Outline of Topics

• SOM Office of Faculty Affairs: Organization
• Appointments and Promotions
• Faculty Development
• Faculty Performance and Compensation
• COI and Compliance
• Faculty Misconduct
• Consultation and Collaboration
Appointments & Promotions

- All SOM Appointments Originate in the Departments
- Full-Time Faculty Tracks
- Offer Letters
- The Dossier for Appointment/Promotion
- Letters of Reference
- Process for Review and Approval
Full Time Faculty Tracks

- **Basic Scientist/Physician Scientist Track (tenure track)**
  Assistant Professor of ________

- **Basic Scientist Educator/Clinician Educator Track**
  Assistant Professor of ________

- **Clinical Practice Track**
  Assistant Professor of **Clinical** ________

- **Research Track**
  **Research** Assistant Professor of ________

- **Assistant/Associate Track**
  Assistant in ________
New Faculty Appointments

- The offer letter is a contract and content is therefore important. Use SOM template language.
- Key Elements of the offer letter:
  - Rank, Track, and Term of Appointment
  - Specific expectations: e.g., effort allocation, external resources, duty location, reporting relationships
  - Commitments: e.g., space, base salary, special resources and duration of availability
  - Compensation
  - Mentoring
  - Tenure clock for TT
Offer Letters: Review

• Which offer letters need review?
  – All senior appointments (associate and full professor)
  – All tenure track appointments (any rank)
  – Appointments with substantial resource allocation
  – Any unusual/unorthodox circumstances

• Who reviews the offer letters?
  – Penn: faculty appointment, compensation
  – Manning: financials and space
Offer Letters: Conditions

- All offers are subject to approval by appropriate school committees and the Dean, to the policies outlined in the *Faculty Manual*, and for clinicians are also subject to successful VUH credentialing.

- Research track, some non-M.D./Ph.D., and some Clinical Practice track appointments should be made contingent on the availability of funding and/or continuance of program (with explicit statement to be made in appointment letter – OFA should review).
Faculty Affairs & Career Development

Policies & Procedures

The primary purpose of this webpage is to provide the principal policies and procedures that guide VUSM faculty and staff members in the pursuit of institutional objectives and relations with the community at large. It is also designed to acquaint new faculty and staff members with the organization and with their obligations and benefits.

Policies

- Appointments and Promotions
- Appointment Forms & Check Sheets
- Faculty Parental Leave Policy
- University Conflict of Interest and Commitment Policy (pdf)
- VUMC Conflict of Interest Policy (pdf)

Procedures

- Appointments and Mentoring of Faculty in Centers and Institutes (pdf)
- Compact for Teachers and Learners (pdf)
- Endowed Chair Nomination and Appointment Procedures (pdf)
- Requesting a Change off of the Tenure Track (pdf)
- Faculty Departure Checklist (pdf)

Resources

- Faculty Manual
- Educator Portfolio
- Compact for Teachers and Learners (pdf)
- Requesting a Change off of the Tenure Track (pdf)
Faculty at Senior Ranks

Appointments at rank of associate or full professor on tenure track, educator track, or clinical practice track are subject to approval of:

- Chair (departmental A & P committee)
- SOM Faculty Appointments & Promotion Committee (FAPC/CPAPC)
- Executive Faculty (by Executive Committee)
- Dean
- Chancellor/Board of Trust (tenure only)

(note: a interdepartmental search committee may substitute for FAPC)
Faculty at Senior Ranks
(other tracks)

Other tracks require administrative approval by:

- Department Chair
- Associate Dean for Faculty Affairs (Penn)
- Dean

(Informal) Seek Associate Dean’s advice and assistance to consider alternative pathways for appointment, if necessary.
Letters of evaluation are critical. Optimum letters:

- From persons who have been neither mentors, colleagues, or collaborators
- External to Vanderbilt (national stature)
- Statement that candidate would qualify for proposed rank at writer’s institution
- Attestations from trainees as to effectiveness in teaching and mentoring
Centers – Special Issues

- Faculty with primary locus in center must have a primary departmental appointment
- Collaborative recruitment - with offer letter co-signed by center director and department chair
- Mentoring committees jointly established
- Center director involved in promotion decisions
Faculty Re-Appointment and Non-Renewal

Reappointment is required for all non-tenured appointments before ending date of current term appointment.

