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I. Introduction  [last updated SEPTEMBER 2004]

This handbook sets forth policies, procedures, and information that, by common consent, are those governing the University faculty as a whole.

Either the Office of the Provost, or the Senate Executive Committee, may initiate revisions to this handbook. Following a proposal to revise the handbook, the Provost and the Senate Executive Committee must agree on the proper Senate committee to consider the proposal. After consideration of the proposal, that committee reports its findings to the Provost and Senate Executive Committee. The proposed handbook changes are forwarded as well to the academic units of the University. The authorized governance bodies in each of the academic units will report to the Senate Executive Committee the results of any deliberations on the proposed changes. The Senate Executive Committee reports to the Senate and the Provost about the impact of the proposed changes. After completion of these steps, the Faculty Senate will vote on the proposed changes and communicate the result and the accompanying report to the Board of Trustees. The Board of Trustees will consider the Senate’s report and any recommendation from the Provost, for their final action.

The Senate Executive Committee in consultation with the full Senate may approve changes that are trivial, non-substantive, or required by changes in applicable law, without use of the process described above. Board of Trustees approval is unnecessary for changes to the handbook that are trivial, non-substantive, or required by applicable law.

As text is amended, an email announcement will be sent to all faculty via the faculty listserv. Amended sections will be dated, and a cumulative summary of all changes will be included at the end of the handbook.

This handbook is not intended to replace or supersede faculty rules and regulations of the several schools and colleges or the applicable personnel policies set forth in the University’s Personnel Policies and Procedures Manual. (Applicable personnel policies are listed at the beginning of Section III of this handbook.) In the event of a conflict or inconsistency, the University’s personnel policies and procedures will govern. In some circumstances (signaled by a phrase such as "schools may adopt"), the policies set forth in this handbook enable or allow colleges and schools to adopt certain policies at their discretion. In such cases, the policies and procedures of the school or college determine how the policies will be implemented.

Although this handbook delineates many of the rules that govern the faculty of the University, underlying these rules are the fundamental convictions that shape the life of the modern university—above all, an abiding commitment to the free inquiry essential to the creation and dissemination of knowledge. As John Dewey, the first president of the American Association of University Professors said at the turn of the twentieth century, "Any attack, or even any restriction, upon academic freedom is directed against the university itself. To investigate truth; critically to verify fact; to reach conclusions by means of the best methods at command, untrammeled by external fear or favor, to communicate this truth to students; to interpret to them its bearing on the questions they will have to face in life—this is precisely the aim and object of the university. To aim a blow at any one of these operations is to deal a vital wound to the university itself." This University is committed in word and deed to the protection of unfettered inquiry and the academic freedom of its faculty. In turn, while each faculty member has the freedom to determine how to make signal contributions to his or her field, each is expected to adhere to
the ethical standards and evidentiary criteria for that field, and to discharge responsibly his or her obligations to the University as a teacher, scholar, and citizen.

The policy content of this handbook was approved by the Board of Trustees in May 1999.
II. Organization

A. Trustees

The original New York State provisional charter was granted in January 1850 to the Trustees of the University of Rochester by the Board of Regents for and on behalf of the State Education Department. The charter commits “the superintendence of the interests of this institution” to the Board of Trustees. Those interests include educational activities, appointments, physical properties, endowment, financial matters, public relations, and the granting of degrees.

The Board of Trustees is empowered to determine its number, from time to time, at not more than 42, including the president of the University, nor fewer than five. Of the maximum of 42 trustees, under the University bylaws at least six are required to be alumni who have been members of an alumni organization. Trustees are elected to serve five-year terms. Vacancies on the Board by reason of death, resignation, or otherwise may be filled by ballot of the trustees at any meeting of the Board.

There are three regular meetings of the Board each year: in the fall, in the winter, and in the week preceding Commencement. Special meetings may also be called at any time by the president or the chair of the Board or by the most senior trustee upon the written request of any three Board members.

Trustees of the University serve without remuneration.

1. The Committees of the Board

The Executive Committee consists of the president of the University, the chair of the Board, the chairs of the Board’s standing committees, and such other trustees as the Board may elect from time to time. In the intervals between Board meetings, the Executive Committee has general charge of the affairs of the University and may exercise all the powers of the Board in all matters, except that this power does not extend to the granting of degrees, removals from office, the election of trustees, or the amendment, alteration, or repeal of the bylaws. Regular meetings, usually eight a year, are held as the committee determines by resolution. Special meetings of the committee may be called at any time by the chair of the committee or by the president.

The Board has standing committees on audit, facilities, investment, personnel, health affairs, academic affairs, external affairs, student affairs, financial planning, and nominations/board practices. A select committee on compliance and compensation reviews the compensation of officers and matters that might involve a trustee or other senior official in an actual or potential conflict of interest.

B. Central Administration

1. President

The president, as chief executive officer of the University, has overall responsibility for its supervision and management. All officers of the University are accountable to the president, who is chair of the faculties of all the schools. The president is appointed by the trustees and is accountable to them. The responsibilities of the office are described in more detail in the University bylaws.
2. **Provost**

The provost, the second University officer, reports to the president and serves as the president’s deputy when necessary. As the chief academic officer, the provost’s primary concern is with the nature and organization of the academic affairs of the University, working closely with the deans.

3. **Vice Presidents and Other Officers**

The senior vice president and vice provost for health affairs oversees the operations of the Medical Center and its components and affiliates, including Strong Memorial Hospital, the School of Medicine and Dentistry, the School of Nursing, and the Eastman Dental Center. The senior vice president and chief operating officer oversees the principal support operations of the University, including human resources, public relations, procurement, security, and facilities and auxiliary operations. As the chief financial officer, the senior vice president for financial affairs and planning is responsible for University budgeting, financial planning, and finance, as well as internal audit, facilities planning, research and project administration, and institutional studies. The vice president for investments and treasurer is responsible for, among other matters, the University’s debt financing. The vice president and University dean of students is the chief student affairs officer, responsible for student life and programs, student residences, sports and recreation, chapel, and special educational programs. The vice president for development works closely with the president in developing major donors and in relations with members of the governing boards. The University counsel and secretary is responsible for the legal affairs of the University’s Board of Trustees and central administration, including risk management and regulatory compliance.

C. **Schools of the University**

The University consists of six schools: the College, which includes the School of Engineering and Applied Sciences; the Eastman School of Music; the School of Medicine and Dentistry; the School of Nursing; the Margaret Warner Graduate School of Education and Human Development; and the William E. Simon Graduate School of Business Administration. Deans or (in the case of the Eastman School of Music) a director lead the schools and their affiliated faculty. Most schools are organized in departments where much of the important work of the University is accomplished.

The University also houses several specialized research centers. Please refer to [http://www.rochester.edu/research/](http://www.rochester.edu/research/) for a comprehensive listing of those centers.

D. **Graduate Studies**

The primary responsibility for graduate studies at the University of Rochester is with the faculties of the several schools, all of which offer work leading to the Ph.D. as well as in some cases (education, medicine, and music) work toward professional degrees. Work toward degrees at the master’s level and professional doctoral degrees (e.g., Ed.D., M.D., and D.M.A.) is supervised by the faculties of the relevant schools. Responsibility for the quality and the procedure of work for the Ph.D. degree is vested in the University dean of graduate studies. Each of the departments offering graduate work has a director for graduate studies, who oversees graduate work within the department; each school has an associate dean for graduate studies with whom these directors work.
Overall policy for graduate studies is determined by the University Council on Graduate Studies, a group made up of the deans of the schools, the associate deans for graduate studies, and of individual faculty representatives from each of the departments offering work leading to the Ph.D. degree. Its chair is the University dean of graduate studies.

E. Faculty Senate  [last updated JULY 2002]

"There shall be established . . . a University-wide Faculty Senate . . . to consider the state of the University . . . to make recommendations for its academic development . . . to inquire into any matter . . . that has implications for the academic function and welfare of the University and to make recommendations concerning such matters . . . ; and to be a channel of communications between and among the various faculties and between the collective faculties and the president and the provost of the University." The above is drawn from Article 1, Establishment of a University Senate, of the charter and bylaws of the University of Rochester Faculty Senate. The Senate consists of 45 members elected by and from the faculties. Senators are elected, for three-year terms, from among the full-time members of the faculties of the University, and each holds the rank of professor, associate professor, or assistant professor. Prior to the annual election, candidates may be nominated by any group of three qualified members of the electorate (all full-time members of the faculties and all part-time members of the faculties with the rank of professor or associate professor, or equivalent rank). Election is by a preferential system. The only stipulation regarding membership across schools is that each school shall be entitled to at least one senator. The president, the provost, and the University dean of graduate studies are ex officio members of the Senate. (Full and official statements on these matters may be found in the charter and bylaws of the University of Rochester Faculty Senate.)

The Senate ordinarily meets nine times during the academic year. Meetings are from 4 to 6 p.m. by Charter regulation and on a middle Tuesday of the month by custom. Each meeting is presided over by the chair of the Executive Committee or a designated substitute. The agendas for these meetings are prepared by the Executive Committee of the Senate and distributed (along with relevant documents) to Senate membership at least one week prior to each meeting. Topics of discussion include reports from the President on the state of the University in September and January, a report from the Provost on the state of the faculty in May, occasional reports from deans on the states of the various schools, reports from the standing and ad hoc senate committees, and discussion of the University budget.

The standing committees of the Senate are the Executive Committee (the Senate’s Agenda Committee), the Elections Committee, and the committees on academic affairs, research policy, faculty benefits, budget, and library.

A faculty committee elected concurrently with the Senate is the University Committee on Tenure and Privileges. Its role in tenure revocation is described in the section on tenure (subsection “revocation”), and it also is charged to “inform the Senate of all regulations and practices respecting tenure and privileges, in all parts of the University, as they become established or changed.”

The chief function of the Senate has been to act as a forum where matters of importance to the University community can be discussed by members of all of its faculties. So that this function may have its broadest impact, full minutes of Senate meetings are distributed to all members of the electorate.
In accordance with the charter provision that all proceedings or recommendations of the Senate shall be confidential within the University, those minutes are labeled confidential.

F. Faculty Governance  [last updated JULY 2002]

Faculty participation in governance promotes diversity of ideas, shared responsibility, collaboration, collegiality, and institutional excellence. Furthermore, it is the right of all faculty members to participate in governance without fear of retaliation in subsequent decisions on promotion, salary, and conditions of employment. It is the responsibility of the central administration, deans and department chairs to protect these rights.

Every academic unit (including departments) should have a set of written rules and procedures for its governance, with copies available to each faculty member. The governing faculty of each academic unit should establish the operating procedures of its academic unit governance entities including, but not limited to, procedures of agenda setting, establishment of a quorum, determination of membership and voting rights, qualification of attendance by persons other than members, appointment of a faculty secretary, distribution of minutes, and the retention/filing of minutes.

G. Intercessors

In addition to the procedures that exist for handling most problems through regular school, departmental, or administrative channels, the Intercessors’ Office is available to help resolve difficult problems. This office is particularly interested in identifying patterns of problems that indicate a need to change organizational structures or procedures. Helping individuals is an important way to identify areas that may need general improvement. The intercessors are trained counselors who understand the importance of confidentiality and who will normally honor requests to take no further action. If the intercessor determines, however, that there may be some threat of harm or a pattern of discriminatory or harassing behavior, he or she may have an independent obligation on behalf of the University to take corrective action.

The Intercessors’ Office works with all the speed and confidentiality that particular circumstances allow. Intercessors act as facilitators in attempting to bring conflicts to resolution, using their impartiality and accessibility to give weight to their negotiating role and recommendations.

Intercessors may be called upon to handle issues of sexual or racial harassment. Within the office there is a person with special expertise on each issue. The University’s policies on these topics are detailed in the sections of this document on “Harassment and Discrimination.”
III. University Policies

The University’s Personnel Policies and Procedures Manual includes policies that apply to faculty. A few of these policies are discussed in detail in this handbook. They are listed, for convenience, in alphabetical order. All of the policies that apply to faculty members are listed below. Please see the Personnel Policies and Procedures Manual (http://www.rochester.edu/working/hr/policies/) for additional information about the following:

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A. Affirmative Action and Equal Employment Opportunity  [last updated JULY 2002]

An Inclusive Community

The University of Rochester envisions itself as a community that welcomes, encourages, and supports individuals who desire to contribute to and benefit from the institution’s missions of teaching, research, patient care, performance, and community service. In a pluralistic culture, that community includes faculty, students, and staff who represent important differences. Members of the University’s community come from different geographical areas, represent differences in ethnicities, religious beliefs, values, and points of view; they may be physically different, have different intellectual interests, or have different abilities. The University not only welcomes such differences in the members of its community but, in fulfilling its own missions and in preparing the leaders of tomorrow’s world who will necessarily be operating in an equally wide-ranging environment, it actively seeks to recruit and include them in all aspects of the institution’s operations.
The University has been more successful in some instances than in others in attracting and retaining participants from such a demographically broad base. Certain groups, for whom participation in the University’s history is relatively recent, and not yet fully realized, present critically important and unique challenges. The University is explicit about its responsibilities under the law to provide equal opportunities for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, gender, sexual orientation, and veteran status. To be inclusive in the broad sense defined by the University’s mission, much remains to be done beyond compliance with the law and explicit language about equal opportunity. Further, the University’s activities in this regard must always be directed to the enhancement of the human dignity of all members of its community; that must include strategies that foster appreciation for our many differences. These are essential to the success of the institution’s missions.

The University has a goal of ensuring an inclusive and welcoming environment for all of its members, especially historically underrepresented minorities and members of legally protected groups. Success will be measured by relative progress determined by quality and contributions to overall institutional goals and missions. That requires vigorous, systematic, consistent, and enduring actions in all University domains.

The University of Rochester is an institution devoted to teaching and learning, and producing new knowledge. We do these at world-class levels. The challenges facing us as we work to be more inclusive and provide a welcoming environment will respond to our skills as teachers and learners. In the context of our commitment to being more inclusive and diverse, we can apply these skills to the continuing work of transforming our environment in ways that enable greater participation, enhance human dignity, eliminate prejudice and discrimination, and improve the quality of life for everyone.

The University of Rochester has long been committed to the concept of equal employment opportunity. The University values diversity and is committed to equal opportunity for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, sex, sexual orientation, or veteran status. Further, the University complies with all applicable non-discrimination laws in the administration of its policies, programs, and activities.

The University’s teaching, research, and service are directed to the enhancement of human dignity, the ultimate antidote to prejudice and discrimination. The University requires the best talent it can muster and cannot allow discrimination on any aspect extrinsic to the performance of the job. The University values the principle of nondiscrimination and recognizes that absence of bias is essential to its work.

The provost is designated as the affirmative action coordinator for faculty, and the director of human resources is designated as the affirmative action coordinator for staff. The deans and directors of the schools and operating units of the University and, in turn, the department heads and supervisors are responsible for the implementation of the affirmative action plan in their areas of responsibility.

The procedures by which the University achieves these Objectives are described in Policy 102 of the Personnel Policies and Procedures Manual. The affirmative action plan can be consulted in the Office of the Director of Human Resources.
B. Conflicting Employment Relationships (Nepotism)

In general, there are only minimal limitations of employment or continued employment of any person because of a conflicting relationship with another member of the University faculty or staff. Employment is limited only when necessary to avoid conflicts of interest and provide reasonable assurance that each person can carry out the responsibilities of his or her position as objectively as possible. Where employment would be in conflict, the problem may sometimes be avoided by adjustment of the duties assigned to one or both of the individuals or by modification of the administrative relationships of their positions, or both. Such adjustments may be made whenever reasonable but are not acceptable if they will have significant adverse effect on the evaluation of the positions or on the orderly operation of the department or other offices concerned. Please see Policy 121 in the Personnel Policies and Procedures Manual for a full statement of this policy.

