

Standard 7 – Element 7.8-1

Evidence Submission

Policy for Faculty Appointment

Policies and Procedures for Faculty Appointment and Advancement

This policy includes the policies and procedures for faculty appointment, renewal of appointment, promotion, declaration that no tenure exists for any faculty of DYU-COM, and remediation. Every faculty member shall receive written information about their term of appointment, responsibilities, lines of communication, privileges and benefits, performance evaluation and remediation, terms of dismissal, and due process. Please note that DYU-COM does not currently have any clinical practices, so therefore, there are no polices on practice earnings.

Definitions of Faculty Status

There are three categories of faculty appointments as follows:

1. **Clinical Faculty** - these are faculty members who do not hold employment with DYU-COM but are awarded a faculty appointment by the Dean for teaching, research, and/or service (academic or clinical). Preceptors (Clinical Preceptors) are considered Clinical Faculty. Clinical Faculty are assigned rank as Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor. Please note that only healthcare professionals may qualify for a Clinical Faculty Appointment.
2. **Employed Faculty** - these are faculty members who are employed or under a contract of employment with DYU-COM and are awarded faculty appointments by the Dean. Faculty appointments are awarded only to employees who have some or all their employment responsibilities to include teaching, research, and/or service (academic or clinical).
3. **Titled Faculty** - these are faculty members who do not hold employment with DYU-COM and are not considered Clinical Faculty but could be acting as independent contractors or have honorary appointments and are awarded the appointment by the Dean for purposes of supporting the mission of DYU-COM. Title Faculty are assigned rank as Adjunct Professor, Visiting Professor, or Emeritus Professor.

Qualifications for Appointment to Rank

At the time of initial appointment, the Dean of DYU-COM shall approve academic rank for academic and administrative faculty. Satisfaction of degree/experiential requirements shall be determined by the Dean of DYU-COM. Degrees and teaching experience must be from accredited post-secondary institutions unless otherwise determined by the Dean of DYU-COM. "Years," with respect to teaching experience, shall mean full-time teaching for a full academic year. Equivalencies or exceptions to any qualifications shall be determined by the Dean of COM.

The following are minimal qualifications for initial appointment to rank. Determinations of equivalencies or exceptions to standard qualifications shall be determined by the Dean of COM.

1. **Instructor (or Clinical Instructor)** - An instructor is someone who holds a master's or doctorate. Please note that physicians or other healthcare providers who are not board-certified are eligible for the rank of Instructor.
2. **Assistant Professor (or Clinical Assistant Professor)** - must have a doctorate or terminal healthcare professional degree with board certification. If a PhD/Psy.D. or equivalent, must be board certified or have a minimum of three (3) years teaching at the collegiate level.
3. **Associate Professor (or Clinical Associate Professor)** - must have all of the qualifications of an Assistant Professor plus at least five (5) years of successful teaching with scholarly activity at the Assistant Professor rank.
4. **Professor (or Clinical Professor)** - must have all of the qualifications of an Associate Professor plus at least five (5) years of successful teaching with scholarly activity at the Associate Professor rank.

Process of Initial Appointments

The process of DYU-COM faculty appointments is as follows:

1. Individuals interested in a faculty appointment must apply to DYU-COM. Hired/employed individuals must follow the same process unless otherwise stated in their employment agreement.
2. The faculty application file is processed. Processing includes staff requesting an AOIA or AMA profile or State Department of Health (or equivalent) for physicians, or primary license verification for other healthcare professionals. PhDs (or equivalent) may only apply for a faculty appointment if they are hired/employed and must undergo a background check with educational verification (done around the time of employment or hire).

3. The Academic Appointment & Promotions Committee (AAP) reviews each complete faculty application file (containing all the completed elements as defined in the second step) and makes a recommendation of appointment with rank or deferral. Please note that before Candidate Status, the Dean will act as the AAP.
4. The Dean of DYU-COM receives the recommendations from the AAP and uses their recommendation to inform the decision of appointment or deferral at the Dean's discretion.
5. Any appointment made by the Dean of DYU-COM will be issued an appointment certificate and will be emailed their certificate along with further communication from the Office of the Dean.
6. All appointments and decisions will be electronically stored in the DYU-COM Credentialing folder and maintained by the Office of the Dean. DYU-COM will utilize 'Exxat PRISM' or 'Core' education management software. The DYU-COM Clinical Coordinator will also use this software to track licenses and certification expiration.

Process of Reappointments

The process of DYU-COM faculty reappointments is as follows:

1. Faculty members will be automatically considered for reappointment after their term, unless otherwise requested by the faculty member.
2. The Academic Appointment & Promotions Committee (AAP) reviews each complete faculty file and makes a recommendation of appointment with rank, including promotion, or deferral.
3. The Dean of DYU-COM receives the recommendations from the AAP and uses their recommendation to inform the decision of appointment, including promotion, or deferral at the Dean's discretion.
4. Any reappointment made by the Dean of DYU-COM will be issued an Appointment Certificate and will be emailed their certificate along with further communication from the Office of the Dean.
5. All re-appointments and decisions will be electronically stored in the COM Credentialing folder and maintained by the Office of the Dean.

Process of Faculty Rank Promotion

The process of DYU-COM faculty promotion is as follows:

1. Faculty members will be automatically considered for eligibility for promotion after their term unless otherwise requested by the faculty member. This will be processed, as outlined in the Process of Reappointments.
2. Faculty members may, at any time, request a promotion, and will be considered and processed in accordance with the process as outlined in Process of Reappointments.

