Western University
OF HEALTH SCIENCES

College of Optometry

# Faculty Guidelines
# Approved March 2021

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# Section I: Faculty Bylaws

The Western University of Health Sciences College of Optometry will adhere to the policies of WesternU as set forth in the University Faculty Handbook. Should any conflict arise between the policies and procedures contained in this document and the University Faculty Handbook, then the University Faculty Handbook prevails.

**Faculty Responsibilities**

The faculty of the College of Optometry are responsible for the curriculum in accordance with University and College policies and procedures.

For Regular Faculty Members, the following professional areas of responsibility include but are not limited to:

- Contributing to the creation and revision of academic policies and procedures;
- Participating in the shared governance of the College and University;
- Developing, evaluating, and implementing academic programs;
- Developing, evaluating and implementing admission processes;
- Evaluating student performance;
- Determining requirements for graduation and recommendation of candidates; and
- Maintaining continued professional development.

## A. College of Optometry Faculty Assembly

Responsibilities

- The purpose of the Faculty Assembly is to provide an effective vehicle by which to focus on the educational mission of the College of Optometry, address the needs and concerns of its faculty, formulate positions on key issues representing faculty consensus, and make decisions within its delegated scope of authority.
- The College of Optometry Faculty Assembly is the voice of the Faculty and is the final word on Faculty positions for all matters brought forward from Standing Committees or Ad Hoc Committees and Task Forces that represent the faculty.
- The College of Optometry Faculty Assembly may amend these bylaws at any meeting of the Faculty when a quorum is present, by a two-thirds majority vote, provided that a written notice of the proposed amendment and a statement of the purpose and effect of the proposed amendment are distributed to each member of the Faculty at least seven business days prior to the meeting at which the amendment will be considered, or provided that the motion was originally presented at a previous faculty meeting. Approved changes will not be in effect until July 1st of the subsequent academic year.

Voting Membership

- All faculty who are employed by the College of Optometry and are eligible to vote in the Faculty

Assembly of the University will have the right to vote in the College of Optometry Faculty Assembly and will be eligible to serve on standing committees and ad hoc task forces.

- A quorum of the College of Optometry Faculty Assembly shall require the presence of 50% or more of those eligible to vote; for electronic votes, a quorum is to be assumed since all voting faculty have the opportunity to participate.

Meetings of the Faculty Assembly

The Chair of the Faculty will preside over meetings of the Faculty Assembly. The Vice Chair will preside in the absence of the chair. Administrators, who are non-voting faculty, will ordinarily not attend meetings of the Faculty Assembly unless their presence is specifically requested. The Chair or Vice-Chair will arrange the dates, times, and venues of these meetings and notify the faculty in a timely manner. Additional meetings of the Assembly may be called by a written request from three voting members delivered to the Chair or Vice Chair. Resolutions before the Assembly will pass by simple majority of the votes cast. The Assembly has final approval on all proposals put forward by faculty committees. The Assembly and its Committees will create minutes of every official meeting. These minutes will be stored electronically and made accessible to all faculty.

## B. Officers of the Faculty Assembly

A quorum of the Assembly shall elect by simple majority a Chair-Elect (to be called Vice Chair), who will serve a 2-year term. After a 2-year term, the Vice Chair will transition to the position of Chair. After a 2-year term as Chair, the Chair will transition to the position of Immediate Past Chair for an additional two years. If either the Vice Chair or Chair are unable to complete their term of service, an interim Vice Chair/Chair may be elected to complete the term. In the event that the Faculty Chair takes a leave of absence, an interim chair will be elected by the faculty for the duration of the leave.

Faculty Chair

The Faculty Chair will call and chair Faculty Assembly meetings and see that minutes of each meeting of the Faculty Assembly are taken and distributed to members of the Faculty Assembly in a timely manner. The Chair is the elected leader of the faculty and is responsible to provide effective communication between the faculty and the administration of the college and university. The Chair will not take over responsibility that administrators hold as related to committee regular procedures or special projects. The Chair also chairs the Executive Committee. The Chair and Vice Chair are ineligible to serve on any of the other standing committees.