C. Consensual Relations

The University of Rochester strongly discourages any sexual or amorous relationships between members of the University community and those students over whom they have a direct, current supervisory or evaluative relationship. Such relationships, even when consensual, are problematic because they may result in favoritism or the perception of favoritism which imperils the integrity of the educational environment. Such relationships may also lead to charges of sexual harassment.

D. Copyright and Fair Use Policy

The University of Rochester acknowledges and encourages the appropriate use (i.e., reproduction, distribution, performance, and display) of copyrighted works and materials for teaching, scholarship, and research purposes consistent with federal copyright law and the standards for fair use. Given both the importance of complying with federal copyright law and the difficulty of determining fair use, the University’s copyright and fair use policy provides guidance on the use of the work of others as well as links to copyright and fair use resources. (Please refer to http://www.lib.rochester.edu/copyright/.)

E. Disability Accommodation

The University of Rochester is committed to providing equal educational and employment opportunities for qualified individuals with disabilities, in accordance with state and federal laws and regulations, including the Americans with Disabilities Act (ADA) of 1990 and Section 504 of the Rehabilitation Act of 1973. Further, the University is committed to applying the strengths of its resources, talents, and ingenuity to maintain an inclusive environment for individuals with disabilities.

F. Dissent and Public Order

1. Standards of Conduct

In compliance with the provisions of the law of the State of New York, the following principles, regulations, and procedures for the maintenance of public order upon University campuses or other University property are adopted by the Board of Trustees of the University of Rochester.
No member of the University community or guest shall engage in the following behavior upon University premises:

1. Obstruction or disruption of teaching or other University activities.
2. Prevention of free movement, such as pedestrian or vehicular.
3. Possession or use of firearms; explosives; dangerous, destructive, or noxious chemicals; or any dangerous or apparently dangerous weapons, other than as allowed by law and University regulation.
4. Detention, physical abuse, or conduct that threatens bodily harm or endangers the health of any person.
5. Intentional damage to or theft of University property or the property of any person when such property is located on the premises of the University.
6. Entry into living quarters, private offices, or working area of another person, without express or implied permission of that person or an authorized University official; or invasion of the privacy of records, data, or communications belonging to individuals, to the University, or to others.

2. Procedures for Addressing Violations

It is the right of any member of the University community to bring appropriate charges if it is felt that his or her rights or these preceding standards have been violated.

If a violation of the preceding standards of conduct threatens to disrupt some activity on the University campus or other University property, the person in charge of the activity should attempt to address those persons creating or threatening to create the disturbance. The primary aim should be to re-establish appropriate conditions so that the activity may proceed. If he or she is able to do this reasonably quickly, disciplinary charges may not be necessary.

If the individual in charge of the activity cannot re-establish order, he or she should, as far as practicable, (1) request the disruptive party(ies) to desist, and (2) state the perceived violation of the standards. It is then the obligation of the parties concerned to supply their names.

Any person who fails to comply with the above obligation may be removed and barred from the University activity. If removing the person(s) from the activity in question is not sufficient to remove a clear and present danger, the appropriate University official may eject and bar the person(s) from the University campus and property.

Failure to comply with a request to desist does not in itself constitute a breach of University regulations. Ensuing University judicial proceedings will determine whether a violation in fact had occurred, and the guilt or innocence of the parties charged. No action or omission of the person in charge of the activity shall in any way limit the responsibility of an individual for his or her own actions of disruption or creation of disorder.

In a university, even more than in the community at large, it is appropriate that force, which is available only from outside the university, be used as little as possible in preventing disruption and disorder. Correspondingly, in a university, impediments to freedom of speech and movement and to rationality are intolerable—even those that in the community at large would be minor.

Proceedings under civil law are not a bar to University judicial proceedings.
In the event that any visitor to University premises violates any of these regulations, an appropriate University official shall ask him or her to leave the University premises. If the visitor refuses to leave University premises promptly, the University shall, if necessary, seek the aid of and cooperate with civil authorities.

Civil charges may be filed by an appropriate University official for any misconduct, disruption, or disorder on the campus, whether by visitors or members of the University.

**G. Distinguished Visitors**

Most of our invited speakers are distinguished in their fields. A few have a degree of national or international importance—which makes it a discourtesy if they are not welcomed to the University by the president or his or her designate; examples are senators, members of Congress, cabinet members, ambassadors, heads of state, presidents of colleges and universities, and scholars of extraordinary distinction. We ask that the inviters of such dignitaries contact the Office of the President when such visits are contemplated, and we ask those who schedule rooms for such persons to inform the Office.

**H. Drugs**

The University is committed to the development and maintenance of a drug-free environment and, in accordance with the Drug-Free Workplace Act of 1988, will not tolerate the unlawful possession and use of controlled substances (drugs) on its premises. The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in and on property owned or controlled by the University of Rochester. A more detailed statement on this subject is contained in Policy 171 of the University’s Personnel Policies and Procedures Manual.

**I. Flag Procedures**

The University flag and the American flag are flown daily, except in inclement weather. The American flag is lowered to half staff in accordance with protocols endorsed by Congress. The University flag is also flown at half staff whenever the American flag is so displayed. Pursuant to protocols established and administered by the Office of the University Secretary, the University flag is also flown at half staff at other appropriate times of collective bereavement, such as on the occasion of a funeral or memorial service for a student or a member or former member of the faculty, senior administration, or Board of Trustees. Requests for a lowering of the University flag should be made to the appropriate campus administrator:

- Eastman School of Music: Office of the Director
- Laboratory for Laser Energetics: Office of the Director
- Medical Center: Office of the Senior Vice President and Vice Provost for Health Affairs
- Memorial Art Gallery: Office of the Director
- River Campus: Office of the Chaplain

Requests for a lowering of the University flag on all campuses and questions regarding flag policies and procedures should be directed to the office of the University secretary.
J. Harassment and Discrimination  [last updated FEBRUARY 2007]

The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity. It requires an atmosphere in which diverse ideas can be expressed and discussed. The University of Rochester seeks to provide a setting that respects the contributions of all the individuals composing its community, that encourages intellectual and personal development, and that promotes the free exchange of ideas.

Any behavior, including verbal or physical conduct, that constitutes discrimination against or harassment of any student, faculty, or staff member of the University community in any form is prohibited.

Retaliation is prohibited in any form against a person because he or she complained about conduct reasonably believed to be discrimination or harassment.

For the University Policy Against Discrimination and Harassment, including the procedures to be followed if a person believes he or she has experienced harassment, discrimination, or retaliation or is aware of such conduct occurring, see Human Resources Policy #106, which can be found on the webpage of the University or Rochester, Human Resources, Policy Manual.

K. Political Activity

Recognition of its own purposes under the Charter and compliance with federal and state laws for not-for-profit corporations require that the University remain non-partisan and independent in politics. Individual members of the University community, of course, have the right to participate in the political process so long as they do not speak or act in the name of the University. A more detailed statement on the rights and obligations of faculty and staff on this subject is contained in Policy 112 of the University’s Personnel Policies and Procedures Manual.

L. Religious Observance

As provided in New York State education law, students who choose not to register for classes, attend classes, or take exams on certain days because of their religious beliefs will be given an equivalent opportunity to register for classes or to make up the work requirements or exams they miss, without penalties or additional fees.

M. Safety

It is the policy of the University of Rochester to provide an environment in which recognized hazards that could cause injury or illness to faculty, staff, students, patients, or visitors are controlled and monitored, and to protect its facilities from risk of damage from unsafe acts or conditions. The safety and well-being of all persons on University property or engaged in University activities are of primary concern. Each member of the University community, including each member of the faculty, is expected to share this concern and to participate in University efforts to encourage safety and control risk in all activities. It is each person’s responsibility to be alert to actual or potential hazards and to take appropriate steps to control them.
The Office of University Risk Management and Environmental Safety provides expertise, assistance, and coordination for the University’s programs in industrial hygiene (workplace safety), fire safety, pest control, and food sanitation. The office also provides training classes to help departments educate their people in these areas as well as to help them remain compliant with governmental regulations.

Research laboratories present particular concerns for safety. Faculty engaged in laboratory instruction or research are obligated to assure compliance with applicable safety protocols and regulations in their labs. The Office of Radiation Safety in the Medical Center governs the safe use of radioactive materials throughout the University. The Hazardous Waste Management Unit in the Office of University Facilities and Services handles the proper disposal of hazardous materials. Faculty should consult with the safety-related offices regarding the appropriate procedures to follow.

N. Security

University Security Services ("Security") has the primary duty to respond in all medical, fire, and criminal emergencies at the University. Security staff is available to help 24 hours a day, 7 days a week. In an emergency, use any University phone to dial x13, or pick up any direct line blue light emergency phone. For non-emergencies, dial x5-3333.

Security acts to prevent criminal activity as well as to respond to it through such measures as prevention education, preventive patrols, and escorts. Members of the University community are encouraged to remain aware of their surroundings, to observe self-protective measures, and to report any potential threats to the community’s well-being. Please refer to the latest edition of the publication titled Think Safe for additional information concerning services provided. It may be obtained by calling x5-3437.

Security serves as a liaison with public law enforcement agencies. Cooperation between those outside agencies and the University community promotes awareness of the needs of one’s neighbors and fosters a sense of common purpose and protection for all. Unlawful acts or evidence thereof may be reported to the appropriate law enforcement agencies.

Security offices are located in the University Towne House, at the River Campus Quad Annex, and at G-6009 in the Medical Center.

O. Smoking

In light of the clear health hazards associated with tobacco smoke and as an institution committed to promoting the best possible health care for all, the University of Rochester has adopted the following University-wide smoke-free policy:

- All buildings and vehicles, regardless of location, that are owned or leased by the University of Rochester will be entirely smoke free. Except as designated below, this policy applies to all indoor air space, including individual faculty and administrative offices.
- University-owned and leased housing, including residence halls, will be smoke free, with the exception of the individual (non-communal) living spaces of residents who are living alone or have the consent of their roommate(s). All communal spaces within University housing will be entirely smoke free.
• It will be the obligation of the University administrator responsible for programs taking place within these areas to ensure that the smoke-free policy is observed.
• Individuals who wish to smoke out of doors must do so away from entryways, other places nonsmokers must cross, and air intakes into the building. The building coordinator in each building will designate an outside area, away from pedestrian traffic and building air supply, where smoking may take place.
• The University assists faculty, staff, and students who wish to stop smoking and periodically offers smoking-cessation workshops. Supervisors are encouraged to allow their smoking staff to attend.

P. Solicitation of Funds

Faculty play a significant role in the acquisition of gifts for the University from corporations, foundations, and individual donors. The development organization will ask for faculty involvement in identifying needs, preparing proposals, and meeting with existing and prospective donors. Faculty members themselves may identify prospects in whom they are interested. The University maintains a central file and clearance system that is coordinated by the vice president for development. Before discussing a project or soliciting funds from an individual, corporation, or foundation, faculty members should contact the appropriate development office as well as their dean or director to learn the status of the prospective donor:

<table>
<thead>
<tr>
<th>Unit</th>
<th>Development Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>The College</td>
<td>685 Mt. Hope Avenue, 273-5889</td>
</tr>
<tr>
<td>Eastman School</td>
<td>Eastman Place, 4th Floor, 274-1040</td>
</tr>
<tr>
<td>Medical Center</td>
<td>Med. 1-5209, 275-7772</td>
</tr>
<tr>
<td>Rush Rhees Library</td>
<td>Rush Rhees Library, Room 236, 275-4461</td>
</tr>
<tr>
<td>The School of Nursing</td>
<td>Med. 1-5212, 275-7060</td>
</tr>
<tr>
<td>Simon School</td>
<td>2-306A Carol Simon Hall, 275-2195</td>
</tr>
<tr>
<td>Warner School</td>
<td>Dewey 2-147-A, 275-2308</td>
</tr>
</tbody>
</table>

In some cases, when the University already has significant interaction with an individual, corporation, or foundation, that multiple interactions may be confusing for the prospect. Faculty members should proceed only when the Development Office has cleared the project or after the appropriate development staff member has become involved. Following any interaction with a potential donor, a written report of the meeting should be filed with the Development Office (see room number above). When a faculty member receives a commitment or an actual gift from a donor, the Development Office should be advised. A gift transmittal form can be obtained from the Development Office by calling the numbers listed above. This will assure that a pledge is properly recorded and that funds are deposited to the appropriate account. If transactions of this sort are not properly recorded, the University’s system of acknowledging gifts and providing required receipts for tax purposes does not function. The result could be that the donor is not properly thanked, and the deduction is jeopardized. The proper handling of gifts is an important step in the development process.

Q. University Letterhead

When an individual or group uses University letterhead, or employs the phrase "University of Rochester" in a specially invented letterhead, there is the implication that the communication has the
sanction of the University. Such letterheads are sometimes used inappropriately in letters or other
documents to pursue a personal goal or for social or political purposes that are not the direct
responsibility of the University. In these cases, such a letterhead should not be used, however worthy the
cause, and in spite of the fact that University members may be part or all of the membership of a group.

Examples of appropriate use of letterhead would be a professor of chemistry writing to a professional
society or to a colleague in another university about professional matters, or an official of the Glee Club
writing about arrangements for a proposed tour of the club. Examples of inappropriate use would be a
group of faculty writing to the mayor of Rochester protesting the city’s tax proposals, or a group of
students urging the president of the United States to seek the release of a political prisoner. The subject
of the communication must be the authorized business of a formal component of the University (such as
a department or school, or a student group sanctioned by the University). Otherwise, the group or
individual should seek authorization in writing from the president or provost to use the University’s
name. (In the Medical Center, individuals should seek permission from the senior vice president and
vice provost for health affairs.) Sponsorship, for instance, by a department or group in the University, of
some cause that is not a specified part of the professional responsibilities of that department or group
does not constitute such authorization, nor can anyone except the president or provost grant such
authorization.

If there is any doubt about the appropriate use of University letterhead, the provost or the president
should be consulted.

R. University Web

The University Web is the University of Rochester’s collection of Web-based information access tools
and documents residing on University Web servers. The Campus-Wide Information Systems (CWIS)
Governance Committee has final policy authority, as delegated by the president and provost, on what is
considered appropriate Web material. The right to use computing and telecommunications resources can
be revoked if misused or abused, even if unintentionally. Activities and products must be consistent with
the University’s academic ethics, including guidelines on computer security, prohibition of racial and
sexual harassment, academic misconduct, non-discrimination, confidentiality of records, appropriate use
of computing facilities, as well as federal and state computer crimes statutes. Violations include but are
not limited to:

- Commercial activities not approved by the University.
- Using this medium to harass or to create, store, or transmit libelous or obscene materials.
- Copyright and licensing infractions.
- Infringing on rights of personal privacy.
IV. Faculty Policies

A. Faculty Duties, Rank, and Tenure

Membership in the faculties of the University carries with it both rights and responsibilities. To be effective as a scholar and teacher, the faculty member must be free to pursue knowledge and to teach what he or she believes to be true. The faculty member who is granted this freedom should conduct research and teaching with integrity and competence. The University should cultivate academic endeavors of quality and provide the climate of freedom on which they depend.

