

**MANUAL FOR THE VOLUNTARY FACULTY  
OF THE UNIVERSITY OF MIAMI SCHOOL OF MEDICINE**

APPROVED February 23, 1998

**MISSION STATEMENT**

**'The mission of the University of Miami School of Medicine is to provide excellence in medical education, to expand medical knowledge through research, to provide high quality care to all who need it and to be a good 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 Voluntary Faculty. It describes our School, our relationships with Voluntary Faculty, and the criteria for appointment, reappointment and promotion, benefits and other relevant policies. It affirms the important roles of our Voluntary 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 for Voluntary Faculty are, in part, a means to express our gratitude to these dedicated women and men. Your efforts are truly appreciated.

Producing this manual was a complex task because Voluntary Faculty serve the academic mission of our School of Medicine in many ways that may vary individually and among Departments. Many of our Voluntary Faculty teach students who may be medical or graduate students, interns, residents, postgraduate fellows or other healthcare professionals. Many of our Voluntary Faculty contribute to our community service activities and effectively generate community support for the Medical School. Others may collaborate in our academic and research programs, participate in additional Departmental academic activities or refer patients to our clinical programs. Despite this diversity, our goal is to wholeheartedly express the School's pride in the important contributions of our Voluntary Faculty, to define standards and procedures that will encourage even greater interaction among Voluntary 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 full-time and our Voluntary Faculty must be to strengthen our education, research and community service missions. This Manual is only one among many initiatives to accomplish this goal.

John G. Clarkson, M.D.  
Senior Vice President for Medical Affairs and Dean

## **1. THE UNIVERSITY OF MIAMI AND THE SCHOOL OF MEDICINE**

Led by President Edward T. Foote II, the University of Miami is a relatively young but an already broadly based, internationally honored, research University. Despite its youth, the University is ranked 19<sup>th</sup> among all private universities in the country in private philanthropic support. Academic standards are such that we compete well with the best. Recent surveys established that this University ranks 38<sup>th</sup> nationally with over \$150 million in funded research and other sponsored programs. Undergraduate programs continue to attract and retain high-caliber students, most in the top fifth of their high school class. More than 1,700 undergraduates now participate in the Honors Program, many of them members of the University's 44 academic honor societies. Our Graduate School comprises 57 doctoral, 104 master's and five specialist programs offered at the University's four campuses.

The School of Medicine was founded in 1952 as the first accredited medical school in Florida, with support for education from the Florida Legislature and with a Dean and four faculty members. From a first class of 28 students, alumni now total approximately 4,962 with 48 percent residing in Florida. It ranks as the second busiest health care center in the nation. Physician surveys rank the University of Miami/Jackson Memorial Medical Center among the top 25 medical centers in the nation.

The School of Medicine campus consists of 12.5 acres within a 67-acre University of Miami/Jackson Memorial Medical Center complex, located in the Civic Center area, north of downtown Miami. Students receive medical training at the 1,567-bed Jackson Memorial Hospital, including its Children's Hospital Center and Highland Park Pavilion. Medical training also takes place at Veterans Affairs Medical Center, Bascom Palmer Eye Institute and Anne Bates Leach Eye Hospital, Diabetes Research Institute, Ryder Trauma Center and the University of Miami Hospital and Clinics/Sylvester Comprehensive Cancer Center. The Louis Calder Memorial Library, the largest medical resource library in South Florida, contains more than 200,000 volumes, 3,000 microform items, and 2,200 subscriptions to periodicals.

In 1996, the School of Medicine employed 1,019 full-time faculty of whom 632 are M.D.'s and 334 are Ph.D.s. In addition, other School full-time employees included 327 research/training personnel, 753 administrative/professional personnel and 2,437 staff and physical plant personnel. There are 1,955 professional individuals from the community serving as Voluntary Faculty in the various departments of the School.

The School's budget for the 1996-7 fiscal year was projected at \$475.5 million: \$172.8 million for the medical clinical practice, \$89.2 million for hospitals, \$4.9 million for student aid, \$44.2 million for service agreements, \$102.6 million for research, \$28.1 million for operations and maintenance and \$33.7 million for instruction. Endowments total an estimated \$140 million. The total amount of research and sponsored programs was \$118 million which places the School of Medicine in the top quarter of the 126 medical schools in the country.

## 2. APPOINTMENT TO THE VOLUNTARY FACULTY

Responsibility for recommending the nomination and rank of new candidates to the Voluntary 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 should be appointed to the Voluntary Faculty on the basis of their commitment to assist with teaching, patient care and/or collaborative research.

