



SCHOOL OF
**MEDICINE &
DENTISTRY**

UNIVERSITY *of* ROCHESTER
MEDICAL CENTER

**REQUIRED PAPERWORK FOR
ALL SMD FACULTY
PERSONNEL ACTIONS**

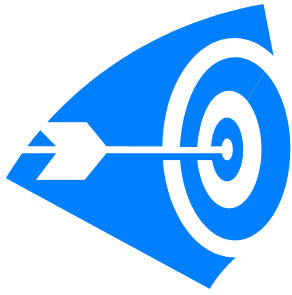
July 2014 (revised)

TABLE OF CONTENTS

	<u>Pages</u>
General Information – Read Before Starting	4-8
Professor, Associate Professor and Research Professor (Appointments, Promotions, Granting of Tenure, & Reappointments)	9-11
Associate Professor & Professor - Professional Service and Voluntary (Appointments, Promotions, & Reappointments)	12-13
Research Associate Professor (Appointments, Promotions, & Reappointments)	14-15
Assistant Professor (Appointments, Promotions, Reappointments)	16-17
Research Assistant Professor (Appointments, Promotions, Reappointments)	18
Assistant Professor, Senior Instructor, Instructor, Senior Associate, Associate, and Assistant (Appointments, Promotions, Reappointments)	19
Clinical Assistant Professor, Clinical Senior Instructor, Clinical Instructor, Clinical Associate and Clinical Assistant (Voluntary faculty appointments) (Appointments, Promotions, Reappointments)	20
Joint Faculty Appointments – All Ranks (Appointments, Reappointments)	21-22
Adjunct and Visiting Appointments – All Ranks (Appointments, Reappointments)	23
Professor Emeritus and Clinical Professor Emeritus (Appointments)	24
Departmental Fellows (Appointments, Reappointments)	25

Appendices:

Appendix A – Faculty Recommendation Form	27
Appendix B – Adjunct Faculty Reappointment Form	28
Appendix C – Self-Assessment Forms	29-31
Appendix D – Procedure for Evaluation of Assistant Professor prior to reappointment (<i>revised July 2014</i>)	32-33
Appendix E – “Fast Track” Process	34-35
Appendix F – Job Codes and Faculty Ranks	36-37
Appendix G – Academic Affairs – Affirmative Action Form	38



GENERAL INFORMATION READ BEFORE STARTING

Office for Academic Affairs: (www.oaa.urmc.edu)

Jeffrey M. Lyness, MD, Senior Associate Dean for Academic Affairs – 275-3030

Cathi Gray, Administrator – 275-0016 (Associate Professors/Professors)

Lori McBride, Administrative Asst. – 275-2747 (Junior Faculty, Recruitment Forms, Sabbaticals)

Laura Francz, Administrative Asst. – 275-6321 (Dept. Fellows, Voluntary Faculty)

- ✦ **Recruitment Forms:** Recruitment forms are required for all full-time or paid part-time faculty (.5 FTE or greater) positions. The Faculty Recruitment Form was revised/expanded effective April 1, 2013. Revisions to the form included a mandatory Business Plan Justification section, an easier to complete page 1, and the form is now in a writeable .pdf format. Additionally, job postings can be processed separately from the form so the position can be posted to the HRMS Careers website quickly and begin the mandatory 30-day posting rule. See page 7 for detailed process.
- ✦ **Offer Letters:** All offer letters for salaried faculty [full-time (1FTE) and part-time (.5FTE or greater)], *regardless of rank*, require the signatures of the Department Chair (and Center Director, when applicable) and the Dean of the School of Medicine and Dentistry and must utilize the standard offer letter template and relevant standard terms and conditions document. All offer letters must be approved by the Office of Counsel prior to forwarding to Academic Affairs, and all offer letters must come to us first – do not route to the Dean.
- ✦ **Drug Screening:** Drug screenings are required for all new paid faculty (full-time and part-time) and some visiting faculty, as well as Departmental Fellows and anyone who requires a medical staff appointment. It is included as part of the credentialing process for the Med Staff appointment. The stipulation is in the Standard Terms of Employment document that all new paid hires must agree to as part of their offer letter.
- ✦ **I-9:** Even though I-9 forms are completed on-line, Academic Affairs still requires a printed copy of the form and copies of the required supporting documents; e.g., passport, H1B visa, driver's license, etc. As most faculty have term appointments, we need to verify that a faculty member is allowed to receive a salary for the time period of the appointment.
- ✦ **Affirmative Action Form:** The new form can be found at Appendix G; note this form is only for Dean's Office use and will not be forwarded to the HR Service Center.
- ✦ **Intellectual Property Agreement Form (IPA):** Signed, original IPA should be forwarded to ORPA; a copy of the IPA should be included with original appointment packet as appropriate. Link to form (revised 11/2009): http://www.rochester.edu/orpa/_assets/pdf/form_ipa.pdf
- ✦ **Explanation of Full-Time vs. Part-Time:** Full-Time faculty are 1FTE (full-time effort) and are entitled to full-time faculty benefits. Part-Time faculty are .5FTE - .99FTE and are entitled to part-time faculty benefits. When dropping below .5FTE the faculty member's appointment changes to