Faculty Vice Chair

The Faculty Vice Chair represents the Chair where necessary, presides over meetings in the absence of the Chair, assists in conducting Assembly business, and serves as a representative and spokesperson for the Faculty Assembly when and if asked by the Chair.

Faculty Immediate Past Chair

The Immediate Past Chair will serve as a consultant to the Faculty Chair. The Immediate Past Chair is responsible for administering annual elections for standing committees of the Faculty Assembly and will work with committees and faculty members to garner willing faculty who will be able to fulfill the needs of the committees. In the absence of an Immediate Past Chair, the Chair will be responsible for administering annual elections.

## C. Committees of the Faculty Assembly

Overview of committee structure and governance

Faculty Assembly committees consist of five standing committees: 1) Promotion and Tenure, 2) Curriculum, 3) Admissions, 4) Student Performance, and 5) Executive.

A high level of faculty involvement is also presumed in a number of university, professional, administrative or ad hoc committees or task forces.

Each Standing Committee will be made up of faculty members elected by the faculty assembly or appointed by the administration. In the case that no faculty member runs for election to fill a committee vacancy, the Executive Committee, in consultation with the Dean, will appoint a member to fill a 1-year term on the committee. Members serve three- year, staggered terms which begin July 1 and end June 30.

If the term of service for any committee member or chair is temporarily or permanently interrupted, an interim may be elected (or appointed in the case of an appointed position) to fulfill the vacant term as needed.

For all committee decisions, the majority shall rule on any decision brought to a vote, with the decision defeated in the event of a tie vote.

Each standing committee adopts its own procedures that are to be reviewed and ratified by the Faculty Assembly before going into effect.

Standing committee chairs report and coordinate business for the faculty through the Faculty Chair.

### 1. Promotion and Tenure (PTC)

Responsibilities

- Adhere to the processes and standards of evidence for promotion and tenure detailed in the University Faculty Handbook, Section II.M;
- Assess each candidate for promotion or tenure and make a recommendation to the Dean of the College of Optometry and University Provost as detailed in the University Faculty Handbook, Section II.M;
- The recommendation shall be a concise narrative. The summary will state the Committee's assessment of each candidate in the areas of teaching, scholarship, and service, with reference

to the standards;

- Review the application dossier of faculty at the time of the initial appointment to recommend rank, tenure or non-tenure track, and develop a promotion schedule for a regular faculty appointment. The PTC will provide a written recommendation to the College Dean and University Provost.
- Review and recommend changes in individual faculty position status, such as moves from tenure to non- tenure track or auxiliary to regular status.
- Review and recommend updates to College of Optometry policies pertaining to promotion and tenure as needed;
- Report to the College of Optometry Faculty Assembly regarding the Committee's activities and decisions.

Membership

- The Committee will be made up of five faculty elected members with the rank of associate professor or professor.
- A minimum of four faculty members are required for deliberations.

## 2. Curriculum

Responsibilities

- Provide oversight of the curriculum of the College of Optometry for all major curriculum changes, including, but not limited to:
  - Change in credit hours for a course
  - Curriculum mapping
  - Change in the term the course is delivered
  - Whenever substantial changes are made to a course's content
  - Whenever major changes in content are moved from one course to another
  - Determination of elective courses
  - Determination of new courses
- Provide recommendations to the faculty on proposed major curricular changes and obtain faculty majority approval prior to implementation;
- Assure that all Institutional Learning Outcomes and Program Learning Outcomes are covered with sufficient depth and breadth (i.e., check for omissions);
- Assure that any content redundancies are eliminated or justified;
- Manage the sequencing of courses to assure appropriateness;
- Provide for coordination of the Optometry Curriculum with the curricula in the other WesternU Colleges, as appropriate;
- Provide feedback to course instructors on the effectiveness with which each course's Specific Learning Outcomes are being met by review of various Assessment Tools;
- Draft assessments of individual courses and the overall curriculum as needed;
- Assess proposals for new or elective courses and make recommendations as to their inclusion or exclusion to the Faculty Assembly;

- Coordinate curriculum efforts as needed with the Clinical Education Group
- Deal with other such matters as may arise throughout the year pertaining to the curriculum;
- Report to the College of Optometry Faculty Assembly regarding the committee's activities and decisions.

