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## **SCHOOL OF MEDICINE AUXILIARY FACULTY POLICIES FOR APPOINTMENT, REVIEW, AND REAPPOINTMENT AT HIGHER RANK (PROMOTION)**

All auxiliary faculty appointments are subject to University Policy & Procedures 9-2. That policy provides that appointments to the auxiliary faculty are for limited terms only. All auxiliary faculty appointments end automatically each June 30 unless the appointment is made by means of a written contract for a fixed term of up to five years. In the absence of such a contract, departments may choose not to reappoint auxiliary track faculty members. Department decisions not to reappoint are not subject to the School of Medicine Retention, Promotion, & Tenure (RPT) Policy & Procedures. Departmental decisions regarding non-reappointment can be made solely by the Department Chair.

Full-time clinical, research, and lecturer track faculty undergo formal reviews during the third and sixth years of appointment (Table 3) to promote the professional development of the faculty member and to ensure continued quality performance. Positive Reappointment reviews do not require SOM RPT Committee review, and are sent directly to the Dean of the SOM. Majority non-Reappointment vote by any voting body will result in review by the SOM A&RPT Committee prior to being sent to the Dean of the SOM. Formal reviews do not change the nature of the faculty member's appointment.

The faculty candidate should have five years at rank for Reappointment at Higher Rank (Promotion) action as outlined in School of Medicine criteria for clinical, research, and lecturer faculty.

Annual reappointment reviews will not be required after a faculty member in clinical, research, or lecturer tracks have completed seven years of continuous appointment if initially appointed at the level of instructor or assistant professor; or five years if initially appointed at the level of associate professor or professor. After faculty have completed stated time periods, annual reappointment may be handled at the department level by the department chair using Auxiliary Faculty Review (AFR) procedures (Appendix B) if the specified funding on which the positions are dependent is available.

## Academic Staff

The non-faculty instructional or research positions of:

- associate instructor
- associate instructor AOCE
- research associate.

### **Appointment:**

Normally, individuals selected for these positions will possess substantial advanced preparation and/or experience in the academic disciplines relevant to the departments in which they are employed. Appointment to academic staff positions will be at the discretion of the program director, department chair, or division chief.

Academic Staff will be provided with an employment agreement (Appendix C). Expectations and goals should be clearly delineated.

An appointment to an academic staff, educational trainee or postdoctoral fellow position is effective upon the recommendation of the cognizant department chairperson, the concurring recommendation of the cognizant dean and the approval of the cognizant vice president.

Each such appointment ends automatically on June 30 of each year, unless some other ending date is specified when the appointment is initiated.

An appointment can be renewed without a repetition of the selection process.

### **Review:**

Program director, department chair, or division chief should meet with academic staff members annually to review expectations and goals. However, annual informal review of academic staff will be limited to academic staff with formal teaching activities.

In the event that academic staff are not meeting stated expectations and goals, program director should draft a formal improvement plan allowing a minimum of 30 days for improvement. If academic staff members fail to improve, program director should work with Human Resources to implement appropriate sanctions or dismissal.

## Educational Trainees

The non-faculty positions of:

- teaching assistant
- teaching fellow

- research assistant

**Appointment:**

These positions are reserved for registered matriculated students who are working toward post-baccalaureate degrees at the University of Utah. Normally, employment in one of these positions is logically related to a student's current academic objectives. The position of teaching fellow is limited to regularly enrolled students who are formally accepted candidates for graduate degrees in departments where fulfillment of a specified teaching assignment is an established requirement for graduate degrees.

Educational trainees will be provided with an employment agreement (Appendix C). Expectations and goals should be clearly delineated.

An appointment to an academic staff, educational trainee or postdoctoral fellow position is effective upon the recommendation of the cognizant department chairperson, the concurring recommendation of the cognizant dean and the approval of the cognizant vice president.

Each such appointment ends automatically on June 30 of each year, unless some other ending date is specified when the appointment is initiated.

An appointment can be renewed without a repetition of the selection process.

**Review:**

Program director, department chair, or division chief should meet with educational trainees annually to review expectations and goals. However, annual informal review educational trainees will be limited to educational trainees with formal teaching activities.

In the event that educational trainees are not meeting stated expectations and goals, program director should draft a formal improvement plan allowing a minimum of 30 days for improvement. If educational trainees fail to improve, program director should work with Human Resources to implement appropriate sanctions or dismissal.

**Postdoctoral Fellows****Appointment:**

The non-faculty position of postdoctoral fellow is reserved for individuals with doctoral degrees who are selected by various academic departments to engage in advanced study and research in collaboration with members of the faculty.

Postdoc Working Definition:[http://web.utah.edu/graduate\\_school/pdworking.html](http://web.utah.edu/graduate_school/pdworking.html)

Postdoctoral fellows will be provided with an employment agreement (Appendix C). Expectations and goals should be clearly delineated.

An appointment to an academic staff, educational trainee or postdoctoral fellow position is effective upon the recommendation of the cognizant department chairperson, the concurring recommendation of the cognizant dean and the approval of the cognizant vice president.

Each such appointment ends automatically on June 30 of each year, unless some other ending date is specified when the appointment is initiated.

An appointment can be renewed without a repetition of the selection process.

**Review:**

Program director, department chair, or division chief should meet with postdoctoral fellows annually to review expectations and goals. However, annual informal review of postdoctoral fellows will be limited to academic staff with formal teaching activities.

In the event that postdoctoral fellows are not meeting stated expectations and goals, program director should draft a formal improvement plan allowing a minimum of 30 days for improvement. If postdoctoral fellows fail to improve, program director should work with Human Resources to implement appropriate sanctions or dismissal.

**Medical Housestaff (Interns, Residents and Clinical Fellows)**

The non-faculty positions of medical housestaff in the University of Utah Affiliated Hospitals are reserved for individuals who meet the established selection criteria of the School of Medicine.

An appointment to a medical housestaff position is made according to the terms of the contract negotiated annually by the Affiliated Hospitals Committee.

Appointment and review of medical housestaff will be subject to [Accreditation Council for Graduate Medical Education \(ACGME\)](#) standards and processes under the supervision of residency and fellowship directors. Please refer to the University of Utah Graduate Medical Education website at: <http://uuhsc.utah.edu/som/education/gme/>

**Visiting Instructor**

<b>Rank</b>	<b>Job Code</b>
Visiting Instructor	9190

A faculty member may hold the rank of Visiting Instructor up to three years. If the Visiting Instructor is appointed to a tenure generating rank, the time spent, or yearly portions thereof, may be counted toward the pre-tenure probationary period unless stated otherwise in writing by the candidate or in the Department Chair's Offer Letter. Refer to U of U PPM 9-2.2.D

A chief resident may be appointed to the faculty position of Visiting Instructor.