1. The faculties of the University shall be responsible for conducting instruction and research.
2. Titles normally used for the faculty will be professor, associate professor, assistant professor, and instructor.
3. Subject to approval by the Board of Trustees, additional titles may be created.
4. Appointments to the faculty will be full time or part time.
5. Unlimited tenure (hereinafter referred to as "tenure") will be until retirement and may normally be given only to professors and associate professors.
6. Full-time appointments will be with or without tenure.
7. Part-time appointments will be without tenure and may be made at any rank.
8. Appointments for tenure-track faculty without tenure will be for a predetermined and fixed number of years and may be given at any rank. Renewable appointments of non tenure-track faculty on term contracts should be reviewed periodically so that appointments without tenure are not continued unreasonably.
9. Tenure resides in the school, the unit of the University responsible for raising the resources to support the faculty. This, however, does not remove the possibility that tenure may be revoked and term contracts abrogated if a department within the school is closed. (See “Procedures for Revocation of Tenure.”)
10. Tenure may be revoked and term contracts may be abrogated by the Board of Trustees only for cause, academic cause, or bona fide financial exigency of the University (including as described in Item 9). Cause shall be restricted to physical or mental incompetence or moral conduct unbefitting the position. Academic cause shall be defined as the failure by a member of the faculty to discharge responsibly his or her fundamental obligations as a teacher, colleague, and member of the wider community of scholars.
11. Should there be suspicion of cause or academic cause for revocation of a faculty member’s tenure, the faculty member is guaranteed a full and fair hearing by his or her peers, following the procedures established by the University Committee on Tenure and Privileges. Prior to a decision, all charges, testimony, and recommendations will be available in writing to the accused, the president of the University, and the trustees.
12. It is the responsibility of the faculty of each school of the University to prepare, for its own guidance, detailed regulations consistent with these principles. Such regulations, and any subsequent changes in them, must be approved and recommended to the president by the University Committee on Tenure and Privileges.
1. Policy on Lengths of Appointments at Various Faculty Ranks

Faculty Appointments

In adopting these rules governing the terms of faculty appointments, the trustees fully recognize the role that tenure plays in protecting academic freedom. The maximum periods they prescribe for nontenured appointments are fully consistent with that role; in addition, it is in the interest of the University that maximum periods for nontenured appointments be uniform among the various schools. Such uniformity will facilitate joint appointments, as well as simplify the administration of appointments and promotions. Finally, uniformity will provide current and potential members of the faculty with a single clear statement of University policy. Within such prescribed limits, however, these rules provide substantial flexibility for individual departments and schools and for individual appointments.

Lengths of service described below apply to full-time tenure-track faculty and are maximal and not mandatory. An individual may be recommended for promotion and tenure at any time that the chair and the dean are persuaded that it is in the University’s interest to do so. There is an exception to these rules in the School of Nursing and the School of Medicine and Dentistry for those whose responsibilities include patient care or other professional service. Details are provided in the regulations of those schools.

Instructors

The first appointment as instructor shall normally be for one year, although appointment may be for two years. Reappointments, if made, are for one year or two years. Instructors will not normally be continued beyond three years without promotion. Further reappointments, if made, may not extend the total period of service beyond five years, not including time on leave. After five years, an instructor will be either promoted or not reappointed to the faculty.

Assistant Professor

Appointments at the rank of assistant professor are for periods not exceeding four years. The maximum term of service at the rank of assistant professor may not exceed seven years, not including time on non-academic leave. Typically, a review for promotion or tenure is initiated at the end of the fifth year in rank, with notification of the decision being made by the end of the sixth year (see "Notification of Reappointment or Termination"). Time on academic leave will count toward a faculty member’s time in rank. A request in writing to the dean/director is required from a faculty member who wants to postpone promotion or tenure review due to a non-academic leave. Junior Leaves and Bridging Fellowships, alone or in combination with another academic leave, do not delay tenure decisions. When a tenure-track faculty member is promoted, any years remaining on the previous

Associate Professor

Appointments at the rank of associate professor may be with or without tenure. Appointments at the rank of associate professor without tenure are for periods not exceeding five years. The maximum term of service at the rank of associate professor without tenure may not exceed five years, not including time on personal leave. The maximum combined service at the ranks of assistant professor and associate professor without tenure may not exceed 11 years, not including time on personal leave. Junior Leaves and Bridging Fellowships, alone or in combination with another academic leave, do not delay tenure decisions. When a tenure-track faculty member is promoted, any years remaining on the previous
appointment do not add to the duration of the new appointment. A faculty member may be promoted from associate professor without tenure to associate professor with tenure. Typically, a review for tenure is initiated by the end of the third year in rank, with notification of the decision being made by the end of the fourth year. (This assumes a five-year appointment; for shorter appointments, see "Notification of Reappointment or Termination.") Exceptions to these regulations exist in the School of Medicine and Dentistry.

Professor

There is no fixed time prior to consideration for appointment to professor, but a period of six years after tenure is awarded is common. Appointments as professor carry tenure, except that the appointment of a professor from outside the University may be for a fixed period. Service at the rank of professor without tenure may not normally exceed five years, including time on academic leave.

Joint and Programmatic Appointments

Joint (secondary) and programmatic appointments with unlimited term may be made only when an individual first joins the University, or when needed to retain a valued faculty member who has been or anticipates being offered a similar position at another university. Secondary appointments do not carry tenure unless specifically agreed to by both departments in advance.

The most desirable period for a joint appointment is three years, a time selected not only to limit the paperwork involved with annual reviews, but also to give sufficient opportunity to sever gracefully an association that has not been mutually useful. Appointments for longer fixed terms may be made when circumstances warrant them.

Effective Date of Reappointment, Promotion, or Unlimited Tenure

Reappointment, promotion, or granting of tenure is effective at either the expiration of the current appointment or the beginning of the next academic year following the decision, whichever comes first. Maximum terms of service specified above may be extended to bring an individual’s appointment into phase with the normal academic year calendar. Notice of reappointment, promotion, or granting of tenure does not constitute a de facto change prior to the beginning of the next academic year. In particular, in the event of action to revoke an appointment, the procedures, rights, and obligations pertaining to the existing appointment would apply, not those that would pertain to a reappointment, promotion, or indefinite tenure not yet in effect. When a tenure-track faculty member is promoted, any years remaining on the previous appointment do not add to the duration of the new appointment.

Notification of Reappointment or Termination

An instructor, assistant professor, associate professor, or professor on an appointment of two years or less must be notified in writing, five months before the appointment expires, whether or not he or she is to be reappointed. An assistant professor, associate professor, or professor without tenure whose total appointments at these ranks exceed two years must be notified in writing, not later than one year before the appointment expires, whether or not he or she is to be reappointed. Failure to receive notification does not entitle a faculty member to reappointment, promotion, or tenure. If he or she has not been notified, the dean or director of the school should be informed, and a prompt response will be provided. (If a prompt response is not obtained, the faculty member should consult with the provost or the
2. Process for Appointment and Reappointment [last updated JULY 2002]

Appointment to Instructor and Assistant Professor

These appointments are made by the dean of each school acting on the recommendation of the appropriate chair, if there is one. Prior approval by the provost is not required so long as the appointment is within previously agreed academic and financial plans.

Reappointment as Assistant Professor

The first review customarily occurs in the year prior to the end of an assistant professor’s term appointment. As in cases of promotion to tenure described below, teaching, scholarship, and service are assessed but usually only by internal colleagues. At this stage in a career, promise of distinction rather than achievement is expected. The department’s and school’s review processes are inspected by the provost to be sure all interested parties have been consulted.

Appointments from Outside the University

Appointments made from outside the University to ranks that do not carry tenure do not require review by a committee. Approval of the provost and president and, depending on the length of the appointment, the Board of Trustees is required for ranks higher than assistant professor. (In the School of Medicine and Dentistry and in the School of Nursing, approval of the senior vice president and vice provost for health affairs is also required.)

Appointments made from outside the University to tenured positions require review by an ad hoc committee in precisely the same way – and need precisely the same supporting information – as promotions within the University, whether initiated before the appointment begins or after a period of service as professor without tenure.

Joint Appointments [last updated JULY 2002]

When a joint (secondary) or programmatic appointment is made, a letter from the chair or dean should become a part of the record. It should indicate precisely the conditions of the appointment, and particularly if there is an expectation of teaching or committee work. It is not expected that the letter will spell out details, such as course and committee assignments in any one year, since the letter should be valid for the entire period of the appointment. It should indicate the role of the individual in department meetings and in appointments or promotions within the department. When an appointment spans more than one school, an additional letter signed by all relevant deans should delineate the nature of the salary and research support, the distribution of any externally funded research support, the duration of the agreement, an understanding of how teaching and other responsibilities of the faculty member will be assigned, and how replacement of the faculty member’s effort in the home department (if relevant) will be accomplished.
Purely courtesy appointments, with no duties of any kind, are undesirable because they imply to students and others that the professor is part of the department when such is not the case. They will not be approved unless extraordinary reasons can be provided.

Under these guidelines, the joint appointee will be providing a service to the department, and it is expected that the individual will be treated as a faculty member within the school of the department in which he or she has a joint appointment, and will be accorded the usual courtesies, including invitations to faculty meetings and faculty celebrations. Each school may decide whether such joint appointees should have a vote at faculty meetings, but it is recommended that they should. These specifics should be spelled out in the materials supporting the appointment.

Multiple joint appointments are generally undesirable because they dilute the significance of such appointments for all individuals, and if they are multiple, it may be difficult for the individual to be of service to such numerous departments.

3. Process for Promotion

Criteria for Promotion

In professional schools, specific criteria may differ. In such cases, the criteria of the professional school govern.

Promotion to Tenure

The key promotion is to tenure; subsequent sections will relate other promotions to this one. The principal factors considered are teaching, scholarly or artistic work, and service to the department, school, and University.

The first threshold that must be crossed on the path to tenure is excellence in teaching. Each school seeks its own approach to the difficult task of evaluating teaching, with the one proviso that the evaluation be formal rather than merely anecdotal. It is very much in the interests of the untenured professor to assure that some form of documented demonstration of teaching excellence becomes part of the record.

The second threshold is scholarship or artistic work. To achieve tenure, a faculty member is expected to have made signal scholarly contributions to his or her chosen field; in artistic areas, he or she is expected to have produced creative work of distinction. Since scholars and artists work in communities marked by widely shared standards of individual achievement, the judgments about the work of a scholar or artist by those who have themselves met those standards is a critical part of the case for tenure. In most academic fields, there is an appropriate literature that is recognized as the medium of exchange, and intellectual distinction derives from contributions (in books or journals) to that literature. For tenure, published contributions to this literature are necessary, along with the testimony of expert referees that these contributions are of exceptional quality. It is virtually always required that these contributions have appeared in print or be in press. For tenure, it is not enough that intellectual distinction is promised; it has to be achieved. The expectation that the faculty member continues to play a leadership role in the future is also an important factor in achieving tenure.
Published scholarship is, in subjects like music, replaced by performance; in studio art it is replaced by the creation of works of art. The case for tenure then rests on a documented demonstration that the candidate has made a contribution of such importance that it is nationally recognized.

Passage of these two thresholds is a necessary but not sufficient basis for promotion to tenure. If the thresholds are passed, then one considers the overall excellence of the candidate, which may be heavily based on outstanding research, or heavily on fine teaching, or (most preferred) on great achievement in both of these areas.

Service is the third area of consideration; the definition of an appropriate level is difficult indeed. Unless an individual has demonstrated willingness to work for the department, it is not likely that colleagues will be prepared to recommend tenure. Similarly, the ad hoc committee of faculty will hardly wish to recommend that the University retain indefinitely somebody who has such a preoccupation with teaching and research that the many other responsibilities of faculty members are neglected.

The above comments have dealt with past performance and its documentation. But, of course, a central concern in tenure is with future expectations, and the primary use of the record of the past is to answer affirmatively the question "Is this individual likely to be an important teacher, scholar (or artist), and contributor to the University’s work for the many years ahead?"

Once a department has recommended tenure, the other necessary step in the process is evaluation by an ad hoc faculty committee, whose responsibility is to weigh the numerous factors in an individual’s case and provide a recommendation on whether the interests of the University are best served by the promotion.

Promotion to Associate Professor without Tenure

This rank can be used as an early promotion for particularly promising cases or as an initial appointment of candidates who have experience beyond the level of an assistant professor. In some cases, fields, or schools, the material to support tenure develops at a pace such that the criteria for tenure previously stated are not met within the five-year period preceding the initiation of the review process. In such cases and when the expectations are good that the criteria will be met within a few years, not more than five, promotion to associate professor without tenure is appropriate.

Promotion to Full Professor

This promotion may be awarded when a tenured individual has continued to grow in intellectual leadership and in teaching excellence, and has in this way become a senior authority in the country, a valuable teacher, and an important contributor to the school or University or both.

Documentation in Promotion

The following does not apply to the School of Medicine and Dentistry and the School of Nursing. Please refer to the handbooks of those schools. Individual units of the University may require more detailed information. The guidelines provided by the dean or director should be followed.
A much-reduced version of the following information for a tenure case is appropriate for promotion to full professor; none is required for the promotion from instructor to assistant professor. A completed summary sheet of the contents must accompany each promotion package.

In the following numbered items, the phrase "appropriate faculty members" refers to faculty members in the candidate’s division, department, or school at rank and tenure equal to or greater than the proposed promotion. A school may adopt more restrictive definitions of "appropriate faculty members." In such cases, the school’s definition should be followed.

1. Initiation of the process leading to promotion rests with the chair of the department (or, in smaller schools, with the dean). If a faculty member believes that the department chair (or dean) has not put forward a recommendation for reappointment or promotion at an appropriate time or for the appropriate type of promotion, the faculty member may appeal to the dean (or provost, if the dean is the initial recommender).

2. There should be a statement from the candidate about his or her plans for the future and a current curriculum vita. The statement should cover all areas, including scholarship and teaching.

3. Before seeking outside letters, the chair (or, in smaller schools, the dean) will have discussed with the appropriate faculty members whether the chances for promotion are good. If the decision at that point is negative, there will usually be no outside letters requested. It is important that the chair communicate a negative decision quickly.

4. When promotion is sought, letters from outside reviewers should be obtained, and should be studied by appropriate faculty members. Usually, a dozen outside letters are ample; fewer letters may be acceptable in some fields. At least three of the letters should be from persons whom the chair affirms in a covering letter are not closely connected personally with the candidate, e.g., as a close colleague, co-author, personal friend, or Ph.D. supervisor.

5. The documentation should include a copy of the letter that the chair writes to the outside reviewers seeking an opinion.

6. Brief biographical material should be provided for each of the outside referents. A copy of the entry in the appropriate professional biographical book (e.g., *American Men and Women of Science*) is usually adequate. This material is helpful in judging the standing of the referent, and in indicating institutional affiliations that may overlap with the candidate.

7. The chair must seek referents in addition to those suggested by the candidate, and must provide in the covering letter a statement about which names the chair added. This requires that the chair not ask the candidate to give a total list of all available opinions. Instead, the candidate should be asked to provide the names of (for instance) five or six referents, so that these can readily be supplemented by the chair.

8. All appropriate faculty members shall discuss and vote upon the promotion. In addition, a committee of appropriate faculty members may be formed to make recommendations regarding the promotion. This committee is representative of the appropriate faculty in the candidate’s department, division, or school. The appropriate faculty members shall have access to all documentation solicited on the candidate’s behalf, except letters written by the appropriate faculty to the chair, dean, or director. (See Item 9 below.)

9. Each appropriate faculty member is expected to give to the chair, division head, or dean his or her written opinions and judgments regarding the candidate’s promotion. In the case of a representative promotions committee, a report signed by all committee members may substitute for a letter from each of those committee members. These notices become a part of the case for promotion to be used by the dean and the provost. At the end of the procedure, there will be only one set of originals retained in the central University files.
10. It is assumed that the case forwarded from the department reflects the opinions of the faculty appropriate to consider the promotion, that these opinions have been frankly shared in discussion, and that any range of views is reflected in a complete set of individual faculty letters that are forwarded with the case by the department.

11. Specific attention should be paid to the excellence of teaching as well as scholarly or performance excellence. For internal candidates, formal course evaluation information should be included. When the candidate comes from another setting, comparable information should be assembled as available.

12. The number of copies required differs by the type of promotion. Since promotion to associate professor without tenure relies on standing committees of up to seven members, seven sets of the readily reproducible material (curriculum vitae, letters, etc.) are needed and as many sets as possible, up to seven, of less easily reproducible material, such as books and recordings. For all promotions to tenure, four copies are needed. For promotion from tenured associate professor to professor, one complete set of material is necessary.