Membership

- The committee will consist of five faculty elected members;
- The Associate Dean of Academic Affairs will serve as *ex-officio*, non-voting member;
- The Manager of Academic Programs will serve as *ex-officio*, non-voting member;
- Other *ad hoc* member(s), e.g. the Pumerantz library liaison to the College of Optometry and elected student curriculum representatives from each class year, will be invited to participate in the Curriculum Committee for ongoing review of the curriculum and/or other curricular elements, when their expertise is required; ad hoc members do not vote.

**3. Student Performance**

Responsibilities

- Maintain academic, professional, and conduct standards within the College of Optometry;
- Develop and propose standards for dismissal, probation, good academic standing, based on grade-point average, clinical performance, professional behavior, etc., to be included in the Catalog;
- Recommend students for academic promotion, probation, remediation, or dismissal from the College;
- Recommend students for academic or conduct suspension, medical and/or educational assessment;
- Follow University procedures for alleged violations of standards of academic integrity, professionalism, or student conduct;
- Report to the College of Optometry Faculty Assembly regarding the committee's activities and decisions;
- Determine students' eligibility for the NBEO Part 1 Examination for all who satisfactorily complete the eligibility requirements, as determined by the faculty;
- Recommend to the Faculty the awarding of the degree of Doctor of Optometry to all students who satisfactorily complete all requirements for graduation as stated in the College Catalog.

Membership

- The committee will consist of three faculty elected members, and 2 faculty members appointed by the College Dean.
- One member of the Admission Committee serves as a liaison to the Student Performance Committee as an *ex-officio*, non-voting member.
- The Dean shall appoint a student affairs professional from the College Administration to serve

as an *ex-officio*, non-voting member.

- Ad hoc members, such as a member of the Admission Committee, may be invited to participate in the Student Performance Committee when their input is needed; ad hoc members do not vote.
- A minimum of four faculty members are required for deliberations.

**4. Admissions**

Responsibilities

- Set admissions criteria;
- Analyze relationships between admissions criteria and academic outcomes to identify the most efficient predictors of successful performance by students in the College of Optometry;
- Participate in the review and selection process of potential students;
- Contribute to student recruitment efforts;
- Make a formal recommendation of acceptance status;
- Report to the College of Optometry Faculty Assembly regarding the committee's activities and decisions.

Membership

- The committee will consist of five faculty elected members;
- One member of the Student Performance Committee serves as liaison to the Admissions Committee as an *ex officio*, non-voting member.
- A minimum of three faculty members are required for deliberations.

**5. Executive Committee**

Responsibilities

- Serve as an appeals committee for instances in which proposals of the various standing committees are in conflict;
- Exercise oversight of these By-Laws and other faculty governance documents, such as the Faculty Guidelines of the College of Optometry;
- Report to the Faculty Assembly of the College of Optometry regarding the committee's activities and decisions.
- Nominate faculty for appointed positions as outlined in these bylaws, in addition to other positions that arise at the request of the faculty body or administration
- Advise the college dean on other faculty committee appointments external to the college.

Membership

- The Chairs of the four standing committees, the Faculty Vice-Chair, the Immediate Past Faculty Chair, and the Faculty Chair, who will also serve as Chair of the Executive Committee.

## D. Representation to the University's Academic Senate and other University Committees

Faculty are expected to participate in the shared governance of WesternU by serving on its committees. Committee descriptions can be found in the University Faculty Handbook.

Two faculty members shall be elected by the college faculty assembly for a 3-year staggered term to represent Optometry Faculty on the Academic Senate. An alternate will also be similarly elected.

Other University committee representatives will be elected or appointed as prescribed. In the cases of appointments by the college dean, these will be done in consultation of the Executive Committee. If the term of service for any committee member is temporarily or permanently interrupted, an interim may be elected (or appointed in the case of an appointed position) to fulfill the vacant term as needed, unless otherwise prescribed in the University Faculty Handbook.