General Information – continued...

one with Clinical preceding his/her title; e.g., Clinical Assistant Professor, and there are no benefits associated with these ranks; these faculty are coded as Time-As-Reported (TAR).

Academic Affairs can make an exception to this last rule on a case-by-case basis (it does not, however, change the benefits) – please contact our office.

- ✦ **Letters of Recommendation at any Rank:** All received letters of recommendation, regardless of content, must be included in the appropriate appointment, promotion, or reappointment packet. In other words, a department cannot “cherry-pick” and include only those letters they feel are the most complimentary. Please contact Cathi Gray with any questions.
- ✦ **Internal Referees:** Any faculty member with an appointment at the University of Rochester is considered “internal” – this includes all faculty with a “voluntary” appointment and all faculty at any of the other Schools (Eastman, Nursing, Arts & Sciences, Engineering, Simon, etc.).
- ✦ **Joint Faculty Appointments:** Faculty members may hold full or part-time appointments in more than one department, ordinarily at the same rank as in the primary department. Joint appointments are functional and not honorific in nature. They are intended to benefit both the faculty member and secondary department by enhancing collaboration in teaching, research, clinical programs, and in other activities of the secondary department. Reminder that joint appointment end dates cannot exceed the term of the primary appointment, and faculty with tenured primary appointments are limited to a three-year term in their secondary appointment(s).
- ✦ **Voluntary Faculty or Departmental Fellow Changing to Paid Faculty:** A Faculty Recruitment Form is required for any faculty member moving from a voluntary faculty or departmental fellow position to a paid faculty position. When moving to a paid faculty position, a completed I-9, an IPA, and an affirmative action form are required, if not previously submitted.
- ✦ **Reappointment of Assistant Professor:** Reappointment of an Assistant Professor at the completion of the first appointment period requires a preceding departmental review of performance and of the faculty member’s contributions as related to specific activity components; i.e., Research, Scholarship, Institutional Scholarship, Clinical, + Teaching, which the department chair and faculty member may have previously selected or are prepared to select for his/her career development. Departmental review is considered one of the more important points in the academic career of junior faculty. Please see the following pages: 8-9 (SMD Regulations of the Faculty) and Appendix D. **Do note this assessment letter becomes the faculty member’s reappointment letter, and he/she will receive a copy of the letter after the Dean concurs with the reappointment.**
- ✦ **Departmental Fellow:** Departmental Fellow with a joint appointment as Instructor requires a letter of approval from the Office of Compliance allowing the Departmental Fellow to practice/bill for services outside the scope of the training program. This is also required for a GME Fellow/Resident with a joint appointment as Instructor.
- ✦ **Termination:** All 510s terminating faculty appointments must be routed to the Academic Affairs Office for the signature of the Senior Associate Dean for Academic Affairs. A letter of resignation is required for any faculty member at the level of Assistant Professor or higher. In the “remarks” section of the 510 please indicate where the faculty member is going, if known.

General Information – continued...

- ✦ **Vacation Payout:** According to the Chief Financial Officer of the UR Medical Center, there is no payout of unused faculty vacation days.
- ✦ **eCV:** Beginning in July 2006, all full-time and paid part-time faculty are required to have an eCV in the database. New paid faculty are required to have their CVs in the eCV database within 30 days of hire.
- ✦ **Medical Staff Appointment:** For new faculty requiring a Medical Staff appointment Physician Services will contact Academic Affairs to let us know the “file” is clear. Academic Affairs will then proceed with the faculty appointment. **We cannot proceed with the faculty appointment until we receive this clearance.**
- ✦ **Website Link to Academic Affairs Homepage:** <http://oaa.urmc.edu>
- ✦ **Website Link to SMD Regulations of the Faculty:**
<http://www.urmc.rochester.edu/smd/faculty-regulations.cfm> (revised July 2014)
- ✦ **Website Link to the UR Faculty Handbook:**
http://www.rochester.edu/provost/assets/PDFs/Faculty_handbook.pdf (revised May 2014)

RECRUITMENT FORM /OFFER LETTER PROCESS

***NOTE:** All new faculty positions must be posted in HRMS for minimum of 30 days prior to an offer being made. The posting information goes on the posting page (last page of the recruitment form).