13. Ad hoc committees are very sensitive to the quality of the institutions of the individuals from whom opinions are sought. Sometimes there may be good reasons why few individuals from prestigious institutions are included, for instance if the subject at hand is not well studied at major institutions. If such is the case, the chair should comment explicitly upon this in the covering letter. In all cases, the chair should go to some length to assure that the roster of referents is an excellent one.

14. Chairs are urged to include in their letters of inquiry to referents a request that individual comparisons be made. This is a fairly common but not yet universal practice, and it is extremely helpful to compare the various letters to see whether they reflect a common view of the standing of the candidate. An appropriate example is: "It would be particularly helpful if you would compare X with other named individuals of comparable standing in the field."

15. When a faculty member who holds a joint appointment or affiliation in another department or unit of the University is being considered for reappointment, promotion, or tenure, the chair of the home department should officially solicit input from the head of the secondary unit. That input should be part of the case forwarded to the dean or director.

16. All promotion-related documentation, unless otherwise specified, is assumed to be obtained with the understanding that it is confidential.

Promotion to Associate Professor without Tenure

The following applies to all except the School of Medicine and Dentistry and the School of Nursing; please refer to the handbooks of those schools. In schools having departments (or their equivalent) with chairs, the process is initiated by the chair, who gathers appropriate material for consideration by tenured members of the department. The material includes a detailed description of the research, teaching, and service activities of the candidate, and letters of evaluation from scholars outside the University and (where appropriate) from inside it. The chair reports to the dean the opinion of the faculty and makes his or her own recommendation. (In the Margaret Warner Graduate School of Education and Human Development and the William E. Simon Graduate School of Business Administration, the dean seeks the opinion of the tenured faculty directly, but in other ways the procedure is identical.) If the dean believes the promotion is warranted, he or she forwards the material, with a covering letter, to the provost, who puts the matter before the appropriate promotions committee.

There are three such committees: arts and humanities, social sciences, and physical and biological sciences. Each is chaired by the provost and has up to six additional faculty members serving five-year
staggered terms. Members are appointed by the provost in consultation with the president from a list of names recommended by the deans based upon recommendations made by department chairs. The composition of the committees is published annually in *Currents*.

The promotion committee makes its recommendations to the president and provost, who review the recommendation and subsequently make their own recommendation (when positive) to the Board of Trustees, whose decision is final.

**Promotion to Associate Professor with Tenure**

The procedure is the same as is described in "Promotion to Associate Professor without Tenure" up to the point at which the dean proposes to make a positive recommendation. The dean will suggest to the provost the names of individuals who might be asked to serve on an ad hoc committee to review the matter. None of the members is from the home department, and one is usually from a different unit of the University. The committee provides a written recommendation to the president and provost, who study this response and subsequently pass their own recommendation (when positive) to the Board of Trustees for final action.

**Promotion to Full Professor**

The procedure for promotion of internal candidates to full professor is the same as is described in "Promotion to Associate Professor without Tenure" up to the point at which the dean proposes to make a positive recommendation. The recommendation is then reviewed by the president and provost and positive recommendations are passed to the Board of Trustees for final action.

For appointments with tenure from outside the University, the procedure is as described in "Promotion to Associate Professor with Tenure."

**Reappointment and Promotion for Faculty Members on Part-Time Appointment**

Documentation to substantiate a recommendation for reappointment or promotion of a person on a part-time appointment should be comparable to a person on a full-time appointment. The material should move from the department to the dean or director to the provost, who will decide if advice from a committee is necessary.

**Postponement of Promotion or Tenure Review  [last updated FEBRUARY 2007]**

A full-time tenure track faculty member who adds a new child to the family will automatically be given a one-year postponement of the promotion or tenure review next following the child’s birth or adoption. This policy will apply to a faculty member who is a father, mother, or legal guardian of a newborn or adopted child up to the age of 2 years at the time of adoption; or the domestic partner of the parent of a newborn or adopted child up to the age of 2 years at the time of adoption. In all cases, the faculty member must be employed as a full-time tenure track faculty member of the University of Rochester at the time of the birth or adoption, and living in the same household as the child.

If the tenure-track faculty member again adds a new child to the family while employed by the University of Rochester, he or she will automatically be given another one-year postponement for a maximum of two one-year postponements (unless the department chair and dean agree to additional
extensions). The faculty member’s review will take place one year (or two years if the faculty member
receives a second one-year postponement) after the time the review would have taken place in the
absence of the postponement.

In all cases where the contract duration is intentionally synchronized with the tenure decision, then
extending the tenure clock automatically extends the contract as well.

This policy applies to reviews for promotion or tenure only. Extension for other reviews will be
determined by the dean and department chair after a discussion with the faculty member.

In order to facilitate the automatic extension(s), the faculty member should notify the department chair
or dean as soon as possible.

If a full-time tenure track faculty member does not wish the automatic postponement(s) under this
policy, he or she should notify the department chair or dean of the intent to waive the postponement as
far in advance as possible under the circumstances.

A faculty member may also request a postponement of promotion or tenure review by one year if health
or personal problems impose severe burdens on his or her progress. Requests will be considered only
within one year of the occurrence of the special circumstances. The request is made through the
department chair to the dean and to the provost for decision. (In the School of Medicine and Dentistry
and in the School of Nursing, the request is made through the department chair to the dean and to the
Senior Vice President for Health Sciences and CEO of the Medical Center for decision.) Normally no
more than one one-year postponement will be granted for health or personal problems. A tenure or
promotion decision should not be delayed beyond the eleventh year of an initial appointment as an
assistant professor.

Reconsideration / Review of Promotion Decisions

If the review committee did not have before it, through no fault of the candidate or his or her sponsors,
some information of substantial importance at the time the committee was developing its
recommendations, the provost may ask for reconsideration of the case by the same committee, whether
it be a standing committee or an ad hoc committee.

There is no appeal on substantive ground of the decision of the president and the provost, but if an
individual believes there have been procedural irregularities or bias in the consideration of his or her
case, he or she and the provost may jointly designate any academic dean or associate academic dean in
the University to review and report upon the procedures followed. On the basis of this review, the
president and provost may elect to modify their prior decision.

4. Appointment Papers

All newly hired faculty members are required to provide verification of authorization to work.
Documents that verify eligibility include a U.S. passport, a certificate of U.S. citizenship, or a certificate
of naturalization.

5. Appointment of Foreign Nationals
The Office of Immigration Services manages the immigration work for anyone holding an academic appointment with the University. The Office of Immigration Services must obtain work authorization from the Immigration and Naturalization Service for each foreign national before he or she can begin any appointment with the University. Typically, it takes three to four months to obtain work authorization. Hiring departments must contact the Office of Immigration Services at 275-3314 before an offer is made to a foreign national. The work-authorized, non-immigrant classifications most often used at the University are H-1B (non-immigrant, temporary visitor in a specialty occupation), J-1 (non-immigrant and exchange worker), and TN (Canadian citizen with authorization to work for a specific employer).

6. Periods of Appointment

The academic year is typically for nine months, or September 1 through May 31, or September 15 through June 15, except in the School of Medicine and Dentistry and the Laboratory for Laser Energetics, where appointments are made for 12 months. Appointments are normally effective on July 1, and salaries are commonly paid in 12 equal monthly installments on the last day of each month. In any given year, a faculty member is therefore being paid an advance during the summer months for activities in the coming academic year.

Because a faculty member is paid only for work in the academic year, he or she is free to arrange with outside agencies to be paid for activities during the three summer months. Normally, when external funds are involved, a maximum of 2.5 months of support is funded at a rate of not more than 1/9 of the academic-year salary per month of summer support. The appropriate academic-year salary is that which starts in July of the summer that is worked. The rate should include the University’s retirement contribution.

7. Simultaneous Appointments at Other Institutions

It is often appropriate that a faculty member of the University of Rochester hold simultaneously an appointment at another institution. Examples would be during a summer period (for those on nine-month appointments) or an academic leave. It is quite common for faculty to visit other institutions at such times, and entirely fitting if (for instance) a "visiting professorship" or something like it is arranged to give the individual appropriate status and access to facilities at the institution that is being visited. When the individual is not being paid full time by the University of Rochester for such a period, he or she is free to negotiate such a title – with or without salary – with the other institution for whatever fraction of time is not paid by the University of Rochester.

By contrast, during periods in which an individual is on full-time pay from the University of Rochester and is not on leave, the simultaneous holding of a title, with or without salary, at another academic institution, or at any institution if remuneration is involved, must be with the concurrence of the department and school of the University of Rochester. In such circumstances, the individual should begin by discussing the matter with the chair (or the dean if there is no chair). In considering whether to approve an appointment at another institution when remuneration is involved, the chair should be guided by the present policy on consultation. (See “Consulting.”) If the chair approves an arrangement with the professor, the professor should set down that approval in writing along with an explicit statement of his or her understanding of the terms of the agreement. If there is any consideration of a substantial amount
of time away from the University, in association with an appointment elsewhere, the chair should discuss the matter with the dean.

The above is the basic policy on simultaneous appointments at other institutions that holds throughout the University. Specific schools and units may have additional policies. Please consult the office of the appropriate dean or vice president for details.

8. Resignation

It is customary to notify a department chair prior to May 1 of a resignation effective at the close of the academic year.

B. Special Faculty Titles

1. Visiting Faculty

The term "visiting" appended to an academic title usually implies that the individual is a visitor from another institution who retains his or her status at that institution. It invariably implies a relatively transient appointment. A term of up to one year is usual. In very special cases, it could be extended for another year, and in truly extraordinary circumstances, for a third year. The title should not be used for individuals when prolonged appointments are anticipated.

The authority required for visiting appointments is precisely the same as for the related regular appointments. For instance, visiting assistant professors can be appointed on the authority of a dean (provided that the appointment is within the academic and financial plans previously agreed to by the dean and the provost), but visiting associate professors can be appointed only with the approval of the provost, senior vice president and vice provost for health affairs (Medical Center cases only), or president and the Executive Committee of the Board of Trustees.

2. Part-Time Faculty

All titles used for members of the instructional faculty may be used for persons appointed on a part-time basis, with the part-time designation following the title given (e.g., professor, PT). Part-time members of the faculty are normally compensated at an appropriate schedule in proportion to the amount of time given in service to the University. Appointments may be recommended by the department chair with appropriate faculty approval, with a review of the appointment made in the same manner as the other appointments. The duration of a part-time appointment will normally not exceed one year; in rare instances, arrangements for a longer period of time may be made when the intention is clear that the relationship with the University is a continuing one. Such appointments are renewable.

Certain University benefits apply in full to part-time faculty, such as travel and accident insurance, workers’ compensation and medical insurance. Others, for example tuition benefits, are not applicable. The Office of Human Resources should be consulted about details of applicable benefits.

Part-time positions are never tenured, nor are the customary rules for maximum time in rank applicable.

3. Adjunct Faculty [last updated NOVEMBER 2002]
The titles adjunct professor, adjunct associate professor, and adjunct assistant professor may be used to provide faculty status for professional persons whose primary place of appointment is outside the University or outside of the school in which the appointment is given. Appointments may be recommended by the departmental chair with appropriate faculty approval, with the review of the appointment made in the same manner as with other appointments. The duration of the appointment should be indicated at the time of appointment. In rare instances, a distinguished person might be given an indefinite appointment as adjunct professor.

Adjunct faculty will often be affiliated with an institution with which the University is cooperating in some way. The activities expected of adjunct faculty on behalf of the University will be a matter of record both in the University department and in the home institution, with an indication of approval for the activity.

Normally, there will be no compensation for adjunct faculty. Any agreement regarding compensation, however, will be a matter of record. University benefits will not normally be provided.

By department action, adjunct and part-time faculty members may be permitted to attend all faculty meetings and to have full vote on matters pertaining to ongoing research and instructional programs. Attendance at and participation in departmental meetings will be at the discretion of the department, although adjunct and part-time faculty members will not normally be involved in review of matters of promotion, appointment, or allocation of departmental resources with long-term implications. Their assignments may include, when appropriate, the advising of undergraduate and graduate students. Service on doctoral committees, with approval of the appropriate associate dean for graduate studies and the University Dean of Graduate Studies, is permissible under current rules of the Graduate Council; however, only adjunct professors whose appointments are expected to continue for a sufficient period will be eligible to serve in such a role. Adjunct faculty may not serve as the primary dissertation advisor.

4. Clinical and Other Special Faculty

Some of the professional schools give titles to faculty members outside the tenure track who perform teaching or other functions. At the William E. Simon Graduate School of Business Administration, for example, the titles of lecturer, senior lecturer, and professorial lecturer are given to those in the teaching track. At the Schools of Medicine and Dentistry, and the School of Nursing, clinical faculty contribute to the teaching mission and the professional obligations of the schools.

Deans or, in the School of Medicine and Dentistry and the School of Nursing, the senior vice president and vice provost for health affairs, may propose special titles and the associated appointment schedules after appropriate consultation within the schools. The proposals are submitted to the University Committee on Tenure and Privileges for review and advice, and to the Board of Trustees, which must approve them.

5. Emeritus Status

When an individual holding the rank of assistant, associate, or full professor retires, he or she will be eligible for consideration for the title "emeritus professor."
The formal action for such a designation follows the usual channels for changes in title; it originates in the department and goes through the dean’s office to the provost. Approval by the Executive Committee of the Board of Trustees is required.

**6. Other Nontenure Faculty Titles**

**Full Time**

Full-time faculty are normally appointed to positions with titles named in the section on “Faculty Appointments,” with promotion and tenure procedures described in the pages following that description. For exceptional cases, special titles are available for appointments outside of the tenure track. Adoption of any of these special titles by any school, and the suggested rules for these appointments, is reviewed by the University Committee on Tenure and Privileges (as described in the section on “Faculty Senate”). Titles allowed under this section include assistant professor (teaching), associate professor (teaching), and professor (teaching); assistant professor (research), associate professor (research), and professor (research); associate and senior associate; research associate and senior research associate; and scientist and senior scientist. In the School of Medicine and Dentistry, the following titles may also be used for appointments outside the tenure track: research assistant professor, research associate professor, and research professor.

**Part Time**

Persons who teach part time and do not hold regular academic appointments at the University of Rochester may hold any of the following titles: assistant lecturer, associate lecturer, lecturer, and senior lecturer. The title is also used in some departments and schools where it denotes a part-time position; in the Eastman School of Music, it is used for nontenured collegiate positions.

**C. Faculty Grievance Procedures**

Faculty have available to them three different grievance procedures: One is designed for grievances relating to tenure, another for those relating to discrimination, and the third for general grievances. The faculty member decides which of these procedures most closely fits his or her concern, since only one of these procedures may be utilized for any particular grievance. The details of each procedure are given below.

Although the procedure was initially developed to provide a mechanism for revocation of tenure, it was agreed in a discussion between President Sproull and the Faculty Senate on March 3, 1975, that when a serious threat to tenure was involved, the faculty member should so inform the president, who would then refer the matter to the University Committee on Tenure and Privileges.

In a case in which the faculty member believes that he or she has suffered discrimination or harassment on the grounds of sex, race, age, national origin, disability, or religious or sexual orientation, the matter follows the procedure described in "Procedure for grievances alleging discrimination...." Similarly, any case in which a member of the University community alleges discrimination or harassment by a faculty member follows the same procedure.
The third procedure available is for grievances that are not covered by either of the above two procedures.

These procedures are appropriate for grievances relating to events occurring while an individual holds a faculty position. Each school makes its own determination of the ranks that confer faculty status, and the appropriate dean’s office shall be consulted in cases of doubt. Although primarily designed for full-time faculty, the procedures are appropriate for part-time faculty (whether paid or not) if the events occur in connection with a faculty activity.

At any step in these procedures an administrator may wish to consult his or her customary advisory body. For instance, when the dean of the School of Medicine and Dentistry is involved, he or she may seek advice from the school’s Executive Committee.

