



MANUAL FOR THE AFFILIATED FACULTY OF THE UNIVERSITY OF MIAMI SCHOOL OF MEDICINE

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The University of Miami Leonard M. Miller School of Medicine, an academic medical center founded in 1952, is proud to serve South Florida, South America and the Caribbean in education, research, patient care and community service.

The founders of the Miller School of Medicine were true visionaries. They anticipated the tremendous need for excellent medical care within our community and set into motion a plan for the facility that now has more than 1 million patient encounters annually.

Mission Statement

- To provide excellence in medical education.
- To expand medical knowledge through research.
- To provide high-quality care to those who need it.
- To be a community partner.

FOREWORD FROM THE SENIOR VICE PRESIDENT FOR MEDICAL AFFAIRS AND DEAN

Welcome to the University of Miami School of Medicine! This is the first edition of a Manual for our School's Affiliated Faculty. It describes our School, our relationships with Affiliated Faculty, and the criteria for appointment, reappointment and promotion, benefits and other relevant policies. It affirms the important roles of our Affiliated Faculty in programs that benefit our students, our Departments, our School and the community we serve. We hope also that this Manual, and the formalization of policies and procedures are a means to express our appreciation to our Affiliated Faculty.

Writing this manual was a complex task because Affiliated Faculty serve the academic mission of our School of Medicine in many ways that may vary individually and among Departments. Many of our Affiliated Faculty teach students who may be medical or graduate students, interns, residents, postgraduate fellows or other healthcare professionals. Others may collaborate in our academic and research programs, participate in additional Departmental academic activities or refer patients to our clinical programs. In addition, our Affiliated Faculty contribute to our community service activities and effectively generate community support for the Medical School. Despite this diversity, our goal is to wholeheartedly express the School's pride in the important contributions of our Affiliated Faculty, to define standards and procedures that will encourage even greater interaction among Affiliated Faculty and our School, and to recommend policies to strengthen the links among us.

Since this is the first edition of this Manual, revisions are expected. This is especially true in this time when medical education and medical service must adapt to the challenges presented by a rapidly changing health care environment. The goal of our Affiliated Faculty must be to strengthen our education, research and community service missions. This Manual is only one among many initiatives to accomplish this goal.

Pascal Goldschmidt, M.D.
Senior Vice President for Medical Affairs and Dean

1. APPOINTMENT TO THE AFFILIATED FACULTY

The Faculty Manual of the University of Miami defines the basic conditions of appointment of Affiliated faculty as follows:

Page 32 C3.6(d) - *Qualified staff members of hospitals and medical research institutions with which the University has an affiliation agreement may receive appointments as AFFILIATED FACULTY in the School of Medicine and the School of Nursing. These appointments may be continued until normal retirement, subject to annual renewal by the University and continuing medical staff appointment in the affiliated institution. Affiliated Faculty are generally not paid by the University, although the University may provide compensation for the services of such individuals.*

School of Medicine policy limits affiliated faculty appointments to individuals who are staff members of hospitals and medical research institutions with which the University has an academic affiliation agreement. To qualify in this regard, the affiliated hospital or medical research institution must have a continuing commitment to teaching and/or research that is a component of the teaching and/or research missions of the School of Medicine. If the above qualifications are met, then responsibility for recommending the nomination and rank of new candidates to the Affiliated Faculty rests with the Chair of the Department to which the appointment is made.

The impetus for such recommendations should be the needs of the Department and the candidate's desire to advance the academic mission of the School. Candidates for the Affiliated Faculty should be actively involved in School of Medicine academic programs that occur at the affiliated institution.

Appointments to the Affiliated Faculty require that the Chair complete the '***Evaluation for Appointment, Reappointment or Promotion***' form included with this Manual as APPENDIX A. This form, together with other required information, which is defined in the ***Checklist for Appointment, Reappointment or Promotion*** (APPENDIX B), is then sent to the Office of Faculty/Professional Affairs for consideration by the central administration.

Appointments to the Affiliated Faculty do not provide tenure or tenure-earning status. Members of the Affiliated Faculty are not considered employees of the University but they are subject to University policies on such issues as sexual harassment, health and safety, patent and copyright, professional conduct and credentialing while performing duties as an affiliated faculty member.

Appointment and reappointment to the Affiliated Faculty usually requires that the candidate hold a terminal degree which almost always is the M.D. or Ph.D. degree.