Step 1: Completed recruitment form is sent to **OAA ELECTRONICALLY** (email to lori_mcbride@urmc.rochester.edu)

Step 2: The recruitment form will be assigned a number by the office of Academic Affairs, this is the Position Number

Step 3: Account review/approval as appropriate; this will be obtained by Academic Affairs

SMH Account – Adam Anolik approves

URMFG Account – Jill Hetterich approves

SMD Account – Bill Passalacqua approves

***NOTE:** ALL recruitment forms will go to Bill Passalacqua before going to Dean Taubman for his signature

Step 4: Dean's signature on recruitment form

Step 5: Posting information is emailed to HRMS by Office of Academic Affairs. HR will assign a job posting number

***NOTE:** Posting can be done prior to the recruitment form being done/approved, the box to indicate this request on the posting page must be checked, and the department will incur any of the costs if the position is not approved)

Once the Dean has signed the form, a COPY of the recruitment form will be sent to the department via intramural mail, the original stays in Academic Affairs, and it is at this point the position is approved and open.

***NOTE:** 30 Days after the job has been posted is the earliest an offer letter can be dated and presented to the candidate

Step 6: Compose the offer letter and email draft to Christine Burke in the Office of Counsel – she will assign it to a lawyer for review. If you have worked with a different lawyer in the Office of Counsel on previous offer letters, please email the draft directly to that lawyer.

***NOTE:** Generally, a draft of the offer letter should not be given to the candidate. However, if it is absolutely necessary and appropriate to provide a draft in advance, this should not occur until after it has been approved by the Office of Counsel. Any drafts given to the candidate prior to the Dean's signature must have a prominent **DRAFT** designation and should not be signed by the Chair or any other URM representative.

Step 7: Send two hard copy originals to OAA along with the email approval from the Office of Counsel and a note identifying the recruitment form number that will be used.

These should be signed by the Department Chair and Division Chief (if applicable). The candidate SHOULD NOT sign prior to the letter coming to Academic Affairs.

Step 8: Letter reviewed by Academic Affairs

Step 9: Letter reviewed by SMD Finance and returned to OAA

Step 10: Letter presented to Dean for signature by OAA, and signed by Dean.

RECRUITMENT FORM /OFFER LETTER PROCESS (cont'd.)

The original letters will be sent back to the department to present to the candidate; a copy of the letter will be attached to the original of the recruitment form and held on file in Academic Affairs until hire.

Any changes made once the Dean has signed to the offer letter must be re-presented to OAA for approval.

PROFESSOR AND ASSOCIATE PROFESSOR*

(Components: Research, Scholarship, Institutional Scholarship, Clinical, + Teaching)

and

RESEARCH PROFESSOR

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

INITIAL APPOINTMENTS: (Terms for Associate Professors/Professors are typically for five years or with tenure if in tenurable components) (please see pages 9-12 in *SMD Regulations of the Faculty*)

1. Original signed offer letter
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Please note the HR Posting Number on the form in the appropriate spot. Also, please include the faculty recruitment position number assigned by the Dean's Office in the remarks section of the 500 form.)

ADDITIONALLY, PLEASE PROVIDE FOUR COPIES OF ITEMS 6 – 10 (ORIGINAL AND THREE COPIES)

6. Completed and signed Faculty Recommendation Form
7. Department Chair/Center Director recommendation letter (*for Research Professor, letter must identify funding source(s) for salary for the entire appointment period*). (For joint appointment(s) include recommendation letter from appropriate Department Chair/Center Director)
8. Current Curriculum Vitae

NOTE: FOR ITEMS #9 AND #10 – ALL RECEIVED LETTERS OF RECOMMENDATION MUST BE INCLUDED, REGARDLESS OF CONTENT, IN THE APPOINTMENT PACKET.