These procedures have no bearing upon hospital privileges at Strong Memorial Hospital or any other hospital affiliated with the University. Special procedures approved by the Joint Commission for the Accreditation of Health Care Organizations exist for this purpose.

Appeals from the decision of the dean to the level of the provost and president may be made only in cases where the appellant believes that improper procedures have been applied or that bias or prejudice have entered the procedures. It is not in the nature of the University for the provost or president to substitute his or her academic judgment for the academic judgment of a dean.
1. Tenure Grievances

If an individual believes that a serious threat to his or her tenure has occurred, he or she shall inform, in writing, the president, provost, and, in cases involving the School of Medicine and Dentistry, or the School of Nursing, the senior vice president and vice provost for health affairs. The president and provost will then refer the matter to the University Committee on Tenure and Privileges for review and recommendation. If there is a disagreement between the president and provost on one hand and the committee on the other about whether the grievance should be heard, the grievance will be heard.

If the person presenting the grievance is a member of the University Committee on Tenure and Privileges, he or she shall withdraw from the committee until the case is settled. Similarly, if any member of the committee is a member of the same department as that of the person under question, he or she shall withdraw from this committee when it convenes for this purpose until the case is settled. Other members of the committee shall withdraw from the committee during any investigation if, in their own judgment, they are not able to participate impartially. If any member of the committee withdraws for any of these reasons, he or she should be temporarily replaced by a member of one of the faculties of the University who has tenure, the new and temporary member being chosen by the remaining members of the committee.

For each case submitted, the University Committee on Tenure and Privileges shall promptly appoint a special committee of five members of the faculty from a list, nominated by the president or provost (in consultation with the senior vice president and vice provost for health affairs for cases involving the School of Medicine and Dentistry or the School of Nursing), of 15 members with tenure from the faculties of the University of Rochester. This list shall have appropriate representation from the same school as the faculty member presenting the grievance, and shall have a majority from that school unless the president finds it unreasonable. The University Committee on Tenure and Privileges shall apply the same principle in selecting the special committee. The committee may, at its discretion, add to the special committee not more than two members of the faculties of other institutions from a panel of six such persons nominated by the president or provost (in consultation with the senior vice president and vice provost for health affairs for cases involving the School of Medicine and Dentistry, or the School of Nursing).

It is the duty of the special committee to investigate, hold hearings, make recommendations, and report upon any case presented to it. In particular, this committee and the University Committee on Tenure and Privileges shall have access to all documents in the case that are in the possession of the University. The votes of the special committee on matters of substance shall be by secret ballot.

The person with the grievance shall have the opportunity to speak directly to the special committee, to produce witnesses in his or her behalf, and to be accompanied by an advisor of his or her own choosing who may act as counsel. A full stenographic record of the hearing shall be made available to him or her; in addition, he or she shall be entitled to receive a copy of the special committee’s report and of the comments and recommendations of the University Committee on Tenure and Privileges.

The report of the special committee shall consist of a summary of its findings and recommendations for the disposition of the case. It shall be presented to the University Committee on Tenure and Privileges, which in turn shall submit the report to the dean or director of the appropriate school and to the president, provost, and, in cases involving the School of Medicine or the School of Nursing, the senior vice president and vice provost for health affairs, with its comments and any recommendations it may
have. The report of the special committee and the comments of the University Committee on Tenure and Privileges shall be major factors in the final decision of the administration and the Board of Trustees.

The deliberations and recommendations of the University Committee on Tenure and Privileges and of the special committee shall be held confidential by their members. All relevant material resulting from these deliberations shall be placed at the disposal of the president and provost, the senior vice president and vice provost for health affairs (for cases involving the School of Medicine and Dentistry or the School of Nursing), and the appropriate dean or director at their request by the chair of the University Committee on Tenure and Privileges. If, however, the person bringing the grievance shall request it, the University Committee on Tenure and Privileges shall report the recommendations of its special committee and of the University Committee to the faculty of the appropriate school, without comment beyond certifying the correctness of the procedure.

2. General Grievance Procedure [last updated JULY 2002]

The procedures described below leave intact an important tenet of the University: the trustees and the central administration have delegated to the schools the responsibility for making academic decisions in their own areas of expertise. In such academic areas, which include the standing of a faculty member in his or her field as reflected in salary or related matters, the responsibility for the substance of decisions rests with the school itself, and with the dean as the primary representative of that school. Appeals from the decision of the dean to the level of the provost may be made only in cases where the appellant believes that improper procedures have been applied or that bias or prejudice have entered the procedures. It is not in the nature of the University for the provost or president to substitute his or her academic judgment for the academic judgment of a dean.

This procedure is intended for disputes involving salaries, teaching loads, reappointments, office space, real and potential conflicts of interest, and the like. It shall not be used, however, for cases in which a faculty member seriously believes his or her tenure to be violated, or for cases in which discrimination is the source of the complaint. In cases where the grievance crosses school boundaries, the provost will appoint a three-member committee to hear the grievance. The committee will include the deans from the involved schools and a third person mutually agreed to by the two deans and the provost.

Any member of the faculty who believes that he or she has a grievance is not only entitled but is encouraged to go to his or her department chair and to have a formal hearing of the grievance. He or she shall first make certain that the department chair has all the evidence that the faculty member wishes, including any written documents, testimonial, or relevant information whatsoever. The chair may be able to respond at the end of the meeting. It is more likely that new information or arguments will emerge at the meeting, in which case the chair may have to take the grievance under advisement.

There is no rule on how long the chair may take to study the whole matter, but the expectation is that it will be a matter of only a few days unless the hearing opens up some major new area that requires much longer to investigate. At the end of this time, the chair shall report the decision to the faculty member.

If this decision is not satisfactory to the faculty member, he or she has the right to appeal to the dean. The same procedure shall be followed there, but no new information can be introduced at this time. If new information has become available, the department chair must have an opportunity to study that. If there is substantial new information, the hearing with the chair shall be held again. It is best if the department chair can accompany the faculty member in the hearing by the dean, but that is not required.
There is no rule about how long the dean may take to decide, but the expectation is that it is a matter of a few days unless something quite new has been recently introduced. If the department chair has not been present during the hearing, the dean will wish to talk with the chair before deciding, which may delay the decision.

The final appeal is to the provost, and the same considerations apply as to the hearing by the dean. Again, the best interests of the faculty member are usually served if the dean and the department chair can be present, but the faculty member has the right to have this hearing alone if he or she wishes.

D. Procedures for Revocation of Tenure

1. Tenure may be revoked and term contracts may be abrogated by the Board of Trustees only for cause, academic cause, or bona fide financial exigency of the University.

2. Cause shall be restricted to physical or mental incompetence or moral conduct unbefitting the position. Academic cause shall be defined as the failure by a member of the faculty to discharge responsibly his or her fundamental obligations as a teacher, colleague, and member of the wider community of scholars.

3. Representations made concerning a person with tenure possibly leading to his or her removal for cause or academic cause, and representations made concerning a person without tenure possibly leading to his or her removal for cause prior to the end of the period for which he or she is appointed, must be presented to the University Committee on Tenure and Privileges, and may be initiated by the president, the provost, the senior vice president and vice provost for health affairs, the dean or director of the appropriate school, or the appropriate department chair or division head. The committee may itself make such representations on the grounds of cause or academic cause concerning persons with or without tenure.

4. In any case in which the person whose qualifications as a faculty member are in question is a member of the University Committee on Tenure and Privileges, he or she shall withdraw from the committee until the case is concluded. Similarly, if any member of the committee is a member of the same department as that of the person under question, he or she shall withdraw from this committee when it convenes for this purpose until the case is concluded. Other members of the committee shall withdraw from the committee during any investigation if, in their own judgment, they are not able to participate impartially. If any member of the committee withdraws for any of the reasons, he or she shall be temporarily replaced by a member of one of the faculties of the University who has unlimited tenure, the new and temporary member being chosen by the remaining members of the committee.

5. For each case concerning revocation of tenure, the University Committee on Tenure and Privileges shall promptly appoint a special committee of five members of the faculty from a list, nominated by the president or the provost (in consultation with the senior vice president and vice provost for health affairs in cases involving the School of Medicine and Dentistry or the School of Nursing) of 15 members with unlimited tenure from the faculties of the University of Rochester. This list shall have appropriate representation from the same school as the faculty member against whom charges have been preferred, and shall have a majority from that school unless the president finds it unreasonable. The University Committee on Tenure and Privileges shall apply the same principle in selecting the special committee. The committee may, at its discretion, add to this special committee not more than two members of the faculties of other institutions from a panel of six such persons nominated by the
president or the provost (in consultation with the senior vice president and vice provost for health affairs in cases involving the School of Medicine and Dentistry or the School of Nursing).

6. It is the duty of this special committee to investigate, hold hearings, make recommendations, and report upon any case presented to it. In particular, this committee and the University Committee on Tenure and Privileges shall have access to all documents in the case that are in the possession of the University. The votes of the special committee on matters of substance shall be by secret ballot. The person under investigation shall be fully informed, in writing, before the hearing of the charges against him or her and shall have the opportunity to respond, to be heard in his or her own defense, to produce witnesses in his or her behalf, and to be accompanied by an advisor of his or her own choosing who may act as counsel. If there are charges of incompetence, the testimony may include that of teachers and other scholars either from the University or other institutions. A full stenographic record of the hearings shall be made available to him or her. He or she shall be entitled to receive a copy of the special committee’s report and of the comments and recommendations of the University Committee on Tenure and Privileges.

7. The report of the special committee shall consist of a summary of its findings and recommendations for the disposition of the case. It shall be presented to the University Committee on Tenure and Privileges, which in turn will submit the report to the dean or director of the appropriate school, the senior vice president and vice provost for health affairs (for cases in the School of Medicine and Dentistry and the School of Nursing only) and to the provost, with its comments, which may include recommendations concerning the conditions under which the unlimited tenure of the faculty member is to be terminated. The report of the special committee and the comments of the University Committee on Tenure and Privileges shall be major factors in the final decision of the administration and the Board of Trustees.

8. The deliberations and recommendations of the University Committee on Tenure and Privileges and of the special committee shall be held confidential by their members. All relevant material resulting from these deliberations shall be placed at the disposal of the president, provost, the senior vice president and vice provost for health affairs (for cases in the School of Medicine and Dentistry and the School of Nursing only), and the appropriate dean or director at their request by the chair of the University Committee on Tenure and Privileges. If, however, the person whose fitness has been investigated shall request it, the University Committee on Tenure and Privileges shall report the recommendations of its special committee and of the University Committee to the faculty of the appropriate school, without comment beyond certifying the correctness of procedure.

9. In the event of a bona fide financial exigency of the University, the release, by reason of this exigency, of any person with or without tenure prior to the normal expiration of his or her appointment shall not be carried out by the Board of Trustees prior to consultation with the University Committee on Tenure and Privileges.

10. Discussion of further amendment of these regulations may be initiated at any time by members of the faculties of the University, deans and directors of the schools, the senior vice president and vice provost for health affairs (for cases in the School of Medicine and Dentistry and the School of Nursing only), the president, the provost, or the Board of Trustees. Any specific written agreement concerning tenure between the Board of Trustees and the individual member of the faculties of the University that is in existence at the date of the adoption of these regulations shall remain in force until the stated time of expiration of such agreement. In the case of all new appointments or reappointments after the date of adoption, these regulations shall apply.

E. Leaves
1. **Principles Applicable to All Leaves**

Any absence of a faculty member from the campus that involves any interference with his or her normal instructional, advising, or other duties requires a discussion between the faculty member and the departmental chair about arrangements for such absence. In concert with the dean, the individual requesting the leave has the responsibility for assuring that classes are taught, that students are advised, and that other academic responsibilities are properly managed. (Where the individual is also a department chair, please read "dean" where "chair" appears below. In all cases in the School of Medicine and Dentistry and School of Nursing, please read "senior vice president and vice provost for health affairs" where "dean" appears.)

The faculty member should be sure that the chair knows where he or she will be, and if possible how he or she can be reached by telephone or electronic mail, primarily for consultation about the University’s work. If any remuneration (beyond that allowed in the usual consulting policy) is provided, the faculty member should tell the chair and dean the details.

In any review by the department chair, dean, or provost of these arrangements, the primary factors considered will be the purpose of the leave and the likelihood that it will strengthen the individual, the department, the school, and the University.

Faculty with nine-month appointments are expected (in the absence of a written variance from their chair or dean) to work throughout the academic year, defined for this purpose as September 1 through May 31 or, in the case of the Simon School, September 15 through June 15. One implication is that periods such as spring break, the break between semesters, or from commencement to the end of May are not vacations. Arrangements to leave during those times have to be made as described under "Leaves." Faculty who are not employed by the University during the summer are free to arrange remuneration and appointments elsewhere at this time, but they may be called on for such matters as graduate examinations.

2. **Leaves of One Week or Less**

When the absence from the campus is for one week or less, arrangements should be made by agreement between the faculty member and the department chair. The department office should have a statement of the arrangements made. No arrangements with the dean and no leave forms are required.
3. **Leaves of More Than One Week but Less Than One Month**

To the extent that it affects teaching or similar obligations, any absence longer than one week requires that the department chair submit the purpose of the leave and the arrangements to the dean for approval well in advance of the beginning of the absence. A letter about the arrangements should be placed on file in the college office, but no leave form is required.

4. **Leaves of More Than One Month**

These leaves are frequently described as "academic leaves," although it is not implied that briefer leaves are nonacademic. The University's program of academic leave is designed to enhance the scholarship of the faculty member and his or her value to the University. Leaves are granted on the basis of a well-thought-out plan of research or other scholarly activities that promise to contribute to the development of the faculty member and to make him or her a more valuable teacher and scholar. The University does not follow a formula plan of sabbatical leaves, but it attempts to provide at least as much freedom for faculty to enlarge and enhance their scholarly excellence by leaves.

An academic leave allows for a concentrated and sustained scholarly effort, which is necessary for the successful pursuit of some types of new knowledge. A leave also enables the faculty member to spend time with a group of scholars different from his or her usual colleagues, thereby providing the stimulus for new ideas. Academic leaves also permit members of the faculty to serve for short terms in important governmental roles. These positions also provide insights into new avenues of research for the faculty member. Academic leaves are available for tenure-track faculty members only.

A statement of University leave policy, approved by the trustees, set forth the following guidelines for individual leave requests.

1. Each application for leave must be accompanied by a written proposal describing the research and study activities to be followed during the absence. The department chair (dean in schools without departments) will review the proposal and, if he or she approves, forward it to the dean together with a letter giving his or her reasons for support. The dean will add his or her own analysis and recommendation and submit them to the provost in a timely fashion, preferably very early in the semester preceding the semester during which the leave is to begin.

2. The purpose of academic leave is to encourage and support the scholarly development of faculty, thereby improving the educational programs of the University. Consequently, academic leaves accompanied by any University support will be awarded only to associate and full professors, except in certain circumstances. (See “Junior Faculty Leaves.”)

3. The absence of individual faculty members from campus interferes with the educational program of students and deprives colleagues of important intellectual stimulation. Consequently, priority will be given to those requests where past leaves are least recent or where disruption of instruction is minimal.

4. The purpose of University support of a leave is to increase the value of the individual to the University. Leaves of absence with pay constitute a significant investment on the part of the University in the future career of the individual faculty member. Such leaves are granted on the understanding that the faculty member has an obligation to return to his or her position at the University for a period of time at least equivalent to the length of the leave. This obligation will be made explicit in the notification that leave is approved. If an individual accepts appointment
at another institution after a leave is granted, the University’s financial contribution (including benefits) to the leave will be terminated. An individual who does not return to the University after a paid leave must reimburse the University for the cost incurred to finance the leave.

5. One of the purposes of a leave of absence is to provide the stimulation of a different intellectual environment; another is to permit the individual to become disentangled from committee and other obligations. Consequently, leaves ordinarily should be taken in absentia. In the (rare) cases where part of leave is taken in residence, the individual should remove himself or herself from all administrative and advisory responsibilities.