Term of appointment will not exceed probationary period for TT appointments.

Time of Notification for Non-Renewal:
» One Year Appointment – 4 months
» Multi-Year Appointment – 13 months
(unless modified in offer letter)
Special rules for tenure track faculty

Implication of tenure track appointment:

“A failure by a faculty member on the tenure track to earn tenure normally leads to a termination of employment at Vanderbilt, but Vanderbilt guarantees to members on the tenure track who do not receive tenure the fulfillment of existing multi-year appointments or an additional one-year appointment if the adverse decision on tenure is made during a one-year appointment or the last year of a multi-year appointment.”

(from Vanderbilt Faculty Manual)

Shifting off of tenure tracks: Year 6 policy.
Defining and altering the tenure probationary period.
Promotions: Recipe for Success

- Recruit, hire, and mentor well
- Have a Departmental A&P Committee
- Recurring assessment of every candidate’s progress
- Address issues early and effectively
- Consult as needed with Drs. Penn and Raiford
- Have candidate maintain CV in the VUSM format
  - eTeaching portfolio, especially for those on educator track
- Solicit effective letters of reference
- Chair’s cover letter reflects level of commitment
Negative Decisions by School of Medicine’s FAPC

Charge to FAPC:
Use “standard” criteria; don’t consider special needs or “politics”.

Options in case of negative decision/deferral:
Provide additional information if requested by FAPC
Promote/appoint on alternative track
Appeal to the Executive Committee of the Executive Faculty
Faculty Development

• A Departmental/Center Imperative
  – Senior Faculty’s and Chair’s Responsibility
  – Mentoring and Performance Review

• Collaborative with Office of Faculty Affairs (Penn)
  – Oversees/Coordinates SOM Programs
  – Shares Costs for Extramural Programs
  – Coordinates Faculty Recognition/Awards
  – Ensures Departmental Processes are in Place
# Faculty Development

## Faculty Affairs & Career Development

<table>
<thead>
<tr>
<th>Faculty Development Resources</th>
<th>Early-Career Faculty Members</th>
<th>Mid-Career Faculty Members</th>
<th>Established-Career Faculty Members</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Programs/Workshops</strong></td>
<td>VUMC</td>
<td>VUMC</td>
<td>VUMC</td>
</tr>
<tr>
<td></td>
<td>New Faculty Orientation</td>
<td>Mid-Career Skills Building Program</td>
<td>Hazinski Faculty Development Program</td>
</tr>
<tr>
<td></td>
<td>Junior Faculty Leadership Development Program</td>
<td>Hazinski Faculty Development Program</td>
<td>Promotion Through the Ranks</td>
</tr>
<tr>
<td></td>
<td>Hazinski Faculty Development Workshop</td>
<td>Academic Leadership Program</td>
<td>Academic Leadership Program</td>
</tr>
<tr>
<td></td>
<td>Promotion Through the Ranks</td>
<td>Compliance Training Programs</td>
<td>Compliance Training Programs</td>
</tr>
<tr>
<td></td>
<td>Women on Track</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>External</strong></td>
<td>Compliance Training Programs</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Departmental Programs</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Neilson Society, Department of Medicine</td>
<td></td>
<td>Hazinski Faculty Development Program</td>
</tr>
<tr>
<td></td>
<td>Schaffer Society, Department of Medicine</td>
<td>Promotion Through the Ranks</td>
<td>Academic Leadership Program</td>
</tr>
<tr>
<td></td>
<td>Hazinski Society for Junior Faculty Development, Department of Pediatrics</td>
<td>Compliance Training Programs</td>
<td>Compliance Training Programs</td>
</tr>
<tr>
<td></td>
<td>Katherine Dodd Faculty Scholars Program, Department of Pediatrics</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Vanderbilt University</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Trans-institutional Programs</td>
<td></td>
<td>Hazinski Faculty Development Program</td>
</tr>
<tr>
<td></td>
<td>Chancellor Faculty Fellows Program</td>
<td>Promotion Through the Ranks</td>
<td>Academic Leadership Program</td>
</tr>
<tr>
<td></td>
<td>Faculty Development Webinars</td>
<td>Academic Leadership Program</td>
<td>Compliance Training Programs</td>
</tr>
<tr>
<td></td>
<td>Junior Faculty Teaching Fellows</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Elliot Newman Society</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>External</strong></td>
<td>Early Career Women Faculty Development Seminar (AAMC)</td>
<td>Mid-Career Minority Faculty Seminar (AAMC)</td>
<td>NIH Established Career Grants</td>
</tr>
<tr>
<td></td>
<td>Medical Educational Research Certificate Program, MERC (AAMC)</td>
<td></td>
<td>The Edge for Scholars</td>
</tr>
<tr>
<td></td>
<td>National Center for Faculty Development</td>
<td></td>
<td>The Translational Bridge</td>
</tr>
</tbody>
</table>