9. Internal referee letters (4-8 – actual number depends on rank and components) (*Internal referees are defined as any member of the UR faculty; includes all full-time, part-time, and voluntary faculty*)
10. External referee letters (4-8 – actual number depends on rank and components)
11. Selected reprints of most significant recent publications (3-5 from the last 3 years) – **3 copies of each**

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

PROFESSOR AND ASSOCIATE PROFESSOR*

(Components: Research, Scholarship, Institutional Scholarship, Clinical, +Teacher)

GRANTING OF TENURE*

(Associate Professor: Research, Institutional Scholarship, Clinical, + Teaching
Professor: Research, Scholarship, Institutional Scholarship, Clinical, + Teaching)

RESEARCH PROFESSOR

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

PROMOTIONS: (Promotions to Associate Professors/Professors are for terms of five years or with tenure*; for promotions to Research Professors the term can be from one to five years)

1. Faculty Personnel Action Form (#510)

ADDITIONALLY, PLEASE PROVIDE FOUR COPIES OF ITEMS 2-7 (ORIGINAL AND THREE COPIES)

2. Completed and signed Faculty Recommendation Form
3. Department Chair/Center Director recommendation letter (*for Research Professor, letter must identify funding source(s) for salary for the entire appointment period*). (For joint appointment(s) include recommendation letter from appropriate Department Chair/Center Director)
4. Current Curriculum Vitae – following either the URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format

NOTE: FOR ITEMS #5 AND #6 – ALL RECEIVED LETTERS OF RECOMMENDATION MUST BE INCLUDED, REGARDLESS OF CONTENT, IN THE PROMOTION PACKET.

5. Internal referee letters (4-8 – actual number depends on rank and components) (*Internal referees are defined as any member of the UR faculty; includes all full-time, part-time, and voluntary faculty*)
6. External referee letters (4-8 – actual number depends on rank and components)
7. Self-Assessments (**please see Appendix C for more detailed explanation; these pages should be given to the faculty member:**
 - Self-Assessment of Teaching
 - Peer-Evaluation of Teaching (one is required)
 - Self-Assessment of Research (not required for Clinician-Teacher option)
8. Selected reprints of most significant recent publications (3-5 from last 3 years) (3 copies of each)

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

PROFESSOR AND ASSOCIATE PROFESSOR*

(Components: Research, Scholarship, Institutional Scholarship, Clinical, +Teaching)

RESEARCH PROFESSOR

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

REAPPOINTMENTS: (For reappointment terms please see pages 9-12 in SMD Regulations of the Faculty)

1. Faculty Personnel Action Form (#510)
2. Completed and signed Faculty Recommendation Form
3. Department Chair/Center Director recommendation letter (*for Research Professor, letter must identify funding source(s) for salary for the entire appointment period*). (For joint appointment(s) include recommendation letter from appropriate Department Chair/Center Director)
4. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV Format

NOTE: FOR ITEMS #5 AND #6 – ALL RECEIVED LETTERS OF RECOMMENDATION MUST BE INCLUDED, REGARDLESS OF CONTENT, IN THE REAPPOINTMENT PACKET.

5. Internal referee letters (3-5 – actual number depends on rank and components) (*Internal referees are defined as any member of the UR faculty; includes all full-time, part-time, and voluntary faculty*)
6. External referee letters (2-4 – actual number depends on rank and components)

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

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

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

(For Professor of Clinical, Associate Professor of Clinical, and Clinical Professor, MEDSAC Steering Committee approval is required for initial appointment)

Above Actions Also Require University Board of Trustees Approval

APPOINTMENTS:

1. Original signed offer letter or professional service contract; e.g., Primary Care contract. (Offer letter is required only if faculty member is to be salaried)
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Note the HR Posting Number on the form in the appropriate spot and include the faculty recruitment position number, assigned by the Dean’s Office, in the remarks section of the 500 form.)
6. Completed and signed Faculty Recommendation Form
7. Department Chair recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
8. Current Curriculum Vitae
9. Referee letters – for Professor 3-5; for Associate Professor 2-4 (May be from either internal or external referee)

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

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



IF TIME-AS-REPORTED (TAR), % OF EFFORT MUST BE SUPPLIED

(For Professor of Clinical, Associate Professor of Clinical, and Clinical Professor, MEDSAC Steering Committee approval is required for promotion)

Above Actions Also Require University Board of Trustees Approval

PROMOTIONS:

PLEASE PROVIDE TWO (2) COPIES OF ITMES 1-4

1. Completed and signed Faculty Recommendation Form
2. Department Chair recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Referee letters - for Professor 3-5; for Associate Professor 2-4 (May be from either internal or external referee)
5. Faculty Personnel Action Form (#510)

REAPPOINTMENTS:

1. Department Chair recommendation letter (2 copies) (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
2. Faculty Personnel Action Form (#510)