## E. Other College Committees

Aside from the 5 standing college faculty committees, several other college committees have a shared role between faculty and administration or have a limited scope of function, but nonetheless require significant faculty involvement. These committees are asked to report and coordinate business for the faculty through the Faculty Chair or the designated standing committee chair.

If the term of service for any committee member is temporarily or permanently interrupted, an interim may be elected (or appointed in the case of an appointed position) to fulfill the vacant term as needed.

### 1. Clinical Education Group

Responsibilities

- Recommends clinical faculty appointments and selection of affiliated clinical education sites to the College dean;
- Reviews clinical educational outcomes on an annual basis, including review of clinical faculty and clinical sites for their educational value to students;
- Reviews and approves or disapproves applications for new clinical sites
- Assures alignment between program learning outcomes and clinic activities of students;
- Assures coordination among the various curricular elements responsible for pre-clinical and clinical education;
- Recommends systems for preceptor development, education, and support

Membership

- Chief of Optometric Staff;

- Course instructors of Patient Care Services courses;
- Director of Clinical Education
- Associate Dean of Clinical Affairs
- Ad hoc members, such as a member of the Curriculum Committee, the Manager of Clinical Education Programs, Chiefs of Services in the Eye Care Institute, or the Associate Dean of Academic Affairs may be invited to participate in the Optometry Clinical Education Group when their input is required.

### 2. Optometry Faculty Search

On an as-needed basis, the College Dean will convene a Faculty Search Committee. All open regular faculty positions are filled by conducting a national search.

Responsibilities:

- Recruits applicants, interviews candidates, and makes hiring recommendations to the Associate Dean of Academic Affairs. For faculty candidates whose job includes clinical responsibilities, the recommendations will also be sent to the Associate Dean of Clinical Affairs. The College Dean has final authority to make an offer and to negotiate terms. Ultimate approval rests with the Provost.
- Assist in the coordination of visits with candidates to the university to facilitate interactions with as many faculty members as possible. Student interactions are also encouraged.
- Consult with the PTC throughout the search as required by the college and university.

Membership:

- The Faculty Search Committee ordinarily consist of five faculty appointed members. Search committee membership will be determined by the anticipated faculty workload for position. For example, if a position is identified to have 60% administrative and 40% faculty FTE then search committee composition will be 60% administration, and 40% faculty.
- If the position is greater or equal to 50% faculty FTE, then a faculty will chair the search committee; if the position is less than 50% faculty FTE, then an appropriate administrator chairs the search. Search committee chairs are jointly appointed by the dean and faculty chair.
- Faculty Search Committees will have at least one faculty member, regardless of administrative FTE anticipated for the open position.

### 3. Awards Committee

Responsibilities:

- Determine students who are appropriately qualified to receive various awards, commendations, and scholarships and coordinate with Admissions Committee for recruitment scholarships.
- Once awardees are determined, the committee disseminates the information to CO

administration.

- The Awards Committee works with administration in the planning and implementation of Honors Day and Commencement Awards Ceremony.

Membership:

- The Optometry Awards Committee shall consist of three faculty members, elected by the Faculty Assembly.
- The Dean shall appoint a student affairs professional from the College Administration to serve as an *ex-officio*, non-voting member.

**4. Continuing Education Review Committee**

Responsibilities:

- Review proposals for continuing education courses (both in-person and on- line courses) to ensure quality of material prior to presentation.
- Review evaluations and other feedback assessing delivery of continuing education courses for continuous quality improvement.
- Provide direction and guidance in strategic planning for continuing education programs.

Membership:

- The Continuing Education Review Committee shall consist of two faculty members appointed by the College Dean
- The Director of Continuing Education serves as an *ex-officio*, non-voting member.

**5. Assessment Committee**

Responsibilities:

- Collect and share aggregated data at least once annually.
- Address issues regarding assessment of student learning, including NBEO performance, and pre-matriculation measures.
- Review and make recommendations regarding the process of program assessment.
- Monitor assessment activities by connecting assessment to program improvement.
- Make recommendations to College Administration and Faculty.