**Grants/Awards Resources**
- NIH Established Career Grants
- The Edge for Scholars
- The Translational Bridge

**Career Development Resources**
- Educator Portfolio
- Mentoring the Mentor and Teacher Development
- CTSA Curriculum, 1.30.12
- Advice on Saying “No” at Mid-Career
- Charting a Meaningful Post Tenure Career
- Advice for Mentoring URM Senior Faculty
- The Uncertain Path to Full Professor
- Writing Successful Grant Proposals
- Advice for Newly-Tenured Faculty Members
- Mentoring in Academic Medicine

**Transitions to Retirement**
- Center for Professional Health
- Faculty Retirement - Legal Issues
- Transitioning to Retirement
- Individual Action Plan
- Advanced Care Plan
- VUMC HR Retirement
Faculty Compensation

- Must be based on understandable/defined process
- Benchmarking is available from a variety of sources
- Departmental compensation plans required
- Audited by several entities, internal and external
- Be careful and clear in use of terminology
  - Base salary, bonus, incentive, supplement, compensation
- Annual salary letter for all faculty members
  - Off cycle adjustments must be approved by Dr. Penn
- Should be linked to annual performance review
Faculty Benefits

• Available for those with:
  - Full-time appointments
  - Full-status, partial load appointments (at least 50% effort)
  - Some linked to employer (VUMC vs. VU)
  - Some linked to faculty appointment

• Special Case -- Dependent Tuition Benefit
  - Requires 5 year vesting period
  - No flexibility in eligibility or application

• Do not continue after retirement/separation
  - Health Insurance under COBRA is the exception
Faculty Benefits
(Not available to staff)

- Short-Term Disability Benefits
  - Up to six months of salary and benefits if a qualifying medical condition is present
  - No vesting period
- Faculty Parental Leave
  - Up to 16 weeks of leave (paid or unpaid) for primary caretaker
  - Runs concurrently with FMLA
- Grievances reviewed by faculty peers/Senate PEAF (Professional Ethics and Academic Freedom) Committee
- Up to 50 days per year available for approved external activities
- Four weeks per year non-accruable vacation time
- Participation in IP revenue sharing from Tech Transfer
- Tenure track faculty: Home Purchase Plan (Mortgage)
- Academic leaves with pay
- No specified work week
Faculty Performance: Assessment and Management

- Must be based on understandable/defined process
- The Underperformer
  - Strategies tailored to circumstances
  - Importance of effective communication
- The Superstar
  - Limitations on types of rewards
  - Understanding variability of reward mix
- The Unprofessional Faculty Member
  - Articulating and enforcing cultural norms
COI, Compliance, and Training

Faculty Affairs & Career Development

Compliance

Welcome! The Office of Faculty Affairs assists Vanderbilt University School of Medicine (VUSM) faculty members in remaining compliant with state and federal laws, accreditation standards, and VU/VUMC policies related to their role in the VUSM. Our mission is to be a resource, collaborative partner, and educator in order to ensure that our faculty members are able to meet such requirements.