1(a). Appointments to the Affiliated Faculty: Departments may recommend appointment [and subsequent reappointment and/or promotion] at any one of the following four ranks:

- 1) Assistant Professor of [*Department*] at [*Affiliated Institution*]
- 2) Associate Professor of [*Department*] at [*Affiliated Institution*]
- 3) Professor of [*Department*] at [*Affiliated Institution*]

Affiliated Faculty status is available to clinicians and basic scientists. Titles and all correspondence to and from members of the Affiliated Faculty should reference their appropriate rank of appointment. **The modified title with institutional affiliation must accompany all references to Affiliated Faculty and rank status.**

Each member of the Affiliated Faculty shall be appointed through a primary Department. Affiliated Faculty may hold secondary appointments in Departments where they have a professional interest and in which they may also serve. Recommendations for nominating and assigning a faculty rank to new candidates for secondary appointments shall be made in accordance with the procedures for nominating and assigning a faculty rank to new candidates in their primary Department. Affiliated Faculty members may not be appointed or promoted in a secondary Department to a rank above his/her rank in the primary Department.

The Office of Faculty and Professional Affairs of the School of Medicine shall be responsible for notifying Affiliated Faculty of the outcome of the appointment, reappointment and promotions processes.

1(b) Department recommendations on appointment:

Qualified members of the Department's full-time faculty shall be consulted in the appointment process for Affiliated Faculty and the recommendations shall ordinarily be made in conformity with the results of this consultation. Recommendations of the qualified faculty and the Department Chair, along with all supporting information shall be submitted by the Chair to the Senior Associate Dean for Faculty/Professional Affairs who has the designated responsibility for appointments, reappointments and promotions of the Affiliated Voluntary Faculty.

The definition of qualified full-time faculty rests with the Department but the appointment requires that the qualified, voting faculty in any Department must total at least five. Departments that are organized into divisions may define the qualified faculty in a limited manner as those who are full-time faculty in the appointing division. At the discretion of the Chair of Departments with more than ten full-time faculty, the responsibility for new appointments may be assigned to an appointed committee composed of five or more qualified full-time faculty. For any appointment, the number of qualified faculty who cast a vote must be at least five. Voting procedures may be determined by the Chair in consultation with the qualified voting faculty.

Appointments to the Affiliated Faculty may be made at any time during the University's fiscal year (June 1 to May 31). Appointment to the Affiliated Faculty is contingent upon the candidate's provision of the required personnel data form, a current curriculum vitae, proof of degree and a copy of the candidate's current Florida professional license if applicable. The effective date of the new appointment shall be the date that the candidate's acceptance of the offer in writing and the required information is received in the Office of Faculty/Professional Affairs. Acceptance of an appointment to the Affiliated Faculty carries with it the agreement by the faculty member to abide by the policies and procedures of the University that pertain to this appointment.

To standardize times for reappointment, candidates appointed to the Affiliated Faculty between June 1 and August 31 will be credited with one full year of service on the following May 31. Candidates appointed to the Affiliated Faculty between September 1 and May 31 will be credited with one full year of service on May 31 of the next year after that first May 31 date.

2. REAPPOINTMENT TO THE AFFILIATED FACULTY

Appointments to the Affiliated Faculty shall be for a maximum of three years. At the end of three full years of service, reappointment shall be required for continuance on the Affiliated Faculty. However, evaluations and actions for reappointment or non-reappointment may be undertaken by Departments and/or the central administration at any time.

Temporal guidelines for the process of reappointment at the third year are as follows. The Office of Faculty/Professional Affairs shall notify the Departments early during the third year of service that reappointment is required. The Department shall determine guidelines for reappointment. This reappointment process may be initiated by the Chair, the Department or by request of the affiliated faculty member.

To conduct the reappointment evaluation, information shall be acquired and then recommendations forwarded by the Department for consideration by central administration.

For Affiliated Faculty undergoing the required reappointment evaluation during their third year of service, the usual termination date is May 31. For those individuals reappointed to the Affiliated Faculty, their three-year maximum reappointment term on the Affiliated Faculty shall begin on June 1.

2(a). The reappointment process: An essential element of the review process for reappointment is the fulfillment of commitments to the academic mission of the Department and the School by the Affiliated Faculty member through his/her active involvement in School programs that occur at the affiliated institution. The reappointment process for Affiliated Faculty is similar to that for full-time faculty. This includes a vote of the qualified faculty (see above), a recommendation from the Chair and approval by the Senior Associate Dean for Faculty and Professional Affairs.