RESEARCH ASSOCIATE PROFESSORS

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

APPOINTMENTS:

1. Original signed offer letter
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Note the HR Posting Number on the form in the appropriate spot and include the faculty recruitment position number, assigned by the Dean's Office, in the remarks section of the 500 form.)
6. Completed and signed Faculty Recommendation Form
7. Department Chair/Center Director recommendation letter – Must include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment
8. Current Curriculum Vitae
9. Internal referee letters (2-4)
10. External referee letters (2-4)

RESEARCH ASSOCIATE PROFESSORS

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

PROMOTIONS:

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter – Must include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Internal referee letters (2-4)
5. External referee letters (2-4)
6. Faculty Personnel Action Form (#510)

REAPPOINTMENTS:

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

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

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

APPOINTMENTS:

1. Original signed offer letter
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Note the HR Posting Number on the form in the appropriate spot and include the faculty recruitment position number, assigned by the Dean's Office, in the remarks section of the 500 form.)

ADDITIONALLY, PLEASE PROVIDE THE FOLLOWING ITEMS:

6. Completed and signed Faculty Recommendation Form
7. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
8. Current Curriculum Vitae
9. Referee letters (2-5) (actual number dependent on anticipated components, can be from either internal or external referees)

PROMOTIONS:

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Referee letters (2-5) (actual number dependent on anticipated components)
5. Faculty Personnel Action Form (#510)

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

REAPPOINTMENTS:

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter for reappointment – refer to pages 8 and 9 in the *Regulations of the Faculty* as well as Appendix D for further information on the departmental evaluation of Assistant Professors. (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))

Additionally, the recommendation letter must include the concurrence sentence, with the appropriate components, to be signed by the Dean, School of Medicine & Dentistry (at the end of the letter):

“I concur with the above reappointment in the anticipated components of (Research, Scholarship, Institutional Scholarship, Clinical, +Teaching), effective _____ through _____.

Mark B. Taubman, MD
Dean, School of Medicine & Dentistry
University Vice President for Health Sciences

3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Referee letters (3-5) (actual number dependent on selected components, can be either internal or external referees)
5. Faculty Personnel Action Form (#510)

RESEARCH ASSISTANT PROFESSOR

APPOINTMENTS:

1. Original signed offer letter
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Note the HR Posting Number on the form in the appropriate spot and include the faculty recruitment position number, assigned by the Dean's Office, in the remarks section of the 500 form.) **DO NOTE: RAPs should not be paid 100% effort on a ledger 5 account.**

ADDITIONALLY, PLEASE PROVIDE THE FOLLOWING ITEMS:

6. Completed and signed Faculty Recommendation Form
7. Department Chair/Center Director recommendation letter - Must *include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment*
8. Current Curriculum Vitae
9. Referee letters (1-2) (can be from either internal or external referees)
10. Faculty Personnel Action Form (#510)

NOTE: For promotions to the rank of Research Assistant Professor, follow the guidelines above – numbers 6-10. Current CV can be either following the URSMD or eCV format.

REAPPOINTMENTS:

1. Department Chair/Center Director recommendation letter – Must include information regarding the funding sources from which the faculty member's salary will be paid throughout the term of the appointment
2. Faculty Personnel Action Form (#510) **DO NOTE: RAPs should not be paid 100% effort on a ledger 5 account.**

ASSISTANT PROFESSOR (Professional Service) (Full or Part Time)
SENIOR INSTRUCTOR, INSTRUCTOR (Academic or Professional Service) (Full or Part Time)
SENIOR ASSOCIATE, ASSOCIATE, OR ASSISTANT (Full or Part Time)

APPOINTMENTS:

1. Original signed offer letter
2. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
3. Copy of Intellectual Property Agreement form – (original IPA should be forwarded to ORPA)
4. Affirmative Action Form – form is only for the use of the Academic Affairs Office and will not be forwarded to the HR Service Center
5. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s). (Note the HR Posting Number on the form in the appropriate spot and include the faculty recruitment position number, assigned by the Dean's Office, in the remarks section of the 500 form.)