Term of Appointment

Faculty members, including Clinical Faculty and Employed Faculty, shall be given a term of appointment and this will be issued on their Appointment Certificate and given to the faculty member on initial appointment and each subsequent reappointment by the Office of the Dean. The term of each appointment shall be from the time of granting the appointment and extend three (3) years from the subsequent July 1. For example, if a faculty member is appointed on March 15, 2023, their faculty appointment would extend until July 1, 2026.

Titled Faculty (e.g., Visiting Professor) shall have faculty appointments at the discretion of the Dean of DYU-COM, but no longer than 36 months.

Responsibilities of Faculty

Employed Faculty will be responsible for their duties as described in the Job Description and must abide by all policies and procedures of the institution and otherwise as assigned by their supervisor and Dean of DYU-COM.

Clinical Faculty must abide by all policies and procedures of the institution. They must also complete any duties that they agree to complete.

Lines of Communication

It is the policy of the COM to have a culture of professionalism, friendliness, honesty, and open communication (closed loop). The typical lines of communication for faculty will be their supervisor (employed faculty) or the Associate Dean for Clinical Education (Clinical Faculty).

The Dean of DYU-COM has an “open door” policy for all faculty but encourages the faculty members to begin their communication with their supervisor (employed faculty) or the Associate Dean for Clinical Education (Clinical Faculty).

Privileges and Benefits

The privileges and benefits of being a DYU-COM Faculty Member are as follows:

- Opportunities to teach at the COM.
- Designated seating at the White Coat Ceremony, Graduation, and other selected events. Eligibility for Faculty Awards.
- Ability to list/advertise their faculty appointment on their CV or other media. Reasonable access to the Dean/CAO.
- Opportunities to be appointed as a faculty member on COM committees. Continuing Education and Faculty Development opportunities.

Performance Evaluation

Employed faculty members shall be evaluated by their supervisor after each full academic year of employment. Clinical faculty members shall be evaluated by the Associate Dean for Clinical Education (or designee) after each academic year in which they taught or were involved with instruction. All evaluations shall be forwarded to the Office of the Dean to be filed in the DYU-COM Credential electronic folder.

Faculty Remediation

To support faculty and their professional growth, remediation resources and intervention options have been identified and are available for use at any level of professionalism-related issues. Options may include but are not limited to:

- Formal letter of apology to the impacted individual
- One-on-one coaching with professional oversight (Identified by DYU-COM)
- Effective Communication Workshop
- Javelin Learning Solutions (online coaching for healthcare professionals)
- Fit for duty evaluation and/or counseling
- Suspension of services, limited responsibilities, suspension of pay, non-renewal of contract and termination

Level 1 Concern:

- **Isolated Incident (low risk/harm):** Examples include but are not limited to verbal/written communication, failure to attend required activities, unprofessional workplace attire, and or behaviors. The office of the appropriate Associate Dean will hold an informal conversation with the faculty member. This is a brief conversation, introducing the issue that was reported and its impact on the learning environment.
- **Isolated Incident (heightened risk/imminent harm):** Examples include by are not limited to threats or direct impact by physical and/or emotional harm, public humiliation, and

denial of opportunity. This includes requests to complete unfair and/or unrelated work tasks.

****Any issues related to harassment or discrimination based on a protected classification will be forwarded to the **Office of Title IX for review.****

Level 2 Concern:

- **Recurring Incident:** If a faculty member is reported within 2 years of a previously documented incident, this will be determined to be a recurrence. The APPC will notify the Associate Dean when a faculty member is reported to have repeatedly acted unprofessionally within the learning environment. Because the incident is recurring, the AAPC will have a meeting with the faculty member to review the report and subsequent follow-up.

The Associate Dean will review all documentation associated with the report and provide consultation to the faculty member. If issues persist regarding professionalism and/or documented behaviors involving a faculty member, the AAPC may require a Performance Improvement Plan (PIP) including zero tolerance language. The PIP will be signed by the faculty member, Chair and Associate Dean. In addition, a formal letter will be placed in the faculty member's file and the supervisor will be expected to document concerns related to professionalism and/or mistreatment in the faculty member's annual review.

Level 3 Concern:

- **No Changes:** If problems persist and no evidence of behavioral change occurs, the AAPC will notify the appropriate Chair and the Dean of DYU-COM. Their recommended sanctions, short of termination, are contemplated but are not limited to, loss of teaching privileges, revocation of faculty appointment, and limitation of professional services.

Recommendations for non-renewal of a faculty member's appointment or termination of a faculty member's appointment may be considered. In addition, a formal letter will be placed in the faculty member's file. Recommendations of the AAPC regarding remediation are subject to final approval of the Dean of DYU-COM.

Terms of Dismissal

DYU-COM employment and faculty appointments are “at will”. At any time during their faculty appointment, faculty (including Employed Faculty) may terminate the faculty appointment, unless otherwise indicated in any employment or contractor agreements.

Due Process

Any faculty member or faculty applicant may appeal the decision on any faculty appointment, reappointment, deferral, or dismissal of the Dean of DYU-COM to the D’Youville University President. Appeals must be submitted, in writing, to the respective party, within 30 days of the respective decision.

Statement on No Practice Plan

DYU-COM shall have no practice plan or any financial reimbursement, kickback, referral fee, or any other financial arrangement other than salary or honoraria to faculty. Any compensation to faculty will be delineated in an employment contract, independent contractor agreement, or by written and published policy by the COM.

Statement of No Tenure System

DYU-COM shall have no tenure system.

Applicability

DYU-COM Faculty

Definitions

N/A

<p>Responsible Unit: DYU-COM Executive Leadership Adoption Date: April 11, 2023 Last Review Date: Sept. 5, 2024 Next Review Date: April 11, 2027</p>
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