- Resident must be board-eligible at the time of appointment,
- Must have significant teaching responsibilities during the year of appointment.
- If on housestaff, they must have GME Committee approval for dual faculty/housestaff appointment.

### **Appointment:**

Faculty members in this rank have a yearly contract. No advertising or search is required. These are temporary positions with the University renewable at the end of the academic year (up to three years.) Recruitment procedures must be followed if the individual is recommended for appointment as an Instructor or Assistant Professor in any of the other tracks.

**BASIC REQUIREMENTS:** This rank may be awarded to individuals who have met the minimal requirements for faculty membership. It is intended for individuals who are completing their training or acquiring essential experience while simultaneously serving a faculty role.

- 1) **EDUCATION:** A doctoral degree (M.D., Ph.D., or other terminal professional degree) from an accredited institution of higher learning.
- 2) **IN CLINICAL DEPARTMENTS:** completion of the residency training normally required for board certification, or for non-M.D.'s, a minimum of two years of post-doctoral training and/or experience.

### **Review:**

Annual informal review of visiting instructors should occur during the annual auxiliary faculty reappointment process, but should not require formal written documentation.

### **Informal Reviews:**

- All visiting instructors shall be reviewed annually to assess their achievement in teaching, research/scholarly (other creative) activity, clinical service, and administration, as appropriate for their track and rank.
- Informal reviews must minimally include a face-to-face meeting between the candidate and the department chair (or a designee as per department guidelines) to discuss the candidate's progress based on their file; involvement, determined by the department, from the appointment department advisory committee (DAC).
- The responsible department chair/division chief and the faculty member should establish agreed upon goals and expectations.
  - These expectations should include how the faculty member will divide her/his time and effort.
- The agreed upon expectations and goals should be written down and signed by both the faculty member and the department chair/division chief and retained for future reference.
  - The list of expectations and goals need not be tremendously detailed, but should clearly state the areas in which accomplishments are anticipated.

- The department chair/division chief should specifically determine if the faculty member has performed satisfactorily over the past year compared to the expectations and goals that were agreed upon.
- If the faculty member is deemed to have performed unsatisfactorily, then a plan should be devised to correct the deficiencies. The department chair/division chief evaluation, the revised goals and expectations, and any remediation plan should be put in writing.
- During subsequent yearly meetings the department chair/division chief and faculty member should compare the faculty member's performance to agreed upon expectations and then make any necessary modifications to the faculty member's future goals and expectations.
- Final summary of informal review will be presented to DAC during annual reappointment review process.

### Visiting Appointments

Professor, Associate Professor, or Assistant Professor

#### Appointment:

Visiting faculty appointments are given to faculty from other institutions for a period of one year in most cases. Visiting faculty are normally on sabbatical from their home institution. The Department Chair, the Dean/Associate Vice President and the Sr. Vice President may request appointments for less than three months by submitting a request directly to the President. Longer appointments are processed using normal appointment procedures. Visiting faculty may be reappointed annually for a maximum of three years.

#### Review:

Annual informal review of visiting instructors should occur during the annual auxiliary faculty reappointment process, but should not require formal written documentation.

### Adjunct Faculty

Adjunct appointments may be held by faculty members who hold primary appointment(s) in other departments within the School of Medicine or elsewhere on campus. These appointments may also be given to individuals, i.e., consultants with primary responsibilities elsewhere -- in business, industry, or other academic institutions that have a close working relationship with a SOM department but hold no other appointment on campus.

Rank	Job Code
Adjunct Professor	9106
Adjunct Associate Professor	9102
Adjunct Assistant Professor	9104
Adjunct Instructor	9105

- No advertising or offer letter is required
- Adjunct faculty are reappointed annually with no limitation on the maximum number of years. and thus the annual reappointment documentation will serve as the annual review documentation”.
- Some clinical departments use Adjunct faculty to provide coverage for absences of full-time faculty. Adjunct faculty are covered by the University malpractice insurance when they are working in that capacity and receive benefits described on the website at <http://www.admin.utah.edu/fhb>.

**Adjunct/Volunteer Faculty (VCF)**

Adjunct/Volunteer faculty appointments are usually for "downtown" physicians who participate in a voluntary relationship within a department.

Rank	Job Code
Adjunct Professor (unpaid faculty)	6001
Adjunct Associate Professor (unpaid faculty)	6001
Adjunct Assistant Professor (unpaid faculty)	6001
Adjunct Instructor (unpaid faculty)	6001

They must provide proof of a valid and unrestricted Utah license and their own malpractice insurance. Departments are encouraged to have written guidelines for appointment criteria.

**Review:**

Adjunct faculty will undergo informal review on an annual basis in conjunction with the annual auxiliary reappointment process, utilizing departmental criteria for appointment.

Due to the varying specialties and responsibilities of adjunct and volunteer faculty, departments should prepare written criteria for appointment, reappointment, and Reappointment at Higher Rank (Promotion) for all adjunct faculty. Departments should submit adjunct faculty criteria to the Dean of the School of Medicine by December 2009.

Where Adjunct faculty hold regular faculty appointments in another department at the University, a department may simply rely on the regular review procedure in the faculty member’s home department, or may do its own review limited to the activities required for the adjunct appointment as defined by the department at the time of appointment.

**Informal Reviews:**

- The responsible department chair/division chief should establish agreed upon goals and expectations for adjunct faculty.
  - The agreed upon expectations and goals should be documented and mailed via formal letter to adjunct faculty members
    - The list of expectations and goals need not be tremendously detailed, but should clearly state the areas in which accomplishments are anticipated.

## **GUIDELINES FOR CLINICAL TRACK APPOINTMENTS, REAPPOINTMENT, AND REAPPOINTMENT AT HIGHER RANK (PROMOTION)**

All auxiliary faculty appointments are subject to University Policy & Procedures 9-2. That policy provides that appointments to the auxiliary faculty are for limited terms only. Department decisions not to reappoint are not subject to the School of Medicine Retention, Promotion, & Tenure (RPT) Policy & Procedures.

Clinical faculty do not receive tenure and are reappointed annually. These appointments automatically end on June 30 of each academic year.

All auxiliary faculty appointments end automatically each June 30 unless the appointment is made by means of a written contract for a fixed term of up to five years. In the absence of such a contract, departments may choose not to reappoint auxiliary track faculty members.