Voting procedures may be determined by the Chair in consultation with the qualified voting faculty. The recommendation from the Chair should include the role of the Affiliated Faculty member, the expected role in the future, and an evaluation of past performance. This information shall be provided to the Office of Faculty/Professional Affairs through the '*Evaluation for Appointment, Reappointment or Promotion*' form included with this Manual as APPENDIX A.

It shall be the **responsibility of each member of the Affiliated Faculty** to maintain with the Department an active and current file containing all data pertinent to these decisions. Included in this file must be up-to-date information on the status of the professional license of the candidate. For reappointment of physicians and other licensed health professionals, a copy of the active license is required. The Chair and the School administration shall maintain these files in confidence, except as necessary for decisions on reappointment or promotion. For reappointment, members of the Affiliated Faculty have the option of providing an updated curriculum vitae with any new information relevant to the reappointment review.

Reappointment requires reapplication, and is not automatic. Failure to reappoint requires no justification. Current academic ranks shall be maintained upon reappointment unless promotion is awarded. The Office of Faculty/Professional Affairs shall notify Departments when reappointment of Affiliated Faculty is required. This Office shall afterward notify the Affiliated Faculty members of the outcome of the reappointment process.

3. ACADEMIC RANKS AND PROMOTION OF AFFILIATED FACULTY

Any member of the Affiliated Faculty below the rank of Affiliated Professor shall, upon written request to the Chair in his/her appointing Department, be considered for promotion in accordance with the systematic annual evaluation of every member of the Affiliated Faculty. Evaluation of merit shall be undertaken at the Department and at the School level. A key to promotion includes significant and continuing contributions to the School as well as growth, productivity and excellence in the candidate's activities during the candidate's time at his/her present rank. Affiliated Faculty who hold secondary appointments cannot hold a rank higher than that held in the primary appointing Department.

It is the responsibility of the candidate to maintain in the Office of the Department Chair an active and current file containing all pertinent data. Letters from at least two referees are required for appointment or promotion to the ranks of Associate Professor or Professor. The candidate may suggest the names of external or internal referees to the Department Chairperson. The Chairperson may solicit letters of evaluation from these referees and/or from other referees whom the Chair considers appropriate. Letters from recognized leaders in the professional discipline of the candidate best serve the evaluation process. The Chair must certify that all evaluation letters received were solicited by the Chair in a neutral manner and that all such letters are included in the candidate's file. A copy of the Chair's letter soliciting the evaluation letters shall also be included in the file.

Letters of evaluation shall be confidential, but they may be seen by anyone directly concerned in making appointment or promotion decisions. The Chair shall supply the voting faculty and the Senior Associate Dean with a list of reviewers, indicating how and why each was selected. If outside letters are solicited from reviewers recommended by the candidate, the nature of any

relationship shall be disclosed. Candidates shall be permitted to identify to the Chair persons who are thought to be unsuitable external or internal reviewers and the reasons for that judgment.

Candidates for promotion may present a written career assessment providing the rationale for their work and describing the significance of their contributions to knowledge, the profession and the School of Medicine.

The process for evaluation of candidates for promotion on the Affiliated Faculty requires the Chair to oversee a Department review and vote by the qualified faculty. The Chair shall not participate in the ballot of the qualified voting faculty, but shall provide a separate recommendation supported by a written evaluation of each candidate which makes reference to the performance of the candidate. The Chair shall prepare and forward to the Senior Associate Dean the *Evaluation for Appointment, Reappointment or Promotion* form which contains the Department vote tally and the Chair's recommendation. Included within the Chair's recommendation letter shall be:

- a) present and expected future departmental role(s) of the candidate**
- b) justification for Chair's recommendation based on Department standards for performance and contribution**
- c) approvals or concerns expressed by the Department full-time faculty and/or advisory committee**
- d) Chair's statement(s) and specific recommendation**

It is emphasized that the following guidelines for appointment and promotion provide only a basis for Department and central administration evaluations. Final decisions result from the current experience and intentions of the qualified voting faculty and the central administration, as well as other considerations that may be relevant. Also, each candidate's application is considered on an individual basis consistent with established policy. Nevertheless, criteria for promotion should be applied across all Departments.

