

Tenured and Clinical Faculty Review Guidelines
TFR/CFR
University of Utah - School of Medicine
Approved 11/04/02

DUE DATE December 30, 2005

The basic philosophy of the tenured 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 promotion and tenure 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/CFR process should, therefore, be custom fit to the individual faculty member.

1. The responsible Unit Head should meet annually with each tenured and post five-year Full-time Clinical members of his/her faculty to 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 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.) In the event that the faculty member and the Unit Head disagree on expectations and goals, the faculty member may appeal to the School of Medicine TFR/CFR Appeals Committee. The TFR/CFR Appeals Committee will use the faculty member's and the Unit Head's list of expectations and goals to produce a final list of goals and expectations.
2. During subsequent yearly meetings the unit head 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 Unit Head 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 Unit Head's evaluation, the revised goals and expectations and any remediation plan should be put in writing.
3. Each tenured and clinical track faculty member will receive a formal TFR/CFR every fifth year following the award of tenure or five years after a Full-Clinical faculty member's sixth-year review. If a faculty member receives an unsatisfactory yearly review in two consecutive years, the faculty member will be subject to a formal TFR/CFR review.

4. The formal TFR/CFR review potentially consists of two stages.

4.1. Stage one applies to the five year TFR/CFR. In Stage One the faculty member is reviewed by a departmental TFR/CFR Committee. The TFR Committee is constituted of two tenured and one untenured member of the faculty member's home department and one person from another department. The CFR Committee is made up of two tenured members and one full-time clinical track member and a fourth member from another department. 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.

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

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

5.1 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. If the department TFR/CFR Committee determines that the faculty member has performed satisfactorily then the formal review is completed and it does not proceed to stage two. If the department TFR/CFR Committee is not able to determine that the faculty member has performed satisfactorily, then the review proceeds to stage two.

5.2 Stage two applies if a faculty member has two consecutive unsatisfactory annual reviews by the Unit Head/Chair, or if the Committee cannot determine that the faculty member has performed satisfactorily in a stage one five-year TFR/CFR. The second stage review is more in depth than a first stage review. In addition to teaching evaluations, grant support, and CV, input is sought from the departmental SAC and evaluation letters are obtained (three from inside the institution and three 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.

- a. Letters are solicited on a confidential or non-confidential basis. Use the Waiver Form in this packet to state how the reviewee wants to have the letters solicited. A signed and witnessed Waiver Form must be in each file if used.

6. The formal TFR/CFR process should produce one of three reasoned conclusions:

6.1 Satisfactory

6.2 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.

6.3 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 (reproduced verbatim in Appendix A and Appendix B).

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

8. After considering the faculty member's file and the discussion and recommendations of the departmental TFR 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. For significant violations of the Faculty Code the recommended sanction may be termination from the University.

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

10. The faculty member may appeal the evaluation and conclusion of the departmental TFR/CFR Committee and the sanctions imposed by the department Chair to the School of Medicine TFR/CFR Appeals Committee.

11. If a TFR/CFR 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.

12. The results of all Required TFR/CFR evaluations must be submitted to the School of Medicine Faculty Affairs Office for review by the Dean by December 30, 2005.

**UNIVERSITY OF UTAH POLICY AND PROCEDURES
TENURED FACULTY REVIEW
APPENDIX A**

Policy and Procedures Manual 8-12.3

A. The Basic Aspiration

A faculty member is primarily a teacher and a scholar. Above all the single overriding canon is to strive for excellence and to inspire excellence in others.

B. Duties to Students

University teaching should reflect consideration for the dignity of students and their rights as persons. Students as well as faculty are entitled to academic freedom and autonomy in their intellectual pursuits and development.

Teachers must therefore treat students with courtesy and respect. They must not require students to accept their personal beliefs or opinions and must strive in the classroom to maintain a climate conducive to thinking and learning.

They must not misuse their position, authority, or relationship with students.

C. Professional Obligations

Faculty members should seek knowledge and value the pursuit of truth. They should strive to contribute to their discipline, and should support and encourage the efforts of others. Faculty members should maintain and improve their effectiveness as teachers and scholars.

D. Obligations to the University

A faculty member's position is one of trust and responsibility to the university and the students, faculty, and staff who constitute the university community.

Faculty members should merit such trust and responsibility by devoted service. They should strive to maintain and improve the academic quality of their department, college, and the university. When called upon to serve in administrative posts or on committees, faculty members should strive to achieve the legitimate purposes of the university with due consideration for the interests of other persons involved.