Membership:

- Four faculty members appointed jointly by the Faculty Chair and College Dean to include a representative of the Admissions Committee, the Curriculum Committee, and the Clinical Education Committee
- Director of Program Assessment, *ex-officio*
- Assistant Dean of Academic Support, *ex-officio*
- Associate Dean of Academic Affairs, *ex-officio*

- Ad hoc members, such as the Director of Operations, may be invited to participate when their input is required.

## Section II: Faculty Workload

### Introduction

Workload guidelines in the College of Optometry follow the accreditation standards adopted by the Accreditation Council on Optometric Education (ACOE) and the policies and procedures outlined in the Western University of Health Sciences Faculty Handbook. ACOE requires that adequate time and resources are available for faculty to provide education, service, scholarship, and patient care. For all regular faculty positions, this policy seeks to balance individual faculty teaching and clinic workload while assuring adequate time is available for scholarship and service.

The University's faculty handbook describes procedures for annual workload planning, factors to consider in assigning workload, and how overload assignments are to be managed. The University Handbook states that "every regular faculty will be directly involved in annual workload planning with the responsible supervisor" and that workload "will be determined jointly by the appropriate Dean, chairperson, or unit head in consultation with the faculty member."

### Workload Guidelines

1. These workload guidelines support but do not replace judgment in determining the distribution of work for individuals or among groups of faculty over time.
2. Factors that affect workload are described in the University handbook, Section II.L, and shall be considered in making individual workload assignments.
3. The College strives for equity among individual faculty member workload assignments. Workload assignments should be consistent with faculty member's credentials, qualifications, and expertise. Overload assignments should be temporary and not last more than one semester.
4. A faculty member's workload should be consistent with tenure and promotion criteria and annual evaluation guidelines.
5. A faculty member's workload is expected to be relatively stable from year to year, unless there is reasonable justification for change.
6. A change in the apportionment of duties cannot be made unilaterally by administrators or by faculty members.
7. The specific allocation of an individual's workload responsibilities shall be reviewed at least annually. The review should include individual promotion/tenure goals and progress.
8. Either the faculty member or the responsible administrator may initiate discussions of changes in allocation. These discussions should include individual promotion/tenure goals and progress.
9. Both the faculty member and the administration shall act in good faith to reach a mutual agreement.

# Section III: Promotion and Tenure Policy

For regular faculty hired after July 1, 2018, the Promotion and Tenure Committee (PTC) of Optometry follows the Institutional Promotion and Tenure Policy described in the University Handbook (II:M and Appendix V) and the College of Optometry Faculty Guidelines described below. Regular faculty hired before July 1, 2018 may choose to follow the current polices mentioned above or the previous College of Optometry Promotion and Tenure Guidelines found in Appendix 1.

The PTC follows the University Handbook policies for categories of faculty hires, initial appointments and contracts, tenure/non-tenure track transfers, and eligibility criteria for promotion and tenure.

## A. PTC Dossier

The PTC follows the policy of the University Handbook for constructing a promotion or tenure dossier with a few additional requirements, as described in the Handbook.

Evaluation for promotion and tenure will be made by the College of Optometry PTC. An eligible faculty member will be invited by the Chair of the PTC to submit pertinent information pertaining to his/her evaluation no later than one month preceding the Committee's due date for such materials. Noteworthy information pertaining to the review that occurs after the due date for P&T Committee review may be added to a file either by the candidate or PTC chair up until the time when the PTC's due date for such materials. Ordinarily, requested materials will include but are not limited to the following:

The candidate shall provide:

1. An updated C.V.
2. Copies of any and all documents that support, or are evidence of, the faculty candidate's efforts in the areas of teaching, scholarship, and service.
3. A narrative self-study. The narrative should include four (4) separate sections detailing accomplishments in teaching, scholarship, and service, and plans for future professional activity. Additionally, an introduction and conclusion section should be included.
4. Names, addresses, and email addresses of at least six individuals who could serve as an outside evaluator of the faculty candidate's professional and scholarly performance. At least three of these evaluators should be able to provide 'arms- length' reviews; that is, free from bias, including bias due to close personal or professional relationship with the candidate. The PTC understands that to have a meaningful evaluation the evaluator will have a professional relationship to a certain degree but the PTC's concern is to ensure that it is free from bias. The candidate should identify which names on the list are the 'arms-length' evaluators. The Chair of the PTC will solicit letters of review, and the candidate should not contact potential evaluators.