6. The faculty member returning from leave has the responsibility of reporting on the work accomplished during his or her leave and the final financial support arrangements. In addition, any publications resulting from the leave should be reported by the individual to the chair and the dean.

7. With rare exceptions, University funds may be used to support leaves with pay at no more than full salary for one semester or half salary for the academic year. The University’s contribution will be reduced whenever salary is provided from other sources, to limit the total salary for the year to no more than a normal year’s salary.

8. If the salary of a faculty member on leave without pay from the University is paid by a third party, the cost of benefits as well as salary should be borne by the sponsoring agency. When that is not possible, the University may continue its contribution for health benefits and life insurance. The University makes a retirement contribution for only that portion of salary actually paid by the University during the leave.

Not all academic leaves involve support from the University, and faculty members applying for leave are expected to seek outside support as necessary. Scholarly societies, government agencies, and private foundations are also sources of funds for leaves. In some instances, leaves may be granted for service at another institution or with a government agency. Fall semester leaves are granted for the period July 1 to January 15; spring semester leaves are granted for the period January 16 to June 30. The compensation for a one-semester leave is the same whether the leave is taken in the fall or spring. Academic year leaves are granted for the period July 1 to June 30. Leaves, even those without pay from the University, are normally granted for a maximum of one year. In rare cases, a second consecutive year of leave without pay may be granted. No faculty position can be guaranteed if a person chooses to extend a leave beyond two years.

Replacements are not hired for all persons on leave. The courses normally offered by the faculty member on leave may not be offered while he or she is away, or the course may be taught by another faculty member, either as an extra load or as a substitute for a course with smaller enrollment.

5. Junior Faculty Leaves

Untenured faculty are eligible to apply through their department chairs or comparable officer for Junior Leaves. The principles outlined above are applicable. Awards are made at the discretion of the dean or director, subject to approval by the provost.

Leaves may be granted either between the first and second appointments as assistant professor or between the second appointment as assistant professor and promotion to untenured associate professor. In all cases, the leaves provide salary support. If outside funding is available, it should be used. A Junior Leave, alone or in combination with another academic leave, does not delay the time for a promotion
and tenure decision. As with all academic leaves, Junior Leaves are available for tenure-track faculty only.

6. Personal Leaves

Faculty also may be granted personal leaves for such matters as family illness or other urgent matters that would preclude the performance of the person’s responsibilities at the University. The procedure for recommending personal leaves is the same as for academic leaves. In determining whether or not leaves should be granted, consideration will be given to the needs of the department or school as well as to the reason for requesting the leave. Personal leaves may fall within the terms of the Family and Medical Leave Act of 1993. (See Policy 357 of the University’s Personnel Policies and Procedures Manual.)

Personal leaves are without pay, but the following University insurance benefits will be maintained for up to one year during the leave: medical, dental assistance, and group life insurance. The University will pay its regular contributions to the benefits program and the faculty member can arrange to pay his or her contributions. Faculty on leave without salary may not continue their voluntary retirement contributions because such contributions are made from pretax dollars. If the faculty member has a tax-deferred salary deduction program for retirement, it should be reviewed with the Benefits Office in Human Resources for adjustment of the deduction during the part of the calendar year in which no pay from the University is received.

If requested by the faculty member, a personal leave that lasts a semester or more stops the tenure and promotion clock for a faculty member without tenure. This request must be made within one year of the time of the leave, or sooner if a tenure decision would normally be made within that period.

For leaves relating to childbirth and childcare, see “Maternity Benefits.”

7. Part-Time Leaves [last updated JULY 2002]

Individual schools may decide to grant part-time leaves to individual faculty members. Part-time leaves may extend for longer periods of time than traditional leaves only in unusual circumstances. In all part-time leaves, care must be taken to avoid conflicts of interest (as described in “Conflict of Interest.”) For faculty on leave at less than full salary, the University’s contribution toward retirement will be based only on that portion of salary paid by the University.

As with any paid leave, the dean will approve only those part-time leaves that will benefit the individual, the department, the school, and the University. Further, the faculty member must indicate in writing the duration of the leave and the date of return to full-time employment. Any patentable intellectual property created during the part-time leave is subject to the same terms of intellectual property ownership that apply to full-time faculty members, and to those on academic leave, unless some alternative agreement is reached in advance with the dean and documented in writing.

For non-tenured faculty on personal (not academic) part-time leave, an adjustment will be made to the promotion and tenure clock in an amount that is proportional to the reduction in effort. For example, a one-year half-time personal leave increases the time remaining on the promotion and tenure clock by one-half year. The effect on the tenure clock must be specified in a written leave agreement.
8. Bridging Fellowships

Bridging Fellowships are arrangements whereby a faculty member spends a period, usually a semester, in a department other than his or her own. The other department is often in another school, but is always in the University of Rochester. The distinctive feature of Bridging Fellowships is that they are for study in an area that is peripheral to the fellow’s central professional concern, and they permit the acquisition of knowledge and methods in a different field. These fellowships are thus distinct from academic leaves, and holding a Bridging Fellowship does not affect subsequent consideration for such leaves.

The dean’s or director’s office of each school generally solicits applications once a year. Completed applications require the approval of the applicant’s chair before being submitted to the dean for final approval. For an untenured faculty member, a Bridging Fellowship does not delay a tenure decision even when combined with a one-semester leave.

F. Policy on External Activities Relating to Research and Scholarship (Consulting and Conflict of Interest)

Consulting and other external activities by University faculty help fulfill the University’s obligation to serve the greater community and help to keep faculty in touch with practical applications of their scholarly work. Relationships developed through those activities are encouraged. At times, however, it can become difficult to separate an individual’s responsibilities to the University from those pursued for personal financial gain. As a result, situations of real or perceived conflict of interest or commitment can develop. It is crucial that faculty avoid situations that convert the University’s resources to private gain.

These guidelines address consulting and conflict of interest. The rules concerning conflict of interest rely on disclosure and subsequent resolution of real or perceived conflicts. In all cases in the School of Medicine and Dentistry and the School of Nursing, please read “senior vice president and vice provost for health affairs” where “dean” appears.

Specific conflict situations that may arise related to research and scholarly activity are discussed in more detail below. In addition, University Personnel Policy 113 discusses general conflict situations applicable to University faculty and staff. Policies of the University relating to purchasing of goods and services are found in the Vendor’s Guide to Purchasing Services issued by the University Purchasing Services Office.

1. Consulting

When faculty enter into consulting agreements, their activities are considered to be a private relationship between the faculty member and the outside entity. The nature and terms of the arrangement are made directly between the faculty member and the organization concerned. Because the individual’s primary responsibility is to the University, however, the University places certain limitations on consulting activities. Because individual school practices may differ, individuals are urged to consult with their department head, director, or dean for policies specific to their unit. In particular, faculty of the School of Medicine and Dentistry are subject to the policies of the current Medical School Faculty Compensation Plan and should consult those requirements in addition to this policy.

Limitations on Consulting
Regardless of whether the consulting opportunity is with the public or private sector, the basic tenet of the University’s policy on consulting is that consulting must enhance, not reduce, the individual’s service to the University. **External consulting activity by faculty should not exceed one day per week on average during the faculty member’s primary annual appointment period.**

An individual may not use scientific and office equipment, supplies, or space of the University for consulting activities, unless he or she has obtained prior written consent from his or her department chair or director, as appropriate. Such consent will not generally be given unless the University stands to gain in parallel from the activity.

The University encourages faculty to participate and provide consultant services to not-for-profit organizations. The rules for involvement with these organizations are the same as those for for-profit organizations. An individual’s contribution of time should generally not come at the expense of the University unless the person is participating as an official representative of the University.

When presented with the opportunity to consult, a faculty member should discuss with his or her department chair the effect of the opportunity on his or her teaching, research, and administrative responsibilities. The faculty member should apprise the chair of the expected effects on his or her teaching, research, patient care (if applicable), and administrative schedule; availability for students and departmental activities; and the expected gains to the department and to the individual. Chairs may contact their dean if they are uncertain about comparable treatment of faculty in different departments.

The individual should report his or her consulting activities, including the number of days (away from the University) during academic semesters, as part of the annual report of activities to his or her chair.

A faculty member who wants to consult in conjunction with a University-supported leave must explain to his or her department chair, in writing, the non-financial details of the proposed activity and how those activities will enhance his or her University role and University-supported leave. Any consulting activity undertaken shall not exceed the time limitations set forth above. (Please see the discussion of part-time leaves.)

Activities of a faculty member in a business organization in which the person holds substantial equity holdings or line management responsibilities that are not directly reimbursed are also subject to the time limitations set forth above.

**2. Conflict of Interest [last updated AUGUST 2004]**

Financial conflicts of interest are common and often unavoidable in a modern research university. They can arise from the fact that one mission of the University is to promote the public good by fostering the transfer of knowledge gained through University research and scholarship to the broader world, which includes the private sector. Two important means of accomplishing this mission are faculty consulting and the commercialization of technologies derived from faculty research. It is appropriate that faculty be rewarded for their participation in these activities through consulting fees and sharing in royalties and other financial devices resulting from the commercialization of their work. It is not appropriate, however, for an individual’s professional objectivity to be affected by considerations of personal financial gain.
These guidelines address policies and procedures governing conflict of interest. The primary intent of this policy is to help research faculty more effectively manage potential conflicts in the course of their University activities. By disclosing financial interests and managing conflicts from the start, the University and the researcher can work together to prevent outcomes that may be harmful to either the researcher or the University at large. Further, this policy fulfills federal grant requirements to disclose financial interests.

These policies apply to all members of the UR faculty, students, post-doctoral fellows, residents, and staff, unless otherwise excluded. School deans or University counterparts, or their designees, are responsible for ensuring implementation of the policy, and may suspend all relevant activities until the conflict of interest is resolved or other action deemed appropriate by the Provost is implemented. Violation of any part of this policy may, in extreme cases, constitute cause for administrative action as described in the section on Grievance Procedures in the Faculty Handbook.

A conflict of interest occurs when there is a divergence between an individual’s private interests and his or her professional obligations to the University and its constituents. The conflict may be either actual or apparent – apparent conflicts of interest arise in circumstances in which an independent observer might reasonably question whether the individual’s professional objectivity in that situation is affected by considerations of financial gain.

The primary goal of the policy is to avoid or to manage situations that call into question the credibility and objectivity of research. An additional goal is to promote the best interests of students and others whose work depends on faculty direction. Faculty must conduct their affairs in ways that do not compromise the integrity of the University. In addition, the University recognizes that even the perception that faculty have financial interests in the outcome of their research can call into question the credibility and objectivity of that research.

For purposes of this policy, significant financial interest means anything of monetary value including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); any equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, trademarks, servicemarks, copyrights, and royalties from such rights). For individuals not involved in human subject research, a significant financial interest includes:

a) salary, royalties or other payments for services if, when aggregated for the individual and family members, is expected to exceed $10,000 from any single source for any 12-month period;

b) equity interest if, when aggregated for the individual and family members, exceeds $10,000 in value as determined by a reasonable measure of fair market value or exceeds one percent ownership.

For individuals involved in human subject research, any salary, royalties, or payments for services accruing to the individual or family member, or equity interest held by the individual or family member, when the payments or equity interest affect, appear to affect, are affected by, or appear to be affected by, the individual’s research involving human subjects, is considered to be a significant financial interest.

Significant financial interest does NOT include:

1. salary, royalties, or other remuneration from the University of Rochester;

2. income from the authorship of academic or scholarly works;

3. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
4. income from service on advisory committees or review panels for public or nonprofit entities;
5. equity managed by an unrelated, unbiased third party (e.g., invested in a mutual fund); or
6. equity interests and/or remuneration that does not affect, appears not to affect, is not affected by, and appears not to be affected by, the faculty’s teaching, research, clinical, administrative, or other University of Rochester activities.

Clinical trials involve particularly sensitive issues in those cases where the investigator has personal financial interests in the outcomes. Faculty members who have a significant financial interest when conducting clinical trials, must disclose their significant financial interest as described below. This disclosure requirement is in addition to any disclosures required by the University’s IRB. Note that any salary, royalties, or payments for service from, or equity ownership in, a company for which the business affects, appears to affect, is affected by, or appears to be affected by the research is considered to be a significant financial interest if the research involves human subjects.

A University Committee on Conflict of Interest shall be established to provide policy guidance to the provost. The committee shall consist of not fewer than five full-time faculty members appointed by the provost. In addition, the Provost may add others as deemed appropriate. However, the total number of voting non-faculty members may not exceed the total number of voting faculty members on the committee. The Director of the Office of Research and Project Administration (ORPA) shall serve as an ex-officio, voting member of the committee. The Director of the Office of Technology Transfer and the Chief Technology Transfer Officer of the Medical Center shall serve as ex-officio, non-voting members of the committee. Ad hoc members can be added at the direction of the committee. The Provost shall serve as an ex-officio, non-voting chair of the committee.

**Annual and Ad Hoc Disclosures**

Each school’s Dean is ultimately responsible for the disclosure process (typically handled by the department chair), as well as review of ad hoc disclosure reports. Each School must have a plan for distribution, receipt, processing, review, and retention of disclosure forms. The Conflict of Interest Committee may request, at any time, a review of those processes.

Regardless of the disclosure requirements, an individual, in his or her own best interest, is encouraged to disclose any financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one’s reputation and career from potentially embarrassing or harmful allegations of inappropriate behavior. (Faculty members are encouraged to ask for guidance from their department chair or Dean or the Provost’s Office even in situations that are not covered by the disclosure procedure in this policy.)

These disclosure procedures are described in detail in the “Faculty Policy on Conflict of Commitment and Interest” [http://www.rochester.edu/ORPA/policies/coipolicy.pdf].

**a) Annual Disclosures**

All faculty must complete the University’s Conflict Disclosure Form each year. In addition, all personnel involved in the management, negotiation, or control of sponsored research or technology transfer must complete the Investigator Disclosures section of the disclosure form annually. If the annual disclosure form reveals a potential conflict, it will be forwarded to the relevant Dean and a conflict management plan will be required.
b) Ad Hoc Disclosures

In addition to annual reporting, certain situations require ad hoc reporting. Prior to entering into University sponsored projects, University technology licensing arrangements, or procurement of materials or services where the relevant faculty member, student, post-doctoral fellow, resident, staff, or family member has a significant financial interest, that individual must submit to the relevant chair (or supervisor) and school Dean a complete written disclosure of his or her current or pending significant financial interest with the outside entity, the relationship of the proposed University activity to the entity, and a conflict management plan. While the potentially conflicted individual is responsible for submitting the management plan, he or she may seek the assistance of the Offices of Technology Transfer and the Office of Research and Project Administration.

If a situation raising questions of conflict of interest arises, the faculty member should discuss the situation with his or her department chair and school Dean as required by this policy. To address complex situations, oversight committees may be established by each school Dean to periodically review the ongoing activity, to monitor the conduct of the activity (including use of students and postdoctoral scholars), and to ensure open and timely dissemination of the research results, etc.

Appropriate Use of University Resources

Faculty may not use University resources, including facilities, personnel, equipment, confidential information, or the University’s name, log, servicemark, or trademarks, as part of their outside consulting activities or for any other non-University purposes. Faculty must disclose on a timely basis the creation or discovery of all potentially patentable inventions created or discovered as a result of substantial use of University resources.

