluation Program seeks to assure full participation of each faculty member in the professional activities of the University. It seeks to provide each faculty member with clear and measurable goals and expectations for their achievement. A parallel goal of the program is to identify faculty development needs and provide resources to facilitate faculty success.

Success in achieving yearly goals may be documented and lead toward justification of promotion or tenure (where relevant), merit-based salary increases, bonuses or other rewards, and general recognition.

Identification of select weaknesses in performance on an individual level should provide the impetus for faculty development through setting specific goals for professional improvement for the following year. The Chair and faculty member should identify targeted faculty development activities to address these weaknesses.

Repeated failure to fulfill annual performance goals and inability or unwillingness to improve also will be documented and considered in decisions about promotion, salary and appointment renewal. Even among tenured faculty, repeated failure to fulfill annual expectations of performance may be considered to be sufficiently egregious to be considered "Incompetence" or "Neglect of Duty" and, therefore, just cause for salary reduction, sanctions or termination of tenure.

## **Part IV: DEPARTMENT CHAIR EVALUATION**

Department Chairs will also be evaluated yearly, with evaluation of both their faculty role and administrative effort. In addition the productivity and effort of the Department Chair will undergo a formal evaluation by the Dean every five years. The major work product to be evaluated in the five-year assessment is the state of the department and the success of the Chair in achieving departmental goals.

### **A. ANNUAL CHAIR EVALUATION**

Annually department Chairs will be evaluated by the Dean in much the same manner as faculty are evaluated by the Chair, using a variety of data sources as determined by the Dean, including departmental evaluation of the chair's activities as a faculty member as described below.

Annually the department chair shall appoint an evaluation team from within the department. The team shall be composed of one senior and one junior faculty member. The evaluation team will gather information on the chair's performance from the previous year; including, but not limited to updated CV, publication record, grants and awards listing, teaching evaluations (both student and peer evaluations), evidence of service (both clinical and community) and other information such as is gathered for any faculty member. The team will also solicit evaluation of the chair's performance as faculty member and as chair from the members of the department.

The evaluation team will evaluate and summarize the information submitted and prepare an overall evaluation of the chair's performance from the perspective of departmental faculty. The evaluation summary is provided to the dean during January of each year and will be used by the dean in preparing the dean's annual performance evaluation of the chair. In their performance evaluation of the Chair the Dean will address the individual's performance as a faculty member, as department administrator, and the achievement of mission and goals for the department. The evaluation forms can be found online at <http://66.99.255.20/faculty/Assessments/FACWeb.cfm>.

### **B. FIVE-YEAR DEPARTMENT AND CHAIR EVALUATION:**

Every five years after initial appointment as Chair, the Dean will initiate a formal performance evaluation of each department, including the performance of the department chair. The review will include the overall effort and success in achieving department targets in research or other scholarly activity, clinical practice, teaching and service. Department goals should be mutually set between the Chair and Dean with clear outcome measures. The following goals should also be included in the departmental review:

- Compliance with program goals and quantifiable outcomes
- Assessment of student learning outcomes and programmatic outcomes
- Currency with changing health care standards, technological advances, market forces and public need

- Program productivity, including research grants and other income
- Effectiveness of academic and student support services
- Educational program costs
- Compliance with professional competencies and outcome-oriented accreditation standards
- Accreditation goals
- Graduate performance and satisfaction data
- Clinical practice, where appropriate

The five year departmental review will be performed by an ad hoc review committee comprised as follows:

- Three senior faculty members, potentially including department chairs, selected from the faculty of the respective school or college of RFUMS, chosen by the Dean in consultation with the Vice President for Faculty Affairs
- One senior RFUMS faculty member from outside the department's home school or college, chosen by the dean from a list of nominees provided by the Senate Council,
- One senior academic with relevant professional expertise from outside Rosalind Franklin University chosen by the Dean with input from the department under review.

The committee will analyze the success of the department and its Chair in achieving the goals above and other goals as agreed upon by the Chair and Dean and will report their findings to the Dean who will share the report with the Vice President for Faculty Affairs.

Departmental reviews will be scheduled every five years according to a published schedule determined by the respective Deans and published by the Vice President for Faculty Affairs. The Dean has the authority to modify the five year schedule to avoid 'bunching' multiple reviews within a single year and may initiate a departmental review earlier than scheduled, if warranted.

Such a periodic review, combined with the annual chair reviews will provide guidance to both Chair and Dean as to success in achieving departmental goals, excellence in performance, issues requiring further professional development or resources, and the potential need for change. The role of the Vice President for Faculty Affairs is to assure compliance with the process.