3.(a) APPOINTMENT TO THE RANK OF AFFILIATED ASSISTANT PROFESSOR:

The rank of Affiliated Assistant Professor signifies that the candidate has made significant contributions to the service mission of the School of Medicine (patient care, administration and/or community service) and to at least one of the two other focus areas of academic achievement that constitute the missions of the School of Medicine. These are:

- a) teaching (pre- and/or postgraduate); and**
- b) research (basic and/or scientifically based clinical)**

Teaching may be a major portion of a candidate's application for promotion. The types of teaching that may be distinguished include:

- a) classroom teaching that includes lectures, seminars, laboratories, discussion sections, workshops, etc;
- b) graduate-student teaching including personal training, workshops, seminars and other graduate-program duties (e.g. directing a journal club); and

- c) clinical teaching that involves lectures, demonstrations, individual or group teaching in a clinical setting, and postgraduate education.

If teaching is considered a significant factor in promotion, evidence must be presented that the candidate has developed and/or conducted quality teaching programs. Suggested documentation may include:

- 1) a synopsis of teaching assignments including conferences, student teaching, laboratories, etc;
- 2) evidence of contributions to educational administration, curriculum planning and development, or analysis
- 3) department or other peer evaluation of teaching. Examples of instructional materials such as 'handouts' used in the candidate's teaching software, or audiovisual aids, are helpful and may be provided. A description of the application of new or improved teaching methods should be provided, if appropriate;
- 4) evaluations of teaching by medical and/or graduate students, house staff, and postdoctoral fellows

If research is a major component of the candidate's application for promotion, evidence must be presented that the candidate has contributed to a research program that is of high quality and significance. Documentation of such a contribution should include:

- 1) a bibliography and statement that describes the research program, accomplishments to date, and future goals (maximum: 2 pages);
- 2) a chronology of research support listing its source, principal investigator, candidate's role, and annual and total direct costs
- 3) an evaluation of the quality of the journals in which the candidate has published, and the number of citations by others in the field;

If clinical service is being considered as a portion of the candidate's application for promotion, evidence must be presented describing the candidate's accomplishments in this or related activities, such as the number of clinics attended on behalf of the School of Medicine, type of patients seen, and procedures performed. Other areas of clinical activity may be considered. Evidence of clinical accomplishments may include:

- 1) evaluations of the candidate's clinical activities and performance by authorities in the candidate's field.
- 2) a scholarly approach to patient care as demonstrated by:
 - a) knowledge and/or use of current concepts and techniques, or development of new programs; and

- b) national dissemination of clinical knowledge, as evidenced by the presentation of seminars or written materials [e.g. a continuing medical education (CME) syllabus] and a bibliography of publications. Copies of CME written materials and publications, which support a scholarly approach to patient care, should be included with the candidate's file;
- 3) documentation of clinical activities (e.g. yearly statistics describing referral numbers, clinics attended, procedures performed, number of private patients, etc).

If service to the Department, School, hospital or University is defined as supporting the candidate's promotion application, this service should be documented. Included within this category of service may be:

- 1) School of Medicine committee assignments with the candidate's role on the committee and time commitment;
- 2) administrative assignments or projects with end product, the candidate's role and time commitment;
- 3) professional administration and program development with end product, the candidate's role and time commitment. If supervision of a clinical or administrative unit is involved, this unit should be identified and its mission described together with the duties and responsibilities of the candidate and evidence of program growth that includes its regional and national reputation;
- 4) professional service to local, regional, state, or national associations or governmental units should be listed with the candidate's role and time commitment;
- 5) appointments or election to office in county, state or national medical and healthcare societies and/or professional scientific societies;
- 6) for clinicians, service as an examiner for a specialty-certifying board.

3.(b) APPOINTMENT OR PROMOTION TO THE RANK OF AFFILIATED ASSOCIATE PROFESSOR:

The rank of Affiliated Associate Professor signifies that the candidate has made tangible contributions to at least one of the focus areas of academic achievement that constitute the mission of the School of Medicine (see above) and that the candidate has achieved local or regional recognition.

Generally, consideration of the promotion to the rank of Associate Professor requires a minimum of seven years of academic service.