The PTC shall provide:

1. Student, peer, and outside group teaching evaluations, as applicable. Emphasis is to be placed on summative forms of evaluation, and formative evaluations should not be included in the promotion review file.
2. From the candidate's annual contracts during the evaluation period, the proportion of effort distributed between teaching, scholarship/research, and service.
3. Two to four letters of evaluation of scholarship from 'arms-length' reviewers, including but not limited to names provided by the faculty candidate. If there is a perceived conflict, the faculty candidate reserves the right to "contest" any of these evaluators but must provide a justifiable reason. The PTC must have at least 2 evaluations for the faculty candidate.
4. Three to five letters of evaluation from individuals selected by the candidate. These may be from persons internal or external to the University and do not need to be 'arms-length' evaluations.
5. For Tenure review - All annual tenure review reports by the PTC prior to the tenure evaluation.

Letters from outside reviewers remain confidential and are not available for the faculty candidate to review. All other material in the promotion review file is open to the faculty candidate.

It is the joint responsibility of the chair of the PTC and faculty candidate to assure the file is complete. Through the narrative self-study, the candidate makes the case that the information in her or his review file meets or exceeds the criteria for promotion and/or tenure. If there is any information that is absent from the faculty candidate's file, the PTC will review the file and determine the appropriate course of action (there may be a circumstance where the faculty candidate made every effort to complete his/her file but some of the information was out of the faculty candidate's ability to obtain). If the dossier is deemed to be incomplete, the P&T Committee may request that the faculty candidate provide further documentation to complete the dossier by a deadline to be established by the college P&T committee.

**B. Optometry Promotion & Tenure Standards**

Evaluation of auxiliary faculty will be performed by the Associate Dean of Academic Affairs according to the distribution of effort that has been negotiated in the member's contract.

Evaluations of regular faculty will be performed by the PTC, using the following standards:

> **Promotion or appointment to associate professor with tenure** requires excellence in teaching and scholarship with quality participation in service appropriate to rank, and the promise of continued professional growth.
>
> **Promotion or appointment to associate professor without tenure** requires excellence in teaching and at least good performance in the other two areas of evaluation, and the promise of continued professional growth.
>
> **Promotion or appointment to full professor with tenure** requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in teaching and scholarship, with high standards in service

and demonstrated leadership in his/her field , and national and/or international recognition for excellence in one or more of the areas evaluated.

**Promotion to full professor without tenure** requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in teaching and either scholarship or service, and national and/or international recognition for excellence in one or more of the areas evaluated.

**In cases where the faculty is an associate professor without tenure**, granting tenure requires excellence in scholarship, at least good performance in the other two areas of evaluation, and the promise of continued professional growth.

**In cases where the faculty is a full professor without tenure**, granting tenure requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in scholarship and either teaching or service, and national and/or international recognition for excellence in one or more of the areas evaluated.

**C. Optometry Post-File Review**

The PTC will make one of the following recommendations with adequate explanation. In cases of tenure-track faculty:

- promotion with tenure
- promotion without tenure
- promotion alone once tenure has been attained by the candidate
- deny promotion and/or tenure

In the case of non-tenure track faculty, recommendations will be made to grant or deny promotion. The results of the PTC's deliberations will be given in writing to the candidate, the Dean of the College of Optometry, and the Provost of the University.