ADDITIONALLY, PLEASE PROVIDE:

6. Completed and signed Faculty Recommendation Form
7. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
8. Current Curriculum Vitae

PROMOTIONS:

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Faculty Personnel Action Form (#510)

REAPPOINTMENTS:

1. Faculty Personnel Action Form (#510) – Include copy of signed professional service contract, when relevant.

VOLUNTARY FACULTY

(Clinical Assistant Professor, Clinical Senior Instructor, Clinical Instructor
Clinical Associate, and Clinical Assistant)
(No-Pay, Time-As-Reported (TAR), or less than .5FTE)



IF TIME-AS-REPORTED (TAR), % OF EFFORT MUST BE SUPPLIED

APPOINTMENTS:

1. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
Note: If there is any possibility of the faculty member receiving any salary, compensation, honorarium, etc., the I-9 is mandated.
2. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s).
3. Completed and signed Faculty Recommendation Form
4. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
5. Current Curriculum Vitae

PROMOTIONS:

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Faculty Personnel Action Form (#510)

REAPPOINTMENTS:

1. Faculty Personnel Action Form (#510)

JOINT APPOINTMENTS

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

CLINICAL PROFESSOR and CLINICAL ASSOCIATE PROFESSOR
(voluntary)

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

(University Board of Trustees approved appointments)

APPOINTMENTS:

PLEASE PROVIDE TWO COPIES OF ITEMS 1-3

1. Completed and signed Faculty Recommendation Form – Must be signed by both the primary department chair and the secondary department chair/center director
2. Joint Department Chair/Center Director recommendation letter
3. Current Curriculum Vitae – following either URSMD(see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Faculty Personnel Action Form (#500 or #510) - Must be signed by both the primary department chair and the secondary department chair/center director

REAPPOINTMENTS:

1. Joint Department Chair/Center Director recommendation letter (2 copies) - Must be signed by both the primary department chair and the secondary department chair/center director
2. Faculty Personnel Action Form (#510) - Must be signed by both the primary department chair and the secondary department chair/center director

Reminder:

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

JOINT APPOINTMENTS

**ASSISTANT PROFESSOR, ASSISTANT PROFESSOR OF CLINICAL, RESEARCH ASST PROFESSOR
SENIOR INSTRUCTOR, SENIOR INSTRUCTOR OF CLINICAL
INSTRUCTOR, INSTRUCTOR OF CLINICAL
SENIOR ASSOCIATE, ASSOCIATE, ASSISTANT
(full-time and part-time)**

**CLINICAL ASSISTANT PROFESSOR, CLINICAL SENIOR INSTRUCTOR, CLINICAL INSTRUCTOR
(voluntary)**

APPOINTMENTS:

1. Completed and signed Faculty Recommendation Form - Must be signed by both the primary department chair and the secondary department chair/center director
2. Joint Department Chair/Center Director recommendation letter
3. Faculty Personnel Action Form (#500 or #510) - Must be signed by both the primary department chair and the secondary department chair/center director

REAPPOINTMENTS:

1. Joint Department Chair/Center Director recommendation letter
2. Faculty Personnel Action Form (#510) - Must be signed by both the primary department chair and the secondary department chair/center director

Reminder:

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

ADJUNCT and VISITING FACULTY APPOINTMENTS
(at any faculty rank)

APPOINTMENTS:

1. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
Note: If there is any possibility of the faculty member receiving any salary, compensation, honorarium, etc., the I-9 is mandated.
2. Copy of Intellectual Property Agreement Form
3. Faculty Personnel Action Form (PAF #500) – signed/countersigned by appropriate Department Chair(s) and/or Center Director(s).
4. Completed and signed Faculty Recommendation Form
5. Department Chair/Center Director recommendation letter (For joint appointment(s) include recommendation letter from appropriate Department Chair(s))
6. Current Curriculum Vitae
7. **For Adjunct Associate Professor and Adjunct Professor:** Provide 1-2 referee letters (can be internal or external referee)

Note: Adjunct and Visiting appointments should be for one year; however, the appointment can be renewed on an annual basis if justified.

REAPPOINTMENTS:

Adjunct Faculty:

1. Adjunct Instructor through Adjunct Assistant Professor a chair's letter or the Adjunct Faculty Reappointment Form (see Appendix B) is sufficient
2. Adjunct Associate Professor and Adjunct Professor the Department Chair/Center Director letter is required together with the Adjunct Faculty Reappointment Form
3. Faculty Personnel Action Form (#510)

Visiting Faculty:

1. Department Chair/Center Director recommendation letter
2. Faculty Personnel Action Form (#510)

EMERITUS

PROFESSOR EMERITUS OR CLINICAL PROFESSOR EMERITUS

(University Board of Trustees approved appointment)

APPOINTMENTS:

Please provide two copies of items 1-3

1. Completed and signed Faculty Recommendation Form
2. Department Chair/Center Director recommendation letter
3. Current Curriculum Vitae – following either URSMD (see Appendix II of *SMD Regulations of the Faculty*, pages 38-40), or eCV format
4. Faculty Personnel Action Form (#510)

Note: The Emeritus appointment does not have an end date. The appointment is held by the faculty member indefinitely.