### **Suggested lengths of contracts are:**

Professor (Clinical): one to five years  
Associate Professor (Clinical): one to three years  
Assistant Professor (Clinical): one to two years  
Instructor (Clinical): one year

Clinical Track appointments are considered full-time in the ranks of:

<b>Rank</b>	<b>Job Code</b>
Professor (Clinical)	9177
Associate Professor (Clinical)	9126
Assistant Professor (Clinical)	9140
Instructor (Clinical)	9171

The main emphasis is in the areas of teaching, clinical service, and administration service. Some scholarly activity must be evident.

Reappointment At Higher Rank (Promotion) must be processed utilizing the [SOM RPT policy and procedures](#).

There is no limitation on the maximum number of years for reappointment.

### **Formal and Informal Reviews (RPT/AFR)**

#### **Informal Reviews:**

- All clinical faculty shall be reviewed annually to assess their achievement in teaching, research/scholarly (other creative) activity, clinical service, and administration, as appropriate for their track.

- Informal reviews must minimally include a face-to-face meeting between the candidate and the department chair (or a designee as per department guidelines) to discuss the candidate's progress based on their file; involvement, determined by the department, from the RPT department advisory committee (DAC); and provide a written report to be made available to the candidate, the members of the DAC, and the department chair.
- The responsible department chair/division chief and the faculty member should establish agreed upon goals and expectations.
  - These expectations should include how the faculty member will divide her/his time and effort.
- The agreed upon expectations and goals should be written down and signed by both the faculty member and the department chair/division chief and retained for future reference.
  - The list of expectations and goals need not be tremendously detailed, but should clearly state the areas in which accomplishments are anticipated.
- During subsequent yearly meetings the department chair/division chief and faculty member should compare the faculty member's performance to agreed upon expectations and then make any necessary modifications to the faculty member's future goals and expectations.
- The department chair/division chief should specifically determine if the faculty member has performed satisfactorily over the past year compared to the expectations and goals that were agreed upon.
- If the faculty member is deemed to have performed unsatisfactorily, then a plan should be devised to correct the deficiencies. The department chair/division chief evaluation, the revised goals and expectations, and any remediation plan should be put in writing.
- Final summary of informal review will be presented to DAC during annual reappointment review process.

### **Annual Re-appointment:**

Annual reappointment reviews are conducted until the faculty member has completed seven years if initially appointed as an Instructor Assistant Professor, or five years if initially appointed as an Associate Professor or Professor.

Departments should use approved School of Medicine full-time clinical track criteria for annual reappointment review. However, departments may request to utilize departmental criteria for annual reappointment review. Departmental criteria is subject to Dean and Vice President approval and should be submitted for review and approval by June 30, 2008.

After clinical faculty have completed the periods described above, the Department Chair may approve their annual reappointment by writing a letter to the Dean, if the specified funding on which the positions are dependent is available.

### **Formal Reviews:**

Full-time clinical faculty should be reviewed at the third year, sixth year, and then every five years using the Auxiliary Faculty Review (AFR) process.

## INSTRUCTOR

**BASIC REQUIREMENTS:** This rank may be awarded to individuals who have met the minimal requirements for faculty membership. It is intended for individuals who are completing their training or acquiring essential experience while simultaneously serving a faculty role.

- 3) **EDUCATION:** A doctoral degree (M.D., Ph.D., or other terminal professional degree) from an accredited institution of higher learning.
- 4) **IN CLINICAL DEPARTMENTS:** completion of the residency training normally required for board certification, or for non-M.D.'s, a minimum of two years of post-doctoral training and/or experience.

## ASSISTANT PROFESSOR

### BASIC REQUIREMENTS:

- 1) The individual should have a doctoral degree (M.D., Ph.D., or other terminal professional degree) with a minimum of three years postdoctoral or residency training.
- 2) He/she should be board certified, if it is possible to attain certification within his/her specialty without practice requirements. Should her/his specialty have practice requirements, board certification can be waived temporarily, but should be attained within two rounds of eligibility.

**TEACHING:** Using teaching schedules, evaluations, or other materials the individual:

- Should show a commitment to teaching. Some examples of this commitment are:
- Lecturing to students and to residents.
- Conducting teaching rounds or small group sessions.
- Should interact with trainees one-on-one in a positive way.
- Should have a demonstrated ability to develop and present a well-organized lecture or seminar.
- Should demonstrate the desire to develop as an educator.

**ADMINISTRATION:** The individual should be willing to serve on departmental, School of Medicine, hospital, or institutional committees.

**CLINICAL:** Should be recognized by peers and immediate supervisors as having good-to-excellent clinical skills and performance. Some examples of this recognition are:

- Peer judgment of the competence and promise of excellence in clinical or professional work.
- Directing a clinical program.

**SCHOLARSHIP:** The individual should have demonstrated the ability and interest to engage in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Peer-reviewed manuscripts or case reports.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.

## **ASSOCIATE PROFESSOR**

### **BASIC REQUIREMENTS:**

- 1) The individual must be board certified in his/her specialty.
- 2) She/he should have been in clinical practice for at least seven years to be eligible for appointment to this rank or have been in the rank of Assistant Professor for at least five years to be eligible to be considered for Reappointment at Higher Rank (Promotion) to this rank (i.e., review for promotion will take place in the sixth year.)
- 3) The individual should be recognized as a teacher, mentor, or role model for students and trainees.

**TEACHING:** Using teaching schedules, evaluations, or other materials the individual should demonstrate a continuing commitment to teaching. Some examples of this commitment are:

- Mentoring medical students, other students, and residents.
- Lecturing in the medical student curriculum and/or other academic programs.
- Lecturing at grand rounds and other local teaching sessions.
- Developing/directing regional postgraduate course.
- Should interact with trainees one-on-one in a positive way.
- Should have demonstrated success in teaching. Some examples of this success are:
  - Achieving above average teaching evaluations.
  - Winning a teaching award.
  - Serving as a visiting professor at other institutions.

**ADMINISTRATION:** The individual should have competently discharged assignments on departmental, School of Medicine, hospital, or institutional committees.

**CLINICAL:** The individual should be recognized by peers, immediate supervisors, and community physicians as having excellent clinical skills and performance. Some examples of this recognition are:

- Acting as a consulting physician.
- Devising a new method or procedure.

**SCHOLARSHIP:** The individual should have demonstrated continuing ability and interest in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Peer-reviewed manuscripts or case reports.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.
- Development of evidence based guidelines - must demonstrate clear utilization in academic unit(s)

## **PROFESSOR**

### **BASIC REQUIREMENTS:**

- 1) The individual must be board certified in her/his specialty.
- 2) He/she should have been in clinical practice for at least 13 years to be eligible for appointment to this rank or have been in the rank of Associate Professor for at least five years to be eligible to be considered for Reappointment at Higher Rank (Promotion) to this rank.
- 3) She/he should have demonstrated excellent clinical skills and an interest in teaching to be appointed in this rank or have demonstrated excellent clinical and teaching skills if being promoted to this rank.