Appointments to the Voluntary 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), shall be sent to the Office of Faculty/Professional Affairs for consideration by the central administration.

Appointments to the Voluntary Faculty do not provide tenure or tenure-earning status. Members of the Voluntary 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.

Appointment and reappointment to the Voluntary Faculty usually requires that the candidate hold the M.D. or Ph.D. degree. In circumstances where another degree is considered the terminal degree in the candidate's field, holding that degree may be acceptable.

**2(a). Appointments to the Voluntary Faculty** shall be initiated at the Department level either by the Department and its full-time faculty, the Department Chair, or by individuals outside the Medical School who may contact the Department offering services or research collaborations. Departments may recommend appointment [and subsequent reappointment and/or promotion] at any one of the following four ranks:

- 1) **Voluntary Instructor;**
- 2) **Voluntary Assistant Professor;**
- 3) **Voluntary Associate Professor; or**
- 4) **Voluntary Professor.**

Voluntary Faculty status is available to clinicians and basic scientists. Titles and all correspondence to and from members of the Voluntary Faculty should reference their appropriate rank of appointment. **The prefix 'voluntary' must accompany all references to Voluntary Faculty and rank status.**

Each member of the Voluntary Faculty shall be appointed through a primary Department. Voluntary 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. Voluntary 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/Professional Affairs shall be responsible for notifying Voluntary Faculty of the outcome of the appointment, reappointment and promotions processes.

**2(b) Department recommendations on appointment:** Qualified members of the Department's full-time faculty shall be consulted in the appointment process for Voluntary 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 Deputy Dean for Faculty/Professional Affairs who has responsibility for appointments, reappointments and promotions of the 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 Voluntary Faculty may be made at any time during the University's fiscal year (June 1 to May 31). Appointment to the Voluntary 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 Voluntary 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 Voluntary 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 Voluntary 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.

### 3. REAPPOINTMENT TO THE VOLUNTARY FACULTY

**Appointments to the Voluntary Faculty shall be for a maximum of three years.** At the end of the three-year appointment period, reappointment shall be required for continuance on the Voluntary 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 how the process of reappointment should be carried out. This reappointment process may be initiated by the Chair, the Department or by request of the faculty member.

To conduct the reappointment evaluation, information shall be acquired and then recommendations shall be made at the Department level for consideration by the central administration. Candidates shall be notified of the outcome of the reappointment process at least one month prior to the date when termination will occur.

For Voluntary 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 Voluntary Faculty, their three-year maximum reappointment term on the Voluntary Faculty shall begin on June 1.

**3(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 Voluntary Faculty member. The reappointment process for Voluntary 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 Deputy Dean for Faculty/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 Voluntary 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 Voluntary Faculty** to maintain in the Department office 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 at the time of reappointment. 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 Voluntary Faculty have the option of providing an updated curriculum vitae or for updating the original curriculum vitae with any new information relevant to the reappointment review.

Reappointment requires reapplication, and is not automatic. Non-reappointment needs 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 Voluntary Faculty is required. This Office shall afterward notify the Voluntary Faculty members of the outcome of the reappointment process.

#### **4. ACADEMIC RANKS AND PROMOTION OF VOLUNTARY FACULTY**

Any member of the Voluntary Faculty below the rank of Voluntary 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 Voluntary Faculty. Evaluation of merit shall be undertaken at the Department and at the School level. A key to promotion is whether there has been 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. Promotion of Voluntary Faculty who hold secondary appointments cannot be to a rank higher than that held in the primary appointing Department.

To accomplish the evaluation for promotion, 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. The candidate may suggest the names of external or internal referees to the Department Chairperson who may solicit letters of evaluation from these referees and/or from other referees whom the Chair considers appropriate.

For promotion from Voluntary Instructor to Voluntary Assistant Professor, letters from referees are not required. For appointments at, or promotions to Voluntary Associate Professor or Voluntary Professor, the Chair may choose among the suggested and other referees and then solicit letters from a minimum of two referees. Although letters from recognized leaders in the professional discipline of the candidate best serve the evaluation process, letters may be from former colleagues, mentors, sponsors, or former students. 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 Deputy 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 indicated. 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 Voluntary 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 Deputy 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 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 School evaluations. Final decisions result from the current experience and intentions of the qualified voting faculty and the School 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.

#### **4.(a) APPOINTMENT AS VOLUNTARY INSTRUCTOR:**

The rank of Voluntary Instructor is appropriate as an entry rank for candidates who are at the early stage of academic and/or clinical service. It is expected that most new appointments will be made at the Voluntary Instructor level unless the candidate has already contributed to academic and/or clinical medicine.