Among other activities (see policy), the following are prohibited:

a) A faculty member involving those students whom he or she directly supervises or advises in a University graduate program in business activities outside of the University in which the faculty member has a significant financial interest and/or officer or director role, unless approved by the Dean. Before approval, the Dean should seek advice from the relevant department chair(s). If the Dean approves such involvement, the faculty advisor, student, and Dean must agree in writing to a conflict management plan. The plan must include, at a minimum: i) ongoing oversight by a faculty committee (e.g., the thesis committee), ii) a guarantee that financial support will not decline before completion of the degree requirements as long as the committee judges the student's progress to be acceptable, and iii) a guarantee that a suitable advisor will be appointed to replace the conflicted advisor if necessary.

b) Assigning the faculty member's students, staff, or postdoctoral scholars tasks within the University for purposes of potential or real financial gain of the faculty member rather than the advancement of the scholarly field or the students' educational needs.
Confidentiality

To the extent permitted by law, all disclosure forms, conflict management plans, and related information will be confidential. However, such information will be made available to an agency funding research of the faculty member upon written request if permitted or otherwise required by law.

G. Intellectual Property and Technology Transfer

The University seeks to encourage intellectual creativity and invention and to facilitate the transfer of the useful products of those efforts to their industrial and commercial applications. The University’s Technology Transfer Office (TTO) is charged with administering agreements to achieve these goals. All University employees should be in touch with TTO about inventions, discoveries, creations, or authored works that may be protected legally. TTO will assist inventors in assessing the commercialization of their products. Ownership of a discovery will vest in the University if it results from the significant use of University resources or arises from an externally sponsored research project. Rules for the ownership of course-related software, electronic aids/supporting material, and reproductions of lectures are being developed and will be added to this handbook after proper review.

H. Policy on Misconduct in Scholarship and Research

The academic system demands that those engaged in research, whether faculty, staff, or student, be dedicated to the highest ethical standards. Misconduct in scholarship and research by any member of the University community threatens the University as well as the individual.

This policy outlines the steps to be taken in response to an allegation of misconduct in scholarship and research. It describes a process for an objective examination of the facts, protection of individual rights, and integration with other relevant review procedures, all under the general supervision of the provost as the senior academic administrator.

The procedures outlined are guidelines only and may be adjusted as needed to accommodate special circumstances (e.g., allegations that originate outside of the University) and to comply with the reporting and other requirements of external sponsors, particularly as they relate to the timing of reporting possible misconduct. When externally sponsored research is involved, the director of the Office of Research and Project Administration (ORPA) shall be consulted regarding compliance with the requirements of the external sponsor(s).

For the purposes of this policy, "misconduct" is defined as a known, intentional misrepresentation of data, of research procedures, or of data analysis; and plagiarism and other serious improprieties in proposing, conducting, or reporting the results of research. Federal regulations have also included within the definition of misconduct material failure to comply with federal requirements for protection of researchers, human subjects, or the public; failure to ensure the welfare of laboratory animals; or failure to meet other material legal requirements governing research. All of the above definitions are covered by this policy.
1. Initial Reporting and Inquiry

1. Allegations of misconduct should be made in writing to the immediate supervisor of the person whose actions are questioned. These allegations shall then be provided to the department chair or other appropriate academic administrator (such as the director of the laboratory or project director), and that person shall notify the appropriate dean.

2. The dean, in turn, will inform the provost (and senior vice president and vice provost for health affairs for cases involving the School of Medicine and Dentistry or the School of Nursing), who will determine whether the allegations merit further scrutiny. If so, the provost will request that the dean complete an initial inquiry within 60 days, unless the provost grants an extension on evidence that circumstances warrant a longer period. The dean may designate an individual or an ad hoc committee to conduct the inquiry.

3. During this period, the identities of all parties involved will be kept confidential to the maximum extent consistent with an effective inquiry. The person whose conduct is being questioned will be given the opportunity to comment on all of the allegations that have been made. The dean will determine from the initial inquiry whether the allegations warrant a formal investigation.

2. Investigation

1. If the dean, with the concurrence of the provost (and senior vice president and vice provost for health affairs in cases involving the School of Medicine and Dentistry and School of Nursing), determines that a formal investigation is warranted, it will begin within 30 days after the initial inquiry is concluded. The dean will notify the person being investigated and the director of ORPA that a formal investigation is being initiated. If the research is externally supported, the director of ORPA will inform the sponsoring agency about the investigation and the review process to be applied. This is done to assure the sponsor that an objective investigation is being conducted by appropriate members of the University community.

2. The dean will appoint a fact-finding committee, of not less than three members of the faculty, who are unaffected by the inquiry, including one member of the Research Policy Committee. The committee will be given a specific charge, access to relevant documents, a right to interview principals, and a target date by which to deliver a report to the dean. Generally, an investigation should be completed within 120 days after its initiation.

3. The person(s) whose conduct is being investigated will be given notice in writing of all allegations and a meaningful opportunity to respond to them in writing and in person before the committee. This shall include access to the relevant documents (and other evidence) and a reasonable period of time to prepare an appropriate response. An individual being investigated may appear before the committee with the assistance of a representative from the University community.

4. Upon conclusion of its investigation, the committee will file a report with the dean stating whether or not it has found, based on clear preponderance of the evidence, that misconduct was committed and the basis for this finding. The dean, in consultation with the provost, will determine further action to be taken.

3. Further Action

1. A copy of the committee’s report and supporting documents will be provided to the individuals whose conduct was examined.
2. If an external sponsor has been notified that an investigation was pending, the director of ORPA will inform the sponsor of the results, describing the policies and procedures under which the investigation was conducted, and include a summary of the views of the individuals, if any, found to have engaged in misconduct.

3. If the committee finds that there was misconduct, the dean will:
   a. Direct the department chair or laboratory director to notify the editors of publications to which abstracts and papers relevant to the misconduct have been submitted and request that the work be withdrawn prior to publication, or, if the work has already been published, that an appropriate retraction or correction be published. The persons engaged in the misconduct will generally be responsible for preparing and presenting the appropriate retractions or corrections.
   b. After consultation with the provost (and senior vice president and vice provost for health affairs in cases involving the School of Medicine and Dentistry and the School of Nursing), recommend appropriate disciplinary action, which may include termination. If termination is recommended, established procedures (e.g., tenure revocation procedures described above for tenured faculty, privileges revocation procedures in the bylaws of the Medical Staff for medical staff) will be followed.

4. If the process described in this policy produces no finding of research misconduct, the parties who conducted the initial inquiry or formal investigation will undertake reasonable efforts to restore the academic reputation of the individuals whose conduct was questioned. Reasonable efforts will also be taken to protect the standing of the individuals who raised the questions regarding possible misconduct, unless the inquiry or investigation reveals that those individuals acted in bad faith, in which case appropriate disciplinary actions may be instituted against them.

5. Complete records of all relevant documentation on cases treated under the provisions of this policy shall be preserved in the office of the provost.

I. Confidentiality of Faculty Records

"Personnel records" are defined as the files relating to an individual faculty member that may be maintained in the department, the school, and by the central administration.

Faculty members may review their own personnel records in the presence of an appropriate officer, i.e., the chair in the case of departmental files, the dean in the case of school files, and the provost in the case of the central files. Such a review must be requested in writing, along with a statement about the reason for the request; the written statement will become a part of the file.

Material that has been obtained with the understanding that it is confidential will be removed from the file for the purpose of the inspection. When a University official receives a request for review of material, he or she should examine the file carefully to determine the material that is confidential according to this criterion. When confidential material is removed, an index should be placed in the file that will specify its character, e.g., "Five letters of recommendation from outside reviewers, six letters of recommendation from tenured colleagues, and an evaluation by the dean."

Review of the personnel records may be extended to former faculty members, providing the request is made within one year of the effective date of termination. The review is subject to the same provisions affecting current faculty members.
For information sought by those outside the University, the University considers personal information provided by the individual faculty member to have been entrusted on a confidential basis, and it is respected as such. Normally, the University’s telephone directory provides home addresses and telephone numbers unless requested otherwise by the individual. The following constitute official information and will be made available to any inquirer: an individual’s name, department, title, office location, telephone extension, and dates of appointment to, and (if appropriate) retirement or resignation from, the University. The same is true of awards, honors, and other distinctions that have been publicly announced. On rare occasions, inquiries for additional information about areas of special knowledge and particular publications are requested confidentially (for instance, by those who are considering nominating the individual for national awards). Appropriate information may be released in such unusual circumstances, but only by the dean of the individual’s school, the senior vice president and vice provost for health affairs (School of Medicine and Dentistry and School of Nursing cases only), the provost, or the president, who will take responsibility for confirming the credentials of the inquirer.

The Office of Public Relations solicits whatever information the faculty elects to make available to general inquiry. Such information, which may go beyond that referred to in the preceding, is available to appropriate inquirers in addition to the items described above.

Within the University, the personnel files of a faculty member may be inspected by his or her chair and dean and by the president, provost, and senior vice president and vice provost for health affairs or their immediate designates. Such inspections will be solely for the purpose of determining appropriate administrative actions, such as salary increases and promotions. In addition, selected material may be inspected by appropriately designated groups, e.g., the tenured faculty of the department, and an ad hoc committee may examine letters of recommendation and other material germane to their evaluation of a candidate for promotion to tenure.

The provost’s office attempts to keep, at a minimum, reasonably updated curricula vitae for all faculty. The policy is for the provost’s office to request updated vitae every three years, and faculty are urged to comply. Voluntary annual updates are appreciated.

J. Research

The University has defined the policies, governing all sponsored research and training projects, that are to be reflected in all proposals for grants and contracts whether they are sponsored by government agencies, foundations, or industry. These policies cover such matters as the use of animals and human subjects, control of equipment, disposal of hazardous wastes, control of funds, intellectual property rights, proposal review and endorsement procedures, accounting procedures, publication of results, technology transfer, and facilities and administrative resources allocated to research programs. Details on these policies and procedures can be found in the Manual for Research and Sponsored Activities. The Office for Research and Project Administration (ORPA) is charged with the oversight, coordination, and interpretation of these policies and procedures, and is the office that assists faculty in obtaining and administering sponsored research and training funds. ORPA is designated the authorized institutional office for reviewing, approving, and executing all proposals and agreements for extramurally-supported activities by governmental, foundation, and commercial sponsors. Additional information about research administration and the services offered by ORPA may be found at http://www.rochester.edu/orpa/. Fiscal records, ledgers, and expenditure reports are processed and maintained by the Sponsored Programs Accounting office of the University’s Finance Office. Sponsored
Programs Accounting provides each principal investigator or program director with a monthly ledger of the financial status of their sponsored program.

**K. Retirement**

For faculty appointed prior to 1/1/96, retirement may occur as early as age 55 for those with 10 or more years of service. The 10-year service requirement may be met by cumulative employment at the University or another higher educational institution.

For faculty appointed 1/1/96 and thereafter, retirement may occur as early as age 60 for those with 10 or more years of service. The ten-year service requirement may be met by cumulative employment at the University or another higher educational institution. (For faculty appointed 1/1/96 and thereafter, the 10-year service requirement must include continuous employment at the University for the immediate five years prior to retirement.)

When faculty members retire, their former department or school at the University will often try to accommodate, as far as resources will permit, their needs as retirees. With the department's support, every effort will be made to accommodate requests from retired faculty members for continued office or laboratory space.

In addition, retired faculty are eligible for a University identification card, which is needed for library privileges, banking services, and discounted parking privileges. The services of the University Health Services are available on a fee-for-service basis. American Express Corporate Cards, available to current employees only, must be surrendered at retirement. Faculty contemplating retirement should contact the Benefits Office of Human Resources regarding their eligibility for continuation of benefits during retirement.

**L. Early Retirement and the Faculty Senior Associates Program**

The Faculty Senior Associates Program enables an individual to leave the full-time faculty in advance of the normal retirement age. The program is based on the termination of the tenure contract rather than on retirement itself; therefore, the program is available only to full-time, tenured faculty members. A description of the program may be obtained from the office of the senior vice president for financial affairs and planning and is available on the Internet (http://www.rochester.edu/fsap/).

1. **Eligibility**

   Full-time, tenured faculty members with at least ten years of service and who have attained age 62 are eligible to apply for participation in the program. Participation must be approved by the provost upon the recommendation of the dean or director of the individual's college or school.

2. **Initial Payment**

   The initial payment under the Faculty Senior Associates Program is dependent on several factors: final salary immediately before entering the program, median salary of the relevant faculty cohort group, age, length of service, and primary Social Security benefit. The initial payment is calculated using the formula provided in the document describing the program.
3. **Annual Changes in Payment**

Beyond the initial year, the Faculty Senior Associates payment is adjusted each fiscal year by the increase, if any, in the median salary of continuing faculty in the rank of the participant's college or school and discipline group where applicable. The adjustment is made to the total payment, and any deductions for Social Security are subtracted from the adjusted total payment.

4. **Social Security Benefit**

The Faculty Senior Associates payment is reduced at age 65 by the amount of the full primary Social Security benefit the participant is entitled to receive at age 65 and is not adjusted for subsequent cost-of-living increases instituted by the Social Security Administration. The reduction begins the first day of the month following the month in which the individual turns 65.

If an individual draws Social Security early (before age 65), the full primary Social Security benefit that would have been received at age 65 is still the amount used in the calculation of the reduction. Similarly, if an individual earns more than the maximum permitted by Social Security without adjustment, the unadjusted primary Social Security benefit will be used in the calculation of the reduction.

5. **Payment Process and Taxability of Payment**

Checks are processed through the University payroll system and may be automatically deposited in the same manner as University payroll checks. Payments received under the Faculty Senior Associates Program are subject to federal and state withholding requirements. FICA tax is applicable due to the amendment in 1984 of the Social Security Act, and is deducted from the payment.

6. **Termination**

Payments cease at the end of the month in which the participant reaches age 70. If a participant dies before the age of 70, the payments cease upon death.

7. **Benefits**

Benefits coverage for participants between the age of 62 and 70 is the same as for active, full-time faculty members except for income maintenance programs such as long-term disability, sick pay benefits, and retirement contributions, which do not pertain. Questions about benefits coverage should be directed to the human resources benefits office. As with the benefits provided to all active faculty, staff, and retirees, benefits provided to participants are subject to the right of the University to amend or terminate its benefits plan.

8. **Changes to Program**

It is the University’s policy not to discontinue offering the program to new entrants or make substantial changes in the terms offered to new entrants without written notification to full-time faculty at least one year in advance of the effective date of the change. Any person already participating in the program or who enrolls in it prior to the effective date of such a change would continue under the terms of the existing program.
V. Student-Related Policies

A. Academic Honesty

As members of an academic community, students and faculty assume certain responsibilities. One of those responsibilities is to engage in honest communication. Academic dishonesty is a serious violation of the trust upon which an academic community depends. The procedures for handling suspected infractions at the undergraduate level are detailed in publications of the respective schools (UR Here–College, Academic Integrity: Standards and Procedures–Eastman School of Music, and Student Handbook–School of Music). Procedures for handling suspected infractions at the graduate level are detailed in the Graduate Studies Handbook.

A common form of academic dishonesty is plagiarism. This is the use, whether deliberate or unintentional, of an idea or phrase from a source without proper acknowledgment of that source. The risk of plagiarism can be avoided in written work by clearly indicating, either in footnotes or in the paper itself, the source of any major or unique idea or wording that the student did not arrive at on his or her own. Sources must be given regardless of whether the material is quoted directly or paraphrased. Another form of plagiarism is copying or obtaining information from another student. Submission of written work, such as laboratory reports, computer programs, or papers, which have been copied from the work of other students, with or without their knowledge and consent, also is plagiarism. In brief, any act that represents someone else’s work as one’s own is an academically dishonest act.

A second example of academic dishonesty relates to the misuse of library materials. Any act that maliciously hinders the use of or access to library materials is academically dishonest and falls under the terms of this policy. The removing of pages from books or journals disadvantages others in the academic community. Similarly, the removal of books from the libraries without formally checking out the items, or the intentional hiding of materials, or the refusal to return reserve readings to the library is dishonest and harmful to the community.

There are other forms of academic dishonesty, for example, obtaining an examination prior to its administration or using unauthorized aid during an examination. It is also academically dishonest to knowingly assist someone else in an act of academic dishonesty.