**TEACHING:** Using teaching schedules, evaluations, or other materials the individual should demonstrate a continuing commitment to teaching. Some examples of this commitment are:

- Mentoring medical students, other students, and residents.
- Lecturing in the medical student curriculum and/or other academic programs.
- Lecturing at grand rounds and other local teaching sessions.
- Lecturing at regional or national meetings.
- Should interact with trainees one-on-one in a positive way.

- Should be an accomplished teacher. Some examples of this accomplishment are:
- Achieving above average teaching evaluations.
- Winning a local or national teaching award.
- Serving as a visiting professor at other institutions.
- Supervising a training program.

**ADMINISTRATION:** The individual should have participated in departmental and school policy making by serving on departmental, School of Medicine, hospital, or institutional committees.

**CLINICAL:** The individual should be recognized as an authority within his/her specialty. Some examples of this recognition are:

- Being known regionally or nationally as an expert clinician.
- Attracting patients from a regional or national area.
- Serving as a clinical consultant on a regional or national level.

**SCHOLARSHIP:** The individual should have demonstrated continuing ability and interest in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Peer-reviewed manuscripts or case reports.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.

## **GUIDELINES FOR RESEARCH TRACK APPOINTMENTS, REAPPOINTMENT, AND REAPPOINTMENT AT HIGHER RANK (PROMOTION)**

All auxiliary faculty appointments are subject to University Policy & Procedures 9-2. That policy provides that appointments to the auxiliary faculty are for limited terms only. Department decisions not to reappoint are not subject to the School of Medicine Retention, Promotion, & Tenure (RPT) Policy & Procedures.

Research faculty do not receive tenure and are reappointed annually. These appointments automatically end on June 30 of each academic year.

All auxiliary faculty appointments end automatically each June 30 unless the appointment is made by means of a written contract for a fixed term of up to five years. In the absence of such a contract, departments may choose not to reappoint auxiliary track faculty members.

### **Suggested lengths of contracts are:**

Research Professor : one to five years  
Research Associate Professor: one to three years  
Research Assistant Professor: one to two years  
Research Instructor: one year

Research Track appointments are considered full-time in the ranks of:

<b>Rank</b>	<b>Job Code</b>
Research Professor	9183
Research Associate Professor	9179
Research Assistant Professor	9180
Research Instructor	9182

The main emphasis for appointment in this track is research, but may also include administration and teaching.

Reappointment At Higher Rank (Promotion) must be processed utilizing the [SOM RPT policy and procedures](#).

There is no limitation on the maximum number of years for reappointment.

### **Formal and Informal Reviews (RPT/AFR)**

#### **Informal Reviews:**

- All research faculty shall be reviewed annually to assess their achievement in teaching, research/scholarly (other creative) activity, and administration, as appropriate for their track.
- Informal reviews must minimally include a face-to-face meeting between the candidate and the department chair (or a designee as per department guidelines) to discuss the candidate's progress based on their file; involvement, determined by the department,

- from the RPT department advisory committee (DAC); and provide a written report to be made available to the candidate, the members of the DAC, and the department chair.
- The responsible department chair/division chief and the faculty member should establish agreed upon goals and expectations.
    - These expectations should include how the faculty member will divide her/his time and effort.
  - The agreed upon expectations and goals should be written down and signed by both the faculty member and the department chair/division chief and retained for future reference.
    - The list of expectations and goals need not be tremendously detailed, but should clearly state the areas in which accomplishments are anticipated.
  - During subsequent yearly meetings the department chair/division chief and faculty member should compare the faculty member's performance to agreed upon expectations and then make any necessary modifications to the faculty member's future goals and expectations.
  - The department chair/division chief should specifically determine if the faculty member has performed satisfactorily over the past year compared to the expectations and goals that were agreed upon.
  - If the faculty member is deemed to have performed unsatisfactorily, then a plan should be devised to correct the deficiencies. The department chair/division chief evaluation, the revised goals and expectations, and any remediation plan should be put in writing.
  - Final summary of informal review will be presented to DAC during annual reappointment review process.

### **Annual Reappointment:**

Annual reappointment reviews are conducted until the faculty member has completed a probationary period of seven years if initially appointed as an Instructor Assistant Professor, or five years if initially appointed as an Associate Professor or Professor.

Departments should approved School of Medicine research track criteria for annual reappointment review. However, departments may request to utilize departmental criteria for annual reappointment review. Departmental criteria are subject to Dean and Vice President approval and should be submitted for review and approval by June 30, 2008.

After research track faculty have completed their probationary periods, the Department Chair may approve their annual reappointment by writing a letter to the Dean, if the specified funding on which the positions are dependent is available.

### **Formal Reviews:**

Research track faculty should be reviewed at the third year, sixth year, and then every five years using the Auxiliary Faculty Review (AFR) process.

## **RESEARCH INSTRUCTOR**

**BASIC REQUIREMENTS:** This rank may be awarded to individuals who have met the minimal requirements for faculty membership. It is intended for individuals who are completing their training or acquiring essential experience while simultaneously serving a faculty role.

1. **EDUCATION:** A doctoral degree (M.D., Ph.D. or other terminal professional degree) from an accredited institution of higher learning, and promise of a productive academic career.
- 2) **IN CLINICAL DEPARTMENTS:** Individuals who will provide clinical care to patients should have completed the residency training normally required for board certification in that specialty. Faculty members who will not provide clinical care should have a minimum of two years of postdoctoral training and/or experience.
- 3) **IN BASIC SCIENCE DEPARTMENTS:** At least two years of postdoctoral training and/or experience.

## RESEARCH ASSISTANT PROFESSOR

### BASIC REQUIREMENTS:

- 1) The individual should have a doctoral degree (M.D., Ph.D., or other terminal professional degree) with a minimum of three years of postdoctoral experience plus some demonstrated evidence of scientific productivity in the form of published manuscripts in peer-reviewed journals.
- 2) If the individual will provide patient care she/he should be board certified, if it is possible to attain certification within his/her specialty without practice requirements. Should his/her specialty have practice requirements, board certification can be waived temporarily, but should be attained within two rounds of eligibility.

### SCHOLARSHIP:

- The individual should have a demonstrated ability to conduct basic, applied, or clinical research.
- Evidence of this criterion will be derived from the applicant's publication record and from solicited letters from mentors and colleagues.
- In evaluating an individual's scholarly attainments emphasis will be placed on peer-reviewed, hypothesis-testing manuscripts of a basic or clinical nature.
- Should have demonstrated ability to prepare grant applications seeking research funding.