3.(c) APPOINTMENT OR PROMOTION TO THE RANK OF AFFILIATED PROFESSOR:

The Professorial rank represents the highest honor at the University of Miami. Promotion or appointment as Affiliated Professor requires that the candidate has continued to grow in stature and has remained productive in the academic missions of the School of Medicine. Generally, consideration for promotion to the rank of Affiliated Professor requires a minimum of 15 years of academic service. Appointment or promotion to this rank will be reviewed by, and recommendations to the central administration will be sought from, the School of Medicine's Appointment, Promotion and Tenure Committee which reviews appointments, promotion and tenure of the full-time faculty. Documentation of further accomplishments since initial appointment or promotion must be provided. Promotion or appointment to Affiliated Professor requires significant extramural recognition in the candidate's field. Scholarly presentations or publications of research and/or clinical accomplishments are usual for this promotion. Additional evidence of accomplishments at this level may include:

- 1) service as a speaker at professional conferences;
- 2) promotion of relationships with professional medical societies;
- 3) service as a visiting professor;
- 4) preparation of books, chapters, or reviews;
- 5) service on editorial boards, or as officer of a national professional society;
- 6) awards or honors;
- 7) appointment to government-review panels or committees;
- 8) appointment to major committees of state or national professional societies;

4. CONDITIONS OF APPOINTMENT

Members of the Affiliated Faculty are expected to conduct their activities in a professional and collegial manner. Titles and all University-related correspondence to and from Affiliated Faculty shall define the appropriate rank and title of appointment. The complete title with institutional modifier must accompany all references to Affiliated Faculty and rank status.

Affiliated Faculty may not describe themselves in any manner that suggests that they are members of the full-time faculty. Affiliated Faculty must use the approved, complete title on all occasions when referring to their University status and rank. Failure to denote affiliated status shall be grounds for termination.

University policy stipulates that Affiliated Faculty may acknowledge their appointment with the University of Miami in print or other media only with respect to work done on university premises, under university sponsorship or in collaboration with university full-time faculty.

5. EMERITUS STATUS

Emeritus status may be awarded to retired members of the Affiliated Faculty who have previously held the rank of Affiliated Professor. The awarding of this status shall be by recommendation of the qualified voting faculty of the appointing Department, the recommendation of the Chair and by approval of the Dean of the School of Medicine and the Executive Vice President and Provost of the University of Miami. . The title will be granted only for outstanding and prolonged service to the School of Medicine.

6. BENEFITS

Affiliated Faculty are entitled to the following privileges and benefits of the University of Miami: (1) discounts that full-time faculty members are eligible to receive such as for bookstore purchases, performance and sports tickets and parking stickers and for membership in the Lowe Art Museum. Additional benefits to Affiliated faculty are provided by the School of Medicine. These include:

- 1) the opportunity to participate in Departmental academic activities including Grand Rounds
- 2) access to the Medical School Library
- 3) 10% discount at the Medical Bookstore
- 4) An Affiliated Faculty ID badge
- 5) Tuition reduction for CME courses of the School of Medicine on a space-available basis
- 6) invitations to General Faculty Meetings, School Council Meetings and Dean's Town Hall Meetings

Departments may supplement these benefits with additional benefits and invitations.

7. TERMINATION OF AFFILIATED FACULTY

Affiliated Faculty status may be withdrawn during the period of appointment from individuals with 30 days notice. Such termination requires no justification. Appointments to the affiliated faculty will also be ended when the employment or other qualifying relationship with the affiliated institution ends.

8. INSURANCE

Appointment of individuals to the Affiliated Faculty in no way implies that the University of Miami takes upon itself responsibility or liability for the professional services of these individuals outside of such services as may be rendered by the faculty member at the request of the University.

The University of Miami Self Insurance Plan does not provide insurance coverage for the professional services of members of the Affiliated Faculty, nor is the University responsible for services rendered by members of the Affiliated Faculty, outside of the services as may be assigned by the University. It is the individual responsibility of the Affiliated Faculty member to maintain his or her own professional liability insurance coverage with limits no less than \$250,000/\$750,000. Annually and/or upon request, proof of compliance with this professional liability insurance requirement must be provided to the School of Medicine by members of the Affiliated Faculty.

Appointments to the Affiliated Faculty are conditional upon compliance with the professional liability insurance requirements as defined above.

Affiliated Faculty in some Departments may participate in and/or supervise patient care in outpatient, in-patient and operating room facilities of the University of Miami. Malpractice coverage is provided through the University of Miami Medical Group (UMMG) Self Insurance Plan only for University-assigned, clinical activities, and only for professional services provided to University of Miami patients through specific assignments by the University, malpractice coverage is provided through the University of Miami Medical Group (UMMG) Self Insurance Plan. The Self Insurance Plan must be notified and must approve the faculty member prior to the performance of professional services as defined above. Insurance coverage is contingent upon receipt of the appropriate premium payments by the UMMG for such coverage to be effective. Affiliated faculty members who are covered by the University of Miami Self-Insurance plan are annually informed of this coverage by letter. Only faculty who have received this letter are covered by the Self-Insurance Plan.