A student remains responsible for the academic honesty of work submitted in University of Rochester courses, even after the student has received a final course grade. This rule also applies to students who are no longer matriculated at the University of Rochester, including those who have graduated.

Ignorance of these standards will not be considered a valid excuse or defense.

B. Confidentiality of Student Files  [last updated JULY 2002]

The University of Rochester complies fully with the provisions of the Family Educational Rights and Privacy Act (FERPA). Under FERPA, students have, with certain limited exceptions, the right to inspect and review their educational records and to request the amendment of their records to ensure that they are not inaccurate, misleading, or otherwise in violation of the student’s privacy or other rights.
FERPA further requires, again with certain limited exceptions, that the student’s consent must be obtained before disclosing any personally identifiable information in the student’s education records. One such exception is disclosing to parents of dependent students. Another exception is disclosure to school officials with legitimate educational interests, on a "need-to-know" basis, as determined by the administrator responsible for the file. Additional information concerning the confidentiality of student records may be found in the FERPA notification published in the student bulletins and course schedules.
VI. Faculty Benefits

The University of Rochester’s benefits program comprises several plans that work together to provide faculty members and their families financial protection today and the opportunity to plan for their financial security in the future.

Benefits for which faculty may be eligible are briefly described in this section. Please refer to the Personnel Policies and Procedures Manual for a complete statement of benefits and policies. These benefits and policies may be amended at any time and from time to time without prior notice.

The following benefits relate to full-time faculty at the assistant professor level and above. For other individuals, the Benefits Division of the Office of Human Resources should be consulted.

A. Medical Plans

Hospital, surgical, and medical coverage are available to faculty members under the University’s medical plans. Faculty members and their eligible dependents may enroll in one of the available medical plans on the first day of the month following the date of their appointment, or on the date of their appointment if it falls on the first of the month.

B. Dental Assistance Plan

The dental assistance plan is designed to encourage individuals to seek preventive dental care by helping pay dental bills. The plan also helps to pay for treatment of other dental problems. Faculty members and their eligible dependents are automatically covered under the plan once they have completed one year of service at the University. For preventative services, the plan pays 100 percent of "reasonable and customary" charges, which are the charges usually made for similar services and supplies by dentists in the Rochester area. For basic and major services, participants are required to meet a deductible before receiving payment under the dental plan.

Plan premiums are paid by the University.

C. Short-term Disability

Full salary is continued during sick leave due to non-occupational disability.

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1 A partial day of disability exhausts a full day from the total disability entitlement.
2 Plus 4 months of New York State Statutory Disability benefits. (New York State statutory disability benefits provide half pay [up to $170 per week] for as long as 26 weeks.)
Because the purpose of the temporary disability benefits plan is to maintain University salary, benefits are paid from it only for persons drawing a University salary. Many faculty are on an academic year schedule and are paid for the duties performed during the nine-month period beginning either September 1 or September 15. Payment for academic year duties is spread over a 12-month period beginning with the July 1 preceding the academic year and ending with the June 30 following the academic year. Because faculty on academic year schedules are not required to perform any duties in July and August preceding the academic year, or in June following the end of the academic year, inability to perform duties because of medical disability in those summer months results in no loss of income as long as the faculty member returns to performance of his or her duties beginning September 1. Consequently, no temporary disability benefits are paid for such periods of disability.

D. Maternity Benefits and Family Care Leave for Full Time Faculty [last updated FEBRUARY 2007]

For purposes of this section (Maternity Benefits and Family Care Leave for Full Time Faculty) “semester of birth” means (a) the semester/quarter in which a birth or adoption occurs; (b) the semester/quarter immediately following birth or adoption if the birth or adoption occurs between semesters or quarters; or (c) the semester/quarter immediately following birth or adoption if the birth or adoption occurs sufficiently late in the semester/quarter so as not to interfere with the faculty member’s duties. In the preceding definition, “quarters” applies only in the case of schools using the quarter system.

1. Benefits and Leave for New Birth Mothers

Under New York State law, giving birth qualifies as a short-term disability, and thus, faculty who are actively employed and give birth are generally entitled to benefits under New York State’s short-term disability benefits law. The University’s Short-Term Disability Plan (Personnel Policy No. 339) sets the usual schedule of benefits that a qualified faculty member will be paid.

Option 1: For the first eight weeks that a faculty member is deemed qualified for short-term disability benefits under New York law due to giving birth, the faculty member giving birth will receive her full salary and benefits. Should the period of disability associated with childbirth exceed eight weeks as certified by the faculty member’s physician, the faculty member will be paid in accordance with the University’s Short-Term Disability Plan. In accordance with state law, faculty members receiving benefits under this policy or the University’s Short-Term Disability policy in general are required to submit certification of disability from their physicians.

Option 2: In lieu of Option 1, the faculty member giving birth may elect to take a full semester’s leave at one-half her usual salary during the “semester of birth.”

2. Return to Work with Modified Duties for Birth Mothers Choosing Option 1 Above.

Return to Work With Modified Duties - Upon returning to work from short-term disability leave due to giving birth, the faculty member who has chosen Option 1 above may request a modification of her regularly assigned duties. Any modification of duties must accommodate the reasonable needs of the
department and school and be approved well in advance of the start of the semester by the department chair and dean. Any modification of duties will depend upon the ability of the department and school to accommodate the arrangement without serious effects on the academic or clinical program.

Any faculty member who returns to work with a modified assignment will be entitled to such assignment modification during the “semester of birth” with no adjustment of salary and benefits.

For Medical Center Clinical Faculty:

Because Medical Center Clinical Faculty may not have traditional academic semesters, the period of modified duties or leave at one-half salary option (Section 1, Option 2, above) may not be defined by traditional academic semester. Rather, the periods of time for Medical Center Clinical Faculty should roughly mirror the period of time corresponding to a traditional academic semester (approximately 16 weeks) so that Medical Center clinical faculty members will have the same period of modified assignment or leave at one-half salary as non-clinical faculty.

Any faculty intending to request a modification of her duties should discuss her plans with the department chair and dean as far in advance of her intended return to work as possible.

The semester of birth will not be deducted from term contracts or count toward the maximum number of years of appointment without tenure at the University.

3. Modified Duties for New Parents Other Than the Birth Mother

New parent faculty members may be eligible for a modification of their regularly assigned duties as described below. For purposes of this policy, including all sections hereto, a “new parent” is defined as a father, mother (other than the birth mother), or legal guardian of a newborn or adopted child up to the age of 2 years at the time of adoption; or the domestic partner of the parent of a newborn or adopted child up to the age of 2 years at the time of adoption. In all cases, in order to be a “new parent,” the faculty member must be living in the same household as the child.

As stated in section 2 above, any modification of duties must accommodate the reasonable needs of the department and school and be approved well in advance of the start of the semester by the department chair and dean. Any modification of duties will depend upon the ability of the department and school to accommodate the arrangement without serious effects on the academic or clinical program. Any faculty intending to request a modification of her or his duties should discuss those plans with the department chair and dean as far in advance of her or his intended return to work as possible.

The faculty member working a modified assignment will be entitled to such assignment modification during the “semester of birth” with no adjustment of salary and benefits.

4. Part-Time Appointments in the Year Following Birth or Adoption

New parent faculty members may request an assignment of duties that would enable them to work part-time at a commensurate reduced salary for a period of up to one year (i.e. 365 day period of time) following the birth or adoption of a child (if the child is 2 years of age or less at the time of adoption), where the child is living in the same household as the faculty member. Proposals to work part-time must
be approved by the department chair and dean. Any faculty member intending to request a part-time appointment should make such request to the department chair and dean as far in advance as possible.

5. Unpaid Personal Leave

Faculty members who have completed at least two years of service to the University may be granted personal leave for a period of up to 12 months for personal reasons such as education, dependent or elder care, or community service. Personal leave would be in addition to Family and Medical Leave Act (“FMLA”) leave for those faculty members who qualify for FMLA leave.3

Personal leave is granted when it is mutually beneficial to the faculty member and the department and, therefore, is not granted automatically. In approving such a leave, the department commits to retain a position to which the faculty member may return.

University medical, dental, and group life insurance benefits will be maintained during the leave for up to one year. (Long-term disability insurance is not continued for individuals on personal leaves without pay.) The University will pay its regular contributions to the benefits program and the faculty member will be required to pay his or her contribution. If the faculty member has a tax-deferred salary reduction program for retirement, the faculty member should notify the Benefits Office for adjustment of the reduction during the year in which the faculty member is not receiving his or her salary. [For additional information, see Personnel Policy # 357, II.D.4, Benefits During Unpaid Portion of Leave].

Requests for personal leave under this Policy should be made on the same schedule as requests for academic leaves, i.e., no later than the beginning of the semester preceding the semester in which the leave is requested. The periods of the personal leaves are as follows:

- Full year – 1 July through 30 June
- Fall Term – 1 July through 15 January
- Spring Term – 16 January through 30 June

For faculty members on term appointments, leave taken under this policy will be excluded from the appointment period (i.e., the term of appointment will be extended by the time of the leave) upon the faculty member’s request. In the case of faculty whose appointments are conditioned on third-party support, the extension of the appointment would be conditioned on the future availability of the third-party support.

Faculty members with any questions regarding this or any other policy concerning leaves of absence should contact the Human Resources Office of Leave Administration.

3 For faculty who qualify for leave under the FMLA, the FMLA provides up to 12 weeks unpaid leave to faculty for the birth, adoption, or placement of a child; to care for a spouse, child, or parent who has a serious health condition; or when the faculty member is unable to work because of a serious health condition. Spouses who are both employed by the University and otherwise qualified for FMLA leave are entitled to an aggregate total of 12 weeks for a birth, adoption, or foster care. (For information regarding leaves of absence pursuant to the Family and Medical Leave Act, refer to University Personnel Policy # 357, Leaves of Absence. For the policy on Long Term Disability for Full Time Faculty, refer to Faculty Handbook, Section VI.E.)
E. Long-Term Disability for Full-Time Faculty

If after one year of service a faculty member becomes totally disabled for more than six months, the University’s long-term disability (LTD) plan guarantees a monthly income. The one-year waiting period may be waived if the faculty member applies for coverage under the University’s LTD plan within three months after leaving a group LTD plan sponsored by his or her previous employer.

Both job-related and non-job-related disabilities are covered by the University LTD plan. The benefit provided by the plan equals up to 60 percent of the covered annual salary. LTD benefits are not provided when faculty members are on personal leave.

The amount of salary that qualifies as covered annual salary depends on whether the individual has selected limited coverage or full coverage.

Limited LTD coverage is provided by the University at no cost to the individual; both the individual and the University contribute toward the cost if the individual selects full LTD coverage.

Full coverage provides 60 percent of the covered annual salary (maximum covered annual salary is $360,000.). Limited coverage provides 60 percent of the covered annual salary up to the first $15,000.

F. Group Life Insurance

Immediately upon appointment, faculty members are covered by basic term life insurance paid for entirely by the University; the University-paid basic term life insurance coverage is 50 percent of annual base salary (minimum coverage: $15,000; maximum coverage: $50,000). In addition, faculty members are also eligible for University-paid basic accidental death and dismemberment (AD&D) insurance in an amount equal to the basic term life insurance.

Faculty members may purchase additional group universal life (GUL) insurance in amounts from one to six times their annual salary up to a maximum of $1,000,000. If enrolled in GUL, the faculty member will be eligible to purchase optional AD&D Insurance in an amount equal to one times his or her annual salary.

G. Travel-Accident Insurance Plan

While traveling on University business, faculty members are also covered by travel-accident insurance, with its own schedule of additional benefits. Travel-accident insurance is paid for entirely by the University; coverage begins immediately upon appointment.

H. Tuition Benefits for Full-Time Faculty
Tuition benefits are available to faculty members, their spouses, and dependent children. Eligibility for tuition waivers or tuition reimbursement varies and depends on length of service, as well as other factors. Contact the Benefits Office of Human Resources for additional information.

**I. Retirement Program/Tax-Deferred Investment Options**

The University’s retirement program is designed specifically to provide the flexibility to meet financial objectives and plans for retirement, by offering a wide choice of investment options for voluntary contributions on a before-tax basis.

The investment options available under the program include TIAA and CREF Regular Retirement Annuities (RRAs), TIAA and CREF Supplemental Retirement Annuities (SRAs), Fidelity, T. Rowe Price, and Vanguard mutual funds.

Faculty members are eligible to begin making voluntary tax-deferred contributions to the program immediately upon appointment.

Faculty members will be eligible for a University contribution to the retirement program upon completion of the program’s two-year service requirement. Service completed at any higher educational institution, teaching hospital, or research foundation counts toward the service requirement.

**J. Workers’ Compensation**

Faculty members are covered by workers’ compensation insurance while actively employed at the University, to protect from them losses resulting from a work-related illness or injury, as required by law.

Benefits are provided to cover hospital and medical expenses, a percentage of lost wages, physical impairment, rehabilitation, and loss of life. The cost of workers’ compensation insurance is paid for entirely by the University.

**K. Social Security**

While faculty members are employed by the University, the individual and the University contribute toward Social Security coverage. Social Security currently pays retirement benefits at age 65, or as early as age 62 on a reduced basis. Social Security also provides disability benefits at any age to those insured and eligible under the program, and it provides medical care benefits under Medicare Parts A and B.

**L. Unemployment Insurance**

University faculty are covered under the Unemployment Insurance Law of New York State. A faculty member who believes he or she may be eligible may file a claim for benefits at any State Unemployment Insurance Office. When a claim is filed, the University is required to submit certain employment and wage data, which are used to determine eligibility. To be eligible, a faculty member must have lost his or her position through no fault of his or her own and be "unemployed, able to work, and available to work." Typical kinds of terminations that qualify faculty for benefits are expiration of term appointment,
and sometimes terminations having to do with illness or child care. Kinds of disqualifying terminations are most voluntary terminations, discharge for misconduct, and early retirement. Also, faculty are ineligible for benefits during the summer, vacation periods, when on a 12-month appointment, or during the summer after completing a spring semester at one institution and taking up his or her contract beginning with the fall semester at another.

The amount of weekly unemployment insurance payments is set by New York State law and depends on the prior earnings and the number of weeks worked by the claimant during a prescribed period. Only the New York State Department of Labor Unemployment Insurance Division may determine if a claimant is eligible for unemployment insurance benefits. The University does not determine eligibility for benefits.

M. Employee Assistance Program

The Employee Assistance Program offers referrals for a variety of problems, such as depression, anxiety, marital conflict, parent-child issues, financial or legal concerns, and alcohol and drug abuse. Conversations to identify problems and the resources in the community that can assist people are confidential. The cost of treatment that a person elects is the person’s responsibility, but often treatment is covered in part or full by the insurance plans provided by the University.

N. Childtime Children’s Center

Childtime Children’s Center is open to children of University and Medical Center employees. Located behind Helen Wood Hall, the center can accommodate 132 children, age 6 weeks through kindergarten, and is open Monday through Friday from 6:00 a.m. to 6:00 p.m.

O. Family Care Program

The Family Care Program offers information and referrals for child care in day-care centers, family day-care homes, and through neighborhood babysitters. Information is also available on services to elderly or disabled family members. The University does not recommend or guarantee the services of any provider.

P. Flexible Spending Accounts

Faculty members may use a Flexible Spending Account (FSA) to put aside, tax-free, money to cover certain expenses. Under the medical/dental care account, expenses like optical care, routine physicals, orthodontia, and health insurance deductibles can be covered. The dependent care account can cover day-care and babysitting expenses for children under 13 and care expenses for dependents who are physically or mentally handicapped. A faculty member’s share of the premiums for enrollment in one of the basic medical plans is automatically taken from pre-tax earnings.

Q. Vacation

Faculty members do not accrue vacation except in the School of Medicine and Dentistry and the Laboratory for Laser Energetics, where appointments are made on a 12-month basis.