Faculty Orientation and Training Office (FOTO)

- Conflict of Interest Disclosure Form (login required)
- Customize a Faculty Compliance Profile

Occupational Health Clinic
Vanderbilt Environmental Health and Safety
VUMC Compliance Office
PHS Public Request for Information Regarding Conflicts of Interest (VUMC)

Compliance Training Profile

Please log in and check the status of your training requirements.

Log In

Login problem? Please submit a help ticket

Contact Us

Office of Faculty Affairs
320 Light Hall
Phone: (615) 322-2165

Follow Faculty Affairs on Twitter!
Follow Faculty Affairs on Instagram!
Conflicts of Interest and Commitment

- University and VUMC policies govern
  - Informed by federal and other regulatory bodies
- Annual Disclosure required of all faculty and staff
  - Web based disclosure tool
  - Departmental (Chair, or designee) review
  - Office of Faculty Affairs review
- Especially likely to be present when convergence of:
  - Consulting
  - Research
  - Patient Care
  - Tech Transfer
Training and Compliance
General Categories

• Required of all faculty and staff
  – Standards of conduct, workplace safety, immunizations, skin test, waste/fraud/abuse, completion of activities profile

• Requirements related to clinical practice
  – HIPAA, OSHA, vaccination, documentation & coding

• Requirements related to research
  – PHS funded incur special obligations
  – Human subjects
  – Animal care
  – Safe handling of reagents
  – Financial stewardship (effort reporting, etc.)
Faculty Misconduct

- Broadly defined in the *Faculty Manual*
- A rare occurrence of potentially considerable consequence
- Process for addressing varies by circumstances
  - Clinical matters may be handled under Medical Staff by-laws
  - Process under *Faculty Manual* is detailed and often prolonged
  - Research misconduct handled under University (and federal) processes
- Best to get collaborative assistance early
- Avoid rush to judgment
- Consider broadly possible contributing factors
- Usually distinguishable from simple underperformance
- Variety of resources exist
  - Faculty Wellness Program, EAD, EAP, Physician Counseling (CPPA)
Consultation and Collaboration Among VUMC Leaders

- Utility of discreet conversations (not emails)
- Sounding board function
- Managing uncertainty effectively
- Sharing institutional experiences and strategies
- Pooling ideas and resources
- Juggling competing interests
- Celebrating successes
- Enduring disappointments and adversities
Contact Persons

• Appointments and Promotions
  – Procedural: Elaine Brown, Shannon Ontiveros
  – Policies and Assessment: John Penn, Ph.D.

• Benefits: Shannon Ontiveros (OFA), Kim Cox (HR)

• Compliance and Training
  – Clinical (VMG and Hospital): Jim Mathis, J.D.
  – Other: Shannon Ontiveros

• Conflict of Interest: Shannon Ontiveros, Steven Meranze, M.D.

• Employee Assistance Program (EAP): Mary Yarbrough, M.D.
Contact Persons

- Equal Opportunity, Affirmative Action, Disability Services (EAD): Rochelle Johnson (VUMC), Anita Jenious (VU)

- Faculty Development: John Penn, Ph.D. (Auda Hutto)

- Faculty Misconduct: Steven Meranze, M.D., David Raiford, M.D.

- Legal: Initial Contact – David Raiford, M.D. who will recommend and help engage suitable member of the Office of General Counsel

- VMG: Paul Sternberg, M.D., Titus Daniels, M.D.

- VUMC Credentialing: Danielle Midgett
Questions and Discussion