**4.(b) APPOINTMENT OR PROMOTION TO THE RANK OF VOLUNTARY ASSISTANT PROFESSOR:**

The rank of Voluntary Assistant Professor signifies that the candidate has made contributions to at least one of the three focus areas of academic achievement that constitute the missions of the School of Medicine. These are:

- a) teaching (pre- and/or postgraduate);**
- b) research (basic and/or scientifically based clinical); and**
- c) service (patient care, administration and/or community service).**

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 abilities. 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, or evidence of teaching awards.

**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 a major 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, 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 an important aspect of the candidate's application, this service should be documented. Included within this category of service may be:**

- 1) 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.

**4.(c) APPOINTMENT OR PROMOTION TO THE RANK OF VOLUNTARY ASSOCIATE PROFESSOR:**

The rank of Voluntary Associate Professor signifies that the candidate has made tangible contributions to at least one of the three focus areas of academic and/or clinical 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 Voluntary Associate Professor requires a minimum of seven years of academic service.

#### **4.(d) APPOINTMENT OR PROMOTION TO THE RANK OF VOLUNTARY PROFESSOR:**

It shall be recognized that the Professorial rank represents the highest honor at the University of Miami. Promotion or appointment as Voluntary Professor requires that the candidate has continued to grow in stature and has remained productive in the academic and/or clinical mission of the School of Medicine. Generally, consideration for promotion to the rank of Voluntary 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 Voluntary 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;

### **5. CONDITIONS OF APPOINTMENT**

Members of the Voluntary Faculty are expected to conduct their activities in a professional and collegial manner. Titles and all University-related correspondence to and from Voluntary Faculty shall define the appropriate rank and title of appointment. The prefix 'voluntary' should accompany all references to Voluntary Faculty and rank status. The title for Voluntary Faculty, whether licensed physicians or clinical or research Ph.D. scholars should be either Voluntary Instructor or Voluntary [rank] Professor of [department]. Voluntary Faculty may not describe themselves in any manner that suggests that they are members of the full-time faculty. Voluntary Faculty must use the approved 'voluntary' title on all occasions when referring to their University status and rank. Failure to denote voluntary status shall be grounds for termination.

University policy stipulates that Voluntary Faculty may acknowledge their affiliation 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.

Appeals of decisions on appointment, reappointment or promotion may be filed by members of the Voluntary Faculty with the Deputy Dean for Faculty/Professional Affairs who will review relevant issues with the appointing Department Chair. If agreement with the candidate is not forthcoming from this review, the candidate may request that the issue be considered by the standing committee of the School Council (the Appointment, Promotion and Tenure Committee) which recommends to the Dean on appointments, promotions and tenure of full-time faculty. This Committee shall deliberate the issues presented and report to the Dean who will make the final decision.

## **6. VOLUNTARY EMERITUS FACULTY**

Voluntary Emeritus status may be awarded to retired members of the Voluntary Faculty who have previously held the title Voluntary 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. The title will be granted only for outstanding and prolonged service to the School of Medicine.

## **7. BENEFITS**

Voluntary 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 voluntary faculty are provided by the School of Medicine. These include:

- 1) the right to participate in Departmental academic activities including Grand Rounds
- 2) access to the Medical School Library
- 3) 10% discount at the Medical Bookstore
- 4) A Voluntary 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.

## **8. TERMINATION OF VOLUNTARY FACULTY**

Voluntary Faculty status may be withdrawn during the period of appointment from individuals with 30 days notice. Such termination requires no justification.

Voluntary Faculty status may be withdrawn without notice for causes which may include any of the following: moral turpitude or misconduct; behavior unbecoming to a faculty member of the University of Miami School of Medicine; incompetence or dishonesty in teaching, clinical service and/or research; neglect of duty; personal conduct which impairs the individual's fulfillment of institutional responsibilities; and misuse of the voluntary faculty rank or title.

## **9. INSURANCE**

Appointment of individuals to the Voluntary 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.

Voluntary 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. For such University-related, clinical activities, and for any other professional services provided to University of Miami patients through 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. Voluntary 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.

The University of Miami Self Insurance Plan does not provide insurance coverage for the professional services of members of the Voluntary Faculty, nor is the University responsible for services rendered by members of the Voluntary Faculty, outside of the services as may be assigned by the University. It is the individual responsibility of the Voluntary Faculty member to maintain his or her own professional liability insurance coverage and to comply with state laws pertaining to professional liability insurance coverage.

Members of the Voluntary Faculty are covered by the University's Worker's Compensation Insurance so long as the occurrence falls within the services to or on behalf of the University and are assigned by the University.