APPENDIX B

Policy and Procedures Manual 8-12.4

RULES

A. General Duties

1. Faculty members must conduct themselves, in their interactions with other faculty members, administrators, staff members, students, and participants [as defined in PPM 2-32.IV(C)] in accordance with reasonable standards of professionalism. Examples of inappropriate behavior include but are not limited to requiring the performance of inappropriate personal services; assigning tasks for punishment rather than for educational or job-related reasons; intentional disruption of teaching, research or administrative activities; and intentional neglect of necessary communications.
2. Faculty members must not discriminate against, harass, or impose prejudicial treatment upon other faculty members, staff members, students, or participants (as that term is defined in the sexual harassment policy, PPM 2-32) because of race, color, religion, national origin, gender, sexual orientation, country of citizenship, age, political beliefs, or status as a person with a disability, veteran, or because of any other criterion or characteristic that is an impermissible basis, under applicable constitutional or statutory provisions. This injunction includes decisions or recommendations concerning admissions, employment, promotion, retention, tenure, grading, and other professional matters. [For policies on discrimination and sexual harassment, see PPM 2-6, 2-6A and 2-32.]
3. Faculty members must not intentionally violate current university rules and regulations.
4. Faculty members must comply with reasonable and appropriate instructions of their chair, dean, cognizant vice president, president or other authorized university officer respecting the timely performance of their essential duties.
5. Faculty members must competently perform their responsibilities as teachers and members of the faculty. Decisions related to a faculty member's competence in the areas of teaching, scholarship, and service will be based on regulations and guidelines outlined in PPM 9-5 and consistent with relevant college or departmental criteria. Competence issues related to a faculty member's medical condition will be handled under PPM 8-7.

B. Duties to Students

1. Faculty members are expected to meet their regularly scheduled classes. Failure to meet scheduled classes without prior notice to students is excusable only for reasons beyond the control of faculty members. Alteration of schedules, cancellation or rescheduling of classes may be done only for valid reasons and after adequate notice to students.

2. Faculty members shall engage in reasonable and substantial preparation for the teaching of courses assigned to them, consistent with their scope and nature and appropriate to the educational objectives sought to be achieved.
3. Faculty members must maintain regular office hours during which they are available for consultation with students or otherwise assure their accessibility to students.
4. Faculty members must, at the beginning of a course, give reasonable notice to students of the general content of the course, what will be required of the students, and the criteria upon which their performance will be evaluated. Evaluations must be performed promptly, conscientiously, without prejudice or favoritism, and consistently with the criteria stated at the beginning of the course. The criteria for evaluating student performance must relate to the legitimate academic purposes of the course. Grade appeals submitted by students are not considered charges of misconduct under this code. [For the appeals procedure, see the student code, PPM 8-10.2, Article III, section 3.04.]
5. Faculty members must not misuse the classroom by preempting substantial portions of class time for the presentation of their own views on topics unrelated to the subject matter of the course. Where faculty members find it pedagogically useful to advocate a position on controversial matters, they must exercise care to assure that opportunities exist for students to consider other views. Faculty members must not reward agreement or penalize disagreement with their views on controversial topics.
6. Faculty members must not use their position, authority, or relationship with students to obtain uncompensated labor for their own personal or pecuniary gain. They may not ask students to perform services unrelated to legitimate academic requirements of a course unless the student is adequately compensated for such services. Faculty members must not solicit gifts or favors from students. They must not accept gifts or favors where they have reason to believe that such gift or favor is motivated by a desire to secure some academic advantage.
7. Faculty members must not plagiarize the work of a student. Where a faculty member and a student work together, appropriate credit must be given to the student. Faculty members may not limit or curtail the right of a student to publish or otherwise communicate the result of the student's own scholarly activities.
8. Faculty members must not reveal matters related in explicit confidence by a student, except as required by law or university policy. Personal matters relating to a student must not be revealed by faculty members except to persons entitled to such information by law or university policies. Faculty members may, however, report their assessment of a student's academic performance and ability to persons making legitimate inquiry provided such disclosure is in accordance with the Family Educational Rights and Privacy Act ("FERPA").

9. Faculty members have the same duties to students in clinical and research settings, in distance learning, and in other non-traditional settings as they do in the traditional classroom.