## RESEARCH ASSOCIATE PROFESSOR

### BASIC REQUIREMENTS:

- 1) The major criterion for appointment or Reappointment at Higher Rank (Promotion) to the rank of Research Associate Professor is the demonstration of independence in the area of research.
- 2) Reappointment at Higher Rank (Promotion) should be based on performance rather than time in previous rank. Usually, however, a time period of five years in rank as an Instructor or Assistant Professor is required to attain the necessary level of achievement (i.e., review for Reappointment at Higher Rank (Promotion) will take place in the sixth year).

### SCHOLARSHIP:

- The individual should have demonstrated evidence of being an independent investigator with a focused area of expertise.
  - In the event that most of the individuals work is collaborative in nature, the individual's independent contributions should be documented.

- Should have a national reputation for research, attested by reference letters from outside the institution.
- Should have high quality research manuscripts published in peer-reviewed journals.
- Judgment of the quality and importance of the published manuscripts will be based upon statements made by external referees.
- In evaluating an individual's scholarly attainments an emphasis will be placed on peer-reviewed, hypothesis-testing manuscripts of a basic or clinical nature.
- Should be a Principal Investigator on a research grant, preferably with an external source of support (e.g., NIH, ACS, NSF).
- Should provide evidence of continuing research productivity.

## **RESEARCH PROFESSOR**

### **BASIC REQUIREMENTS:**

- 1) Individuals advanced to the rank of Research Professor should be recognized nationally and internationally for achievements made in scholarly activities.
- 2) Reappointment At Higher Rank (Promotion) to this rank should be based on continuing achievement, but five years in rank as Associate Professor is usually required to reach the necessary levels of excellence in teaching, research, and administration.

### **SCHOLARSHIP:**

- The individual should be a leading research investigator in the field with a national or international reputation.
- Should have high quality research manuscripts published in peer-reviewed journals. Judgment of the quality and importance of the published manuscripts will be based upon statements made by external referees.
- In evaluating an individual's scholarly attainments an emphasis will be placed on peer-reviewed, hypothesis-testing manuscripts of a basic or clinical nature.
- Should provide evidence of continuing research productivity, independence and focus.
- Should demonstrate a continuing level of external support for research program preferably from external sources (e.g., NIH, NSF).

## **GUIDELINES FOR LECTURER TRACK APPOINTMENTS, REAPPOINTMENT, AND REAPPOINTMENT AT HIGHER RANK (PROMOTION)**

All auxiliary faculty appointments are subject to University Policy & Procedures 9-2. That policy provides that appointments to the auxiliary faculty are for limited terms only. Department decisions not to reappoint are not subject to the School of Medicine Retention, Promotion, & Tenure (RPT) Policy & Procedures.

Lecturer faculty do not receive tenure and are reappointed annually. These appointments automatically end on June 30 of each academic year.

All auxiliary faculty appointments end automatically each June 30 unless the appointment is made by means of a written contract for a fixed term of up to five years. In the absence of such a contract, departments may choose not to reappoint auxiliary track faculty members.

### **Suggested lengths of contracts are:**

Professor (Lecturer) : one to five years  
Associate Professor (Lecturer): one to three years  
Assistant Professor (Lecturer): one to two years  
Instructor (Lecturer): one year

Lecturer Track appointments are considered full-time in the ranks of:

<b>Rank</b>	<b>Job Code</b>
Professor (Lecturer)	9196
Associate Professor (Lecturer)	9195
Assistant Professor (Lecturer)	9194
Instructor (Lecturer)	9193

The main emphasis for appointment in this track is teaching, but may also include administration and scholarship.

Reappointment At Higher Rank (Promotion) must be processed utilizing the [SOM RPT policy and procedures](#).

### **Formal and Informal Reviews (RPT/AFR)**

#### **Informal Reviews:**

- All lecturer faculty shall be reviewed annually to assess their achievement in teaching, research/scholarly (other creative) activity, clinical service, and administration, as appropriate for their track.
- Informal reviews must minimally include a face-to-face meeting between the candidate and the department chair (or a designee as per department guidelines) to discuss the candidate's progress based on their file; involvement, determined by the department,

- from the RPT department advisory committee (DAC); and provide a written report to be made available to the candidate, the members of the DAC, and the department chair.
- The responsible department chair/division chief and the faculty member should establish agreed upon goals and expectations.
    - These expectations should include how the faculty member will divide her/his time and effort.
  - The agreed upon expectations and goals should be written down and signed by both the faculty member and the department chair/division chief and retained for future reference.
    - The list of expectations and goals need not be tremendously detailed, but should clearly state the areas in which accomplishments are anticipated.
  - During subsequent yearly meetings the department chair/division chief and faculty member should compare the faculty member's performance to agreed upon expectations and then make any necessary modifications to the faculty member's future goals and expectations.
  - The department chair/division chief should specifically determine if the faculty member has performed satisfactorily over the past year compared to the expectations and goals that were agreed upon.
  - If the faculty member is deemed to have performed unsatisfactorily, then a plan should be devised to correct the deficiencies. The department chair/division chief evaluation, the revised goals and expectations, and any remediation plan should be put in writing.
  - Final summary of informal review will be presented to DAC during annual reappointment review process.

### **Annual Reappointment:**

Annual reappointment reviews are conducted until the faculty member has completed seven years if initially appointed as an Instructor Assistant Professor, or five years if initially appointed as an Associate Professor or Professor.

Departments should use approved School of Medicine lecturer track criteria for annual reappointment review. However, departments may request to utilize departmental criteria for annual reappointment review. Departmental criteria is subject to Dean and Vice President approval and should be submitted for review and approval by June 30, 2008.

After lecturer track faculty have completed the periods described above, the Department Chair may approve their annual reappointment by writing a letter to the Dean, if the specified funding on which the positions are dependent is available.

### **Formal Reviews:**

Lecturer track faculty should be reviewed at the third year, sixth year, and then every five years using the Auxiliary Faculty Review (AFR) process.

## **INSTRUCTOR**

**BASIC REQUIREMENTS:** This rank may be awarded to individuals who have met the minimal requirements for faculty membership. It is intended for individuals who are completing their training or acquiring essential experience while simultaneously serving a faculty role.

- 1) **EDUCATION:** A doctoral degree (M.D., Ph.D. or other terminal professional degree) from an accredited institution of higher learning.
- 2) **IN CLINICAL DEPARTMENTS:** completion of the residency training normally required for board certification, or for non-M.D.'s, a minimum of two years of post-doctoral training and/or experience.