DEPARTMENTAL FELLOWS

APPOINTMENTS:

1. Faculty Personnel Action Form (#500) – **Note: Faculty Recruitment Form not required for Departmental Fellow appointments**
2. Completed and signed Faculty Recommendation Form
3. Department Chair/Center Director recommendation letter
4. Current Curriculum Vitae
5. Copy of Employment Eligibility Verification (I-9) form – Attach legible copy/copies of proof of citizenship (U.S. citizen) or work authorization (non-U.S. citizen)
6. Department must verify the M.D. Departmental Fellow has a valid, current NYS Medical License –provide proof with initial appointment packet. Note: the end date of the appointment cannot exceed the term of their NYS Medical License.
7. For those Departmental Fellows with a research component as part of their fellowship, include a copy of the signed Intellectual Property Agreement (IPA)

REAPPOINTMENTS:

1. Faculty Personnel Action Form (#510)
2. Re-verify I-9 form, if necessary
3. Re-verify NYS Medical License, if appropriate

APPENDICES – “A” THROUGH “G”

UNIVERSITY OF ROCHESTER SCHOOL OF MEDICINE AND DENTISTRY
Faculty Recommendation Form

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

Proposed Action (check all that apply):

Appointment <input type="checkbox"/>	Change in Appointment <input type="checkbox"/>
Reappointment <input type="checkbox"/>	Additional Appointment <input type="checkbox"/>
Promotion <input type="checkbox"/>	Grant Tenure <input type="checkbox"/>

PRIMARY APPOINTMENT

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

Specify Activity Components (if applicable):

Research, +Teaching <input type="checkbox"/>	Clinical, Scholarship, +Teaching <input type="checkbox"/>
Research, Clinical, +Teaching <input type="checkbox"/>	Institutional Scholarship, +Teaching <input type="checkbox"/>
Clinical, +Teaching <input type="checkbox"/>	Scholarship, +Teaching <input type="checkbox"/>

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

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

Remarks

Signatures

Primary Department Chair _____

Joint Department Chair _____

Appendix B

ADJUNCT FACULTY REAPPOINTMENT FORM

Name _____

Home Address _____

Primary Institution Affiliation _____

Title/Rank at Primary Institution _____

Business Address _____

End Date of Current Adjunct Appointment _____

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

- a. Course(s)
- b. Dates of participation
- c. Hours

2) Time spent on-site doing research

- a. Grants on which you are named principal investigator and faculty at the University of Rochester are named co-investigator (include title, agency, and grant period)
- b. Grants on which you are named co-investigator (include title, agency, and grant period)
- c. Other research collaborations

3) Other on-site activities

4) Comments

Appendix C

Name of Candidate: _____

TEACHING

Evaluation of Faculty Contributions to Teaching:

Outline for Compilation

Essential Elements:

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

Name of Candidate: _____

TEACHING

Faculty Member's Self-Assessment of Teaching Contributions

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

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

Name of Candidate: _____

RESEARCH/SCHOLARSHIP

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

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

Appendix D (updated July 2014)

Date: July 1, 2014
To: Department Chairs and Center Directors
From: Jeffrey M. Lyness, MD
Re: Procedure for Evaluation of Assistant Professor Prior to First Reappointment

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

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

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

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

UNIVERSITY OF ROCHESTER SCHOOL OF MEDICINE AND DENTISTRY

**A “FAST TRACK” PROCESS FOR PRELIMINARY
REVIEW OF PROPOSED NEW SENIOR
FACULTY APPOINTMENTS OR PROMOTIONS**

A. JUSTIFICATION:

- When recruiting candidates for senior faculty appointments (i.e., associate professor and professor) in either basic or clinical sciences, the pool of viable candidates is frequently small, recruitment processes and negotiations may be protracted and, once a candidate accepts the offer, timelines for meeting a mutually desirable appointment start date are frequently short.
- Because of the above, an initial appointment as “Interim Professor” has often been used as a mechanism to allow the faculty member to be placed on the University of Rochester payroll and begin working, while awaiting the assembly and final review of all required appointment materials by the *ad hoc* and Steering Committees.
- Frequent use of such a mechanism creates problems – among them:
 - ❖ It anticipates and presumes endorsement by the *ad hoc* and Steering Committees of a permanent appointment as stipulated in the offer letter.
 - ❖ It has the potential for creating significant conflicts within these committees. Steering Committee members often feel conflicted, as they try to make objective judgments and recommendations free of bias.