C. Professional Obligations

1. Faculty members are responsible for insuring that approval has been obtained from the appropriate review committees prior to initiating or becoming involved in research that involves human subjects, vertebrate animals, radiation or radioactive compounds, biohazards, toxic substances, or any other material or activity covered by university, state or federal regulation. Faculty members are also responsible for monitoring ongoing research and teaching activities under their supervision to ensure that they continue to be conducted in accord with approved protocols. In addition, faculty must ensure that all personnel involved in such activities under their supervision are fully trained in accordance with relevant regulations.
2. Faculty members must avoid any form of misconduct in sponsored research, non-sponsored research, and in other forms of professional activity. When reporting the results of their research or professional activities, faculty members must be honest in the presentation of the data and in the description of the work. Misconduct is defined as fabrication or falsification of data and/or results, plagiarism, or other practices that seriously deviate from those practices that are commonly accepted within the research community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations of judgments of data and/or results. [For policy on sponsored research misconduct, see PPM 6-1.1.]
3. Faculty members must not plagiarize or permit the appearance that they are the author of work done by others.
4. When faculty members are engaged in joint research or other professional efforts with colleagues, they must exercise reasonable care to discharge their agreed obligations.
5. Faculty members whose commitments to the university include research, publication, or other professional endeavors must exercise reasonable care to discharge their agreed commitments.
6. When faculty members serve as supervisors of the professional work of other persons, they must not exploit their position for personal or pecuniary gain.

D. Obligations to the University

1. Faculty members must not purposely mislead the university by misrepresenting their qualifications as a faculty member or eligibility for university benefits.
2. Faculty members must not utilize their relationships with students or other university professional relationships, their status as a faculty member, or their access to university facilities and services, in a manner which involves or is part of a course of conduct constituting knowing participation in a criminally punishable violation of law and which is likely to interfere substantially with effective fulfillment of university

functions or obligations, including the obligations and duties imposed by this Code of Faculty Responsibility. No sanctions, however, may be imposed under this provision in a manner that will deprive any faculty member of the rights of free expression and association, as guaranteed by the constitutions of the United States, and the State of Utah.

3. Faculty members must avoid exploiting the university's name or their own relation with the university for personal reasons unrelated to their legitimate academic or professional activities. They must not intentionally create the impression, in public appearances or statements, that they are representing the university, unless in fact, they are.
4. Faculty members must not misappropriate university property. They must not knowingly use university property in violation of state or federal law. They must not use university property or facilities for pecuniary gain, or for personal advantage, if the use of such property or facilities has no legitimate relationship to the faculty member's academic service. For purposes of this section, professional activities which serve to maintain or improve a faculty member's academic skills and which do not violate university restrictions on outside activities have a legitimate relationship to a faculty member's academic service.
5. Faculty members must not maliciously destroy university property, purposely disrupt university programs, purposely inflict physical injury on other persons on campus, or purposely interfere with the legitimate activities of other persons on the university campus. Faculty members must not purposely and unlawfully incite others to engage in such destruction, disruption, injury, or interference. However, mere advocacy or expression shall not be considered incitement unless the advocacy or expression poses a clear and present danger of the imminent occurrence of such destruction, disruption, injury, or interference.
6. Faculty members must comply with current university regulations restricting the amount of time they may spend on nonuniversity commitments, outside consulting or other nonuniversity employment. [For policy on consulting, see PPM 2-26.] They must also comply with state law and university regulations relating to conflicts of interest. [For policies on conflicts of interests, see PPM 2-30 and 4-8.]
7. Faculty members must not intentionally make false assertions in initiating or in the course of any university disciplinary proceedings.
8. Faculty members may also be subject to discipline for violation of the Drug-Free Workplace Policy (PPM 2-12) and the Field Trip Policy (PPM 1-10) in accordance with the procedures described in those policies.

**CHECK LIST
REQUIRED MATERIAL FOR TFR/CFR FILES
SCHOOL OF MEDICINE**

FACULTY NAME _____

DEPARTMENT _____

DATE DELIVERED TO FACULTY ADMINISTRATION _____

Material Required for Stage 1

1. Recommendation Letter Signed by Department Chair and Faculty Member Acknowledging the Committee's Recommendation _____
2. TFR Committee Recommendation – (Circle One)
Satisfactory Needs Improvement Unsatisfactory

Material Required for Stage 2 - If Needed

3. Student Advisory Committee Minutes (list members) _____
4. Letters of Evaluation _____
3 Internal Letters and 3 External Letters Required
Do not solicit more than 8 letters.
5. Waiver Form _____
5. An Up-to-Date Curriculum Vitae and Bibliography _____

Deliver completed TFR/CFR folders to the Faculty Administration Office, 1C047.
If you have questions, please contact Jennifer Murphy at 581-5705 or E-Mail
Jennifer.Murphy@hsc.utah.edu

DEADLINE: December 31, 2004