## **ASSISTANT PROFESSOR**

### **BASIC REQUIREMENTS:**

- 1) The individual should have a doctoral degree (M.D., Ph.D., or other terminal professional degree) with a minimum of three years postdoctoral or residency training.
- 2) If the individual will provide patient care she/he should be board certified, if it is possible to attain certification within his/her specialty without practice requirements. Should his/her specialty have practice requirements, board certification can be waived temporarily, but should be attained within two rounds of eligibility.

**TEACHING:** Using teaching schedules, evaluations or other materials the individual:

- Should show a commitment to excellence in teaching. Some examples of this commitment are:
- Lecturing to students and to residents.
- Conducting teaching rounds or small group sessions.
- Should interact with trainees one-on-one in a positive way.
- Should have a demonstrated ability to develop and present a well-organized lecture or seminar.
- Should demonstrate the desire to develop as an educator.

**ADMINISTRATION:** The individual should be willing to serve on departmental, School of Medicine, hospital or institutional committees.

**SCHOLARSHIP:** The individual should have demonstrated the ability and interest to engage in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Educational reports or studies.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.

## ASSOCIATE PROFESSOR

### BASIC REQUIREMENTS:

- 1) The major criterion for appointment or Reappointment At Higher Rank (Promotion) to the rank of Associate Professor (Lecturer) is the demonstration of significant accomplishments in the area of teaching.
- 2) Reappointment At Higher Rank (Promotion) should be based on performance rather than time in previous rank. Usually, however, a time period of five years in rank as an Instructor or Assistant Professor is required to attain the necessary level of achievement (i.e., review for Reappointment At Higher Rank (Promotion) will take place in the sixth year).

**TEACHING:** Using teaching schedules, evaluations or other materials the individual should demonstrate a continuing commitment to excellence in teaching. Some examples of this commitment are:

- Mentoring medical students, other students, and residents.
- Regularly lecturing in the medical student curriculum and/or other academic programs.
- Regularly lecturing at grand rounds and other local teaching sessions.
- Developing/directing a regional postgraduate course.
- Should interact with trainees one-on-one in a positive way.
- Should demonstrate a history of curriculum development and implementation.
- Should have demonstrated success in teaching. Some examples of this success are:
  - Consistently positive teaching evaluations.
  - Winning a teaching award.
  - Serving as a visiting professor at other institutions.

**ADMINISTRATION:** The individual should have competently discharged assignments on departmental, School of Medicine, hospital or institutional committees.

**SCHOLARSHIP:** The individual should have demonstrated continuing ability and interest in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Educational reports or studies.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.

## PROFESSOR

### BASIC REQUIREMENTS:

- 1) Individuals advanced to the rank of Professor (Lecturer) should be recognized nationally and internationally for achievements made in teaching activities.
- 2) Reappointment At Higher Rank (Promotion) to this rank should be based on continuing achievement, but five years in rank as Associate Professor is usually required to reach the necessary levels of excellence in teaching, research, and administration.

**TEACHING:** Using teaching schedules, evaluations or other materials the individual should demonstrate a continuing commitment to excellence in teaching. Some examples of this commitment are:

- Mentoring medical students, other students, and residents.
- Regularly lecturing in the medical student curriculum and/or other academic programs.
- Regularly lecturing at grand rounds and other local teaching sessions.
- Developing/directing a regional postgraduate course.
- Lecturing at regional or national meetings.
- Should interact with trainees one-on-one in a positive way.
- Should demonstrate a history of curriculum development and implementation.
- Should be an accomplished teacher. Some examples of this accomplishment are:
  - Consistently positive teaching evaluations.
  - Winning a local or national teaching award.
  - Serving as a visiting professor at other institutions.
  - Supervising a training program.

**ADMINISTRATION:** The individual should have participated in departmental and school policy making by serving on departmental, School of Medicine, hospital or institutional committees.

**SCHOLARSHIP:** The individual should have demonstrated continuing ability and interest in scholarly activity. Acceptable scholarly accomplishment includes but is not limited to co-authorship or primary contributions to the following, in no particular order:

- Educational reports or studies.
- Review articles.
- Textbooks or chapters.
- Editorial service.
- Electronic media.
- Letters to the editor
- Syllabus materials.
- Special workshops or laboratories.

**Appendix A: Table 3: Auxiliary Faculty Review Schedule**

<b>Hire Year</b>		<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
<i>Informal annual reappointment review</i>	<b>1</b>	02/03	03/04	04/05	05/06	06/07	07/08	08/09
<i>Informal annual reappointment review</i>	<b>2</b>	03/04	04/05	05/06	06/07	07/08	08/09	09/10
<b>Third-Year Formal Review</b>	<b>3</b>	04/05	05/06	06/07	07/08	08/09	09/10	10/11
<i>Informal annual reappointment review</i>	<b>4</b>	05/06	06/07	07/08	08/09	09/10	10/11	11/12
<i>Informal annual reappointment review</i>	<b>5</b>	06/07	07/08	08/09	09/10	10/11	11/12	12/13
<b>Sixth-Year Review</b>	<b>6</b>	07/08	08/09	09/10	10/11	11/12	12/13	13/14
<b>Auxiliary Faculty Review (AFR) to occur every five years</b>								
<i>Subsequent Informal annual reappointment reviews by dept chair</i>								

## **Appendix B: Tenured and/or Auxiliary Faculty Review Guidelines (Five Year Post Faculty Review) University of Utah School of Medicine**

The basic philosophy of the tenured/auxiliary faculty review process is that each member of the faculty has a role to play in the success of the School of Medicine. The specific role, however, may vary from faculty member to faculty member.

Guidelines for achieving Reappointment At Higher Rank (Promotion) may not be immediately applicable to the evaluation of an individual faculty member who thereafter fulfills a role that does not include all areas addressed by the [Appointment & Retention, Promotion and Tenure \(A&RPT\) Guidelines](#). The TFR/AFR process should, therefore, be custom fit to the individual faculty member.

Each tenured and auxiliary track faculty member will receive a formal TFR/AFR every fifth year following the award of tenure or five years after an auxiliary faculty member's sixth-year review (Table 3).

If a faculty member receives an unsatisfactory informal reappointment review in two consecutive years, the faculty member will be subject to a formal TFR/AFR review.

**The formal TFR/AFR review potentially consists of two stages.**

**Stage one** applies to the five year TFR/AFR.

In Stage One the faculty member is reviewed by a departmental TFR/AFR Committee.

The TFR Committee is appointed by the Department chair and is composed of:

- Two (2) tenured and
- One (1) untenured (tenure track) member of the faculty member's home department and
- One (1) faculty member from another department (tenured or untenured).

\*At least one member must be of the same rank as the member being reviewed.

The AFR Committee is composed:

- Two (2) tenured members and
- One full-time auxiliary track member and
- One faculty member from another department (tenure or auxiliary).