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

B. PROCEDURE:

- 1) Before an offer letter for a senior faculty appointment (i.e., associate professor or professor) in any of the academic components (Research, Scholarship Institutional Scholarship, Clinical, plus Teaching) is finalized, and optionally before an internal promotion is proposed, the department chair and/or center director will submit to the Academic Affairs office (i.e., Senior Associate Dean for Academic Affairs (SADAA)) the following:
 - (a) A brief memo summarizing: (i) key elements in the candidate's current position, research interests, special expertise and academic/professional contributions; (ii) the candidate's proposed role in the department and medical center with emphasis on the importance of the recruitment/promotion in meeting major programmatic, clinical, and/or research needs; (iii) the candidate's proposed rank, activity components and (when applicable) anticipated administrative leadership role.
 - (b) An up-to-date copy of the candidate's CV.
 - (c) Three to four internal and/or external letters of recommendation.

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

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

Appendix F

SCHOOL OF MEDICINE & DENTISTRY

Job Codes and Faculty Ranks

<u>Job Code</u>	<u>Faculty Rank</u>
0001	Professor
0003	Associate Professor
0005	Assistant Professor
0007	Senior Instructor
0009	Instructor
0046	Professor of Clinical
0048	Associate Professor of Clinical
0060	Assistant Professor of Clinical
0072	Senior Instructor of Clinical
0080	Instructor of Clinical
0038	Research Professor
0040	Research Associate Professor
0042	Research Assistant Professor
0006	Associate Professor (Service)
0008	Assistant Professor (Service)
0010	Senior Instructor (Service)
0044	Instructor (Service)
0070	Senior Associate
0071	Associate
0073	Assistant
0099	Departmental Fellow
0027	Clinical Professor
0029	Clinical Associate Professor
0031	Clinical Assistant Professor
0033	Clinical Senior Instructor
0035	Clinical Instructor
0074	Clinical Associate
0036	Clinical Assistant

Appendix F

SCHOOL OF MEDICINE & DENTISTRY

Job Codes and Faculty Ranks (cont'd)

<u>Job Code</u>	<u>Faculty Rank</u>
0037	Adjunct Professor
0039	Adjunct Associate Professor
0041	Adjunct Assistant Professor
0043	Adjunct Senior Instructor
0045	Adjunct Instructor
0047	Visiting Professor
0049	Visiting Associate Professor
0057	Visiting Assistant Professor
0059	Visiting Senior Instructor
0061	Visiting Instructor
0117	Interim Professor (Professor–Pending Approval)
0118	Interim Associate Professor (Associate Professor–Pending Approval)

URSMD ACADEMIC AFFAIRS – Affirmative Action Form

Position: _____ Department: _____ Div/Dept #: _____

Position Code: _____ Time Status: Appointment Date: _____
mm/dd/yyyy

Appointee: _____ Empl ID (if known): _____ Date of Birth: _____
mm/dd/yyyy

Sex: Ethnicity/Race*: _____ Place of Birth: _____

Veterans/Disability Invitation sheet given or sent to appointee (required for new hires)

Appointee Military Status - check all that apply
<input type="checkbox"/> 1. No Service
<input type="checkbox"/> 2. Armed Forces Services Medal
<input type="checkbox"/> 3. Other Eligible Veteran
<input type="checkbox"/> 4. Disabled Veteran
<input type="checkbox"/> 5. Newly Separated Veteran with a Discharge Release Date of: _____ <small>mm/dd/yyyy</small>

Optional: Disability - check all that apply	
<input type="checkbox"/> 1. Ambulatory/Orthopaedic	<input type="checkbox"/> 5. Psychological
<input type="checkbox"/> 2. Coordination	<input type="checkbox"/> 6. Speech
<input type="checkbox"/> 3. Hearing	<input type="checkbox"/> 7. Sight
<input type="checkbox"/> 4. Learning	<input type="checkbox"/> 8. Other (qualify): _____

*Ethnicity/Race Codes (two part question):	
<u>Ethnicity:</u>	
H	Hispanic/Latino (blank = No)
<u>Race (select one):</u>	
A	Asian
B	Black/ African American
I	Native Hawaiian/Other Pacific Islander
N	American Indian/Alaskan Native
W	White/Caucasian

Has Department received Appointee's online application