\*At least one member must be of the same rank as the member being reviewed.

The members of the committee's may vary in each case within the department, allowing experts in each reviewee's field to be appointed.

If there are not sufficient faculty members in a department to form committee as required by the criteria, the chair may form a committee using faculty members from outside the department.

A Chair and a secretary for the TFR/AFR Committee shall be elected or appointed by the committee.

The departmental committee considers the faculty member's teaching evaluations (although no formal Student Advisory Committee (SAC) input will be solicited), grant support, CV, (letters need not be solicited at this stage), and compares accomplishments to the faculty member's goals and expectations as documented in the annual informal review documentation.

If the department TFR/AFR Committee determines that the faculty member has performed satisfactorily then the TFR/AFR does not proceed to stage two. AFR summaries are forwarded to the department chair for five year reappointment approval.

If the department TFR/AFR Committee is not able to determine that the faculty member has performed satisfactorily, then the review proceeds to stage two.

**Stage two** applies if a faculty member has two consecutive unsatisfactory annual reviews by the department chair/division chief, or if the TFR/AFR Committee cannot determine that the faculty member has performed satisfactorily in a stage one five-year TFR/AFR.

The second stage review is more in depth than a first stage review.

- Review of teaching evaluations
- Grant support
- Formal input is sought from the departmental S(H)AC
- Evaluation letters are obtained
  - Three (3) from inside the institution
  - Three (3) from outside the institution).
- The faculty member is also encouraged to submit a personal statement defending her/his performance record when measured against her/his goals and expectations.
- AFR files are sent to DAC for annual reappointment vote.

Letters are solicited on a confidential or non-confidential basis. Departments must indicate how the reviewee wants to have the letters solicited. A signed and witnessed [Waiver Form](#) must be in each file if used.

**The formal TFR/AFR process should produce one of three reasoned conclusions:**

**Satisfactory**

**Needs Improvement:**

Specific recommendations for improvement are given to the department chair and the faculty member to consider in formulating the next year's goals and expectations.

**Unsatisfactory:**

This conclusion is appropriate if the faculty member fails to meet the responsibilities of a faculty member as outlined in the University's Policy and Procedures Manual [8-12.3](#) and [8-12.4](#)

If a faculty member's performance is determined to be unsatisfactory, then the departmental TFR/AFR Committee should recommend to the department chair an appropriate sanction.

**Sanctions for “Unsatisfactory or Needs Improvement”**

After considering the faculty member's file and the discussion and recommendations of the departmental TFR/AFR Committee, the department chair will determine what sanctions to apply to the faculty member.

At a minimum the department chair will write a letter of expectations to the faculty member with a clear explanation of future consequences if the expectations are not met.

AFR findings will be provided to DAC during annual reappointment review process.

For significant violations of the Faculty Code the recommended sanction may be termination from the University.

Any sanction that falls short of termination from the University must be accompanied by a plan for improvement.

**Appeal (TFR only):**

The faculty member may appeal the evaluation and conclusion of the departmental TFR Committee and the sanctions imposed by the department Chair to the School of Medicine [TFR Appeals Committee](#).

If a TFR results in a determination that a faculty member's performance has been unsatisfactory and sanctions are recommended, the Dean will decide whether the sanctions are appropriate and will take the steps necessary to enforce the sanctions for violating the faculty code.

**Deadline for TFR/AFR Actions:**

The results of all Required TFR/AFR evaluations must be submitted to the School of Medicine Faculty Affairs Office for review by the Dean before the last Monday of December.



# The University of Utah

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## School of Medicine

### APPENDIX C: Employment Agreement for Academic Staff, Educational Trainees, and Postdoctoral Fellows

<http://www.admin.utah.edu/ppmanual/9/9-5-6.html>

This employment agreement (the "Agreement") is entered into this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, between the University of Utah (the "University"), on behalf of its Department of \_\_\_\_\_ [or the \_\_\_\_\_ Program] (the "Department"), and \_\_\_\_\_ ("You").

1. Appointment and Scope of Responsibilities.

(a) You will be appointed by the Department as an \_\_\_\_\_ (title – see Appendix D). This appointment does not constitute membership in the faculty of the University of Utah.

(b) You will be employed on a \_\_\_\_ (part-time or full-time) basis to provide services for the Department of \_\_\_\_\_ [or the \_\_\_\_\_ Program]. Your job responsibilities will be as generally described in the attached appointment letter or "Description of Responsibilities and Compensation." (Appendix E). In addition to the general job responsibilities described in the attachment, you will also perform such other functions and responsibilities as the Chair of the Department [or the Program Director] may from time to time reasonably require.

(c) You will be an employee of the University and agree to observe and comply with all rules, regulations, bylaws and policies of the Department and the University, including without limitation the University's Policy and Procedures Manual, <http://www.admin.utah.edu/ppmanual/>, as revised from time to time, and the Ethical Standards and Code of Conduct governing all employees: <http://www.hr.utah.edu/ethicalstandards/index.php>. You acknowledge that even if the University is not your primary employer, you nonetheless may be viewed by members of the public or others as a representative of the University with little distinction being made between part time associate instructors and those who are full time regular faculty members. Accordingly, you recognize the importance to the University of abiding by all University rules and regulations and otherwise conducting yourself appropriately at all times, even when you are acting outside the scope of your University employment.

(d) The principal policy governing \_\_\_\_\_ (title) is Policy 9-5.6 (<http://www.admin.utah.edu/ppmanual/9/9-5-6.html>). You may also be reviewed periodically for reappointment as per Policy 9-5.7 (<http://www.admin.utah.edu/ppmanual/9/9-5-7.htm>). You will also find helpful information in the Faculty Handbook found at <http://www.admin.utah.edu/fhb/>.

(e) Your work schedule will be based on the needs of the Department and the requirements of

your position, and will be determined by the Chair of the Department or designee in consultation with you.

2. Compensation. As compensation for your services, you will be paid according to the compensation plan outlined in the attached appointment letter or "Description of Responsibilities and Compensation." If you are employed at half time or more, you will also be eligible for some benefits. Consult your department or for further information.

3. Term and Termination. The term of your appointment and this Agreement will begin on \_\_\_\_\_ and will end on \_\_\_\_\_ or on June 30 if no other ending date is specified. Your appointment will end automatically unless you have been reappointed by the Department for an additional term. This Agreement may be terminated prior to the end of the initial appointment period or any period of reappointment ("Early Termination") only for cause, which includes but is not limited to violation of any provision of the University's Policy and procedures manual. Early Termination for unsatisfactory performance of job duties shall be governed by the provisions of the University's Policy and Procedures Manual.

4. Requirements for Appointment and Compensation. Your appointment as an \_\_\_\_\_ (title) of the University and/or your compensation may be contingent upon: i) verification by the University of your job qualifications and the accuracy of the information provided by you in the application process; ii) a criminal background check, iii) your on-going compliance with the terms of this Agreement and all applicable requirements, policies and procedures of the University; iv) your satisfactory job performance, v) sufficient enrollment in courses you teach, if applicable as provided on the attached "Description of Responsibilities and Compensation," and vi) continued funding from grants or contracts if applicable as provided on the attached "Description of Responsibilities and Compensation."

AGREED TO THIS \_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_.

UNIVERSITY OF UTAH

By \_\_\_\_\_

Chair, Department of \_\_\_\_\_

AGREED TO THIS \_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_

**APPENDIX D: 9-5.6 – Academic Staff, educational trainees, and postdoctoral fellow job codes and titles:**

<b>ACADEMIC STAFF</b>	
9124	Associate instructor
9204	Associate instructor AOCE
9178	Research associate
<b>EDUCATIONAL TRAINEES</b>	
3027	Teaching assistant
9184	Teaching fellow
2563	Research assistant
<b>POSTDOCTORAL FELLOWS</b>	
9205	Postdoctoral fellow
9207	Post Doctoral Fellow-Pd Direct

## APPENDIX E: School of Medicine Appointment/Reappointment Voting Policy

### VOTING PROCEDURE

\*\*\*All committee deliberations and votes are personnel actions and should be treated with confidentiality in accordance with policy and law. By majority vote the committee may at any time move to executive session, from which some or all non-voting participants may be excluded to ensure such confidentiality.

Committee votes on specific candidates shall presumptively be conducted by secret ballot. However any such vote shall instead be conducted by open ballot if the voting members of the committee, through a secret ballot taken at or before the meeting, unanimously determine that open balloting is appropriate under the circumstances for any particular vote.

A 2/3 quorum of “eligible faculty” (tenure-track faculty) for each proposed action must be present at the official RPT departmental faculty meeting . Absentee ballots must be solicited and received before that meeting. Absentee ballots do not count towards the 2/3 quorum. Do not include faculty members who are on sabbatical or official University leave of absence, and do not count the department chair or the candidate in determining the 2/3 quorum number.

Whenever practical, the department chair shall advise all faculty members on leave or otherwise absent of the proposed action(s) and shall request their written opinion and vote. Absent members' written opinions shall be disclosed at the official RPT departmental faculty meeting, and their votes will be counted the same as other votes. Absentee votes must be received prior to the meeting at which a vote is taken by the departmental faculty.

The SOM allows and encourages full-time clinical-, research-, and lecture-track faculty to participate in the official RPT departmental faculty meeting . The department chair and/or the department faculty should initiate a procedure to be used by the department to facilitate their participation. Clinical-, research-, and lecturer-track faculty votes do not count towards the 2/3 quorum, according to the University of Utah guidelines. Nonetheless, as part of the required documentation of the SOM, the clinical-, research-, and lecturer- track faculty vote must be recorded, reviewed, and considered in deliberations .

To comply with University of Utah guidelines, the vote by the tenure-track faculty must be recorded separately on the RPT form, under “Tenure-Track Vote,” and the full-time clinical, research, and lecturer track vote also must be recorded on the RPT form, under the heading “Clinical and Research Vote”. Because clinical-, research-, and lecture-track faculty cannot be tenured, the rank of their faculty votes must be higher than that proposed for the candidate.

The department must list the number of eligible voters for each action. The department must provide a typed, alphabetical list of the faculty (sorted by track and rank) in your department, with the names of those present at the official RPT departmental faculty meeting clearly marked.

## Votes for Appointment

[\(Refer to U of U PPM 9-5.A.B\)](#)

In each department, there shall be a departmental faculty appointments advisory committee. The committee membership shall include all of the regular (tenure track) faculty consisting of professors, associate professors, and assistant professors (both tenured and tenure eligible), except as follows:

The department Chairperson shall serve as the chairperson of the committee but shall not vote on actions of the committee. Deans, and other administrative officials who are required by the regulations to make their own recommendations in an administrative capacity, and who hold tenure track faculty appointments within the department, may attend meetings and participate in discussions, but shall not vote on actions of the committee.

If approved by a majority of the tenure track faculty, other interested persons, who may include clinical, research, lecturer track faculty, or other tenure track faculty from outside the department, staff, students, and community representatives may be allowed to participate in discussions with the committee, but shall not vote on actions of the committee.

Current clinical, lecturer, or research faculty may be allowed to serve as voting members of the departmental committee for particular cases involving appointments to a non-tenure track faculty position, if (a) the cognizant college council has adopted a policy allowing such participation of auxiliary faculty for departments within the college, and (b) a majority of the regular faculty of the department has approved the inclusion of clinical/lecturer/research faculty on the committee either by continuing policy or for purposes of a particular appointment decision. Whenever any clinical/lecturer/research faculty are made members of the committee for purpose of a particular appointment recommendation, the department chairperson shall include a description of such participation in the written report transmitted to the Dean of the School of Medicine, provided for in [Part D of U of U PPM 9-5](#)

Ordinarily, meetings of the appointments committee shall be conducted with members physically present at the meeting site. When the chairperson determines that circumstances make such a meeting impractical for a majority of eligible members, voting may be conducted through telephone, electronic mail, or similar means of communication. Such alternative voting methods should be used only rarely and in exigent circumstances for appointment of tenure track faculty, but may be used as a matter of course for other appointments. The chairperson of the committee shall provide members with as much notice as practicable under the circumstances of the intent to conduct voting through such an alternative method.

Whenever practicable, the chairperson shall advise each eligible member on leave or otherwise absent and unable to participate in the meeting of the proposed action and shall request his/her written opinion and vote. Absent members written opinions shall be disclosed during the meeting, and their votes will be recorded and counted the same as other votes. Absentee votes must be received prior to the meeting during which a vote is taken by the committee.

After full consideration and discussion, the votes of the committee members shall be taken as follows, for each candidate considered:

1. All members of the committee shall vote on a recommendation as to the making of the appointment generally, with the appointment to be made carrying at least the lowest rank applicable for the type of position being filled.

2. If it is proposed that the appointment be made at any higher rank, then there shall be a separate vote taken among only those members holding a rank equivalent to or higher than that proposed appointment rank, and they shall vote on a recommendation as to that specified higher rank. (i.e., with an appointment proposed at the rank of associate professor, the assistant professor members of the committee shall participate with other members in the first vote producing a recommendation regarding appointment with at least the rank of assistant professor, and then only the associate and full professors shall participate in a second vote on recommending that the appointment carry the higher rank of associate professor).