If the candidate, Dean, or Provost do not concur with the recommendations of the PTC, the PTC must be notified by each with a written explanation based on their review of the candidate's dossier. Their evaluation may include information that was not available to the PTC, such as a confidential Human Resource matters or disciplinary actions against the candidate. However, when reviewing teaching, scholarship, and service, they should refer to the information in the candidate's dossier using the PTC policy and standards.

These dissenting opinions will become part of the candidate's review file and will be distributed by the PTC to the Dean and Provost. The candidate may make additional written comments to address concerns raised in dissenting opinions by either the Dean or the Provost; these additional comments will be given to the PTC, placed in the candidate's review file, and distributed to the Dean and Provost.

The Provost will notify the candidate, Dean, and PTC in writing of the final decision.

The Provost's approval is the final step in the process for promotion and/or tenure. If the promotion and/or tenure is denied, the reasons for the denial must be clearly communicated with the faculty member. If the faculty member feels that the promotion and/or tenure decision was unfairly determined, he/she has the right to an appeal through the Grievance Procedure as outlined in the University Faculty Handbook.

# Appendix 1: Historical Promotion and Tenure Information

Regular faculty hired before July 1, 2018 may choose to follow the promotion and tenure policies as outlined below.

## Section III - Faculty Appointment, Promotion, and Tenure

### A. Categories of faculty

The College of Optometry faculty are classified as detailed in section III B of the University Faculty Handbook. The following outline shows faculty categories and subdivisions appointed in the College of Optometry:

Regular Faculty
- Tenure track (full-time, contracted)
- Non-tenure track (annual renewable contract) Full time
  - Part time

Auxiliary Faculty Visiting
- Adjunct Research
- Clinical (unpaid volunteer clinical preceptors for students) Emeritus

Faculty

Non-tenured faculty appointments are made for faculty whose responsibilities are predominantly teaching (in class or lab) or as an administrator of didactic or clinical programs. In the area of service, all regular faculty are expected to contribute to the growth of the institution and participate in activities within the professional community. In the area of scholarship, all regular faculty are expected to demonstrate evidence of research and/or scholarly activity as defined within this document.

A faculty member who wishes to transfer from a tenure track to a non-tenure track appointment or from a non-tenure to a tenure track appointment may submit such a request in writing to the Promotion & Tenure Committee (PTC). The PTCs role is primarily advisory and will review any concerns with the faculty candidate. The PTC will then make a recommendation to the Dean. An individual seeking to switch from tenure to non-tenure track can make this request only once and must make this request prior to the submission of an application for tenure.

### B. Initial Appointment

At the time of the initial appointment, all negotiations will be made regarding the College of primary appointment, category, initial rank, credit for time in rank at other institutions, time remaining until eligibility for the next step in promotion or tenure, and initial tenure. Consideration will be given to the faculty member's prior academic rank and tenure status, if

applicable, level of prior achievements, and promise of future achievements.

For those faculty hired on the tenure-track or who switch to tenure-track, the faculty will continue to receive one-year renewable contracts during the probationary period. The probationary period is the timeframe prior to the faculty candidate being granted tenure.

If ranting of tenure is to be considered with the initial appointment, the faculty candidate will provide their tenure file from their previous institution or build a tenure file for review by the PTC, following the process described in Section G. The PTC will make its recommendation to the Dean. The Dean will then forward his/her recommendation to the Provost.

Written documentation of contract agreements and tenure awards, signed by the faculty candidate and by the Dean, shall be entered into the faculty candidate's personnel file and a copy given to the faculty candidate.

Initial appointments in all categories are made at the following academic ranks:
Instructor?

a. Assistant Professor: This title shall be given to someone who possesses a terminal degree in his/her discipline from an accredited institution and typically less than six years of academic experience. An individual whose initial appointment is at the rank of Assistant Professor may not be hired with tenure.

b. Associate Professor: In addition to having the qualifications required of an Assistant Professor, the appointee shall have demonstrated excellent performance in teaching or scholarship and at least good performance in all other areas in which faculty are evaluated (see Section H, File Review Criteria), and show promise of continued professional growth. An individual whose initial appointment is at the rank of Associate Professor may be hired with or without tenure.

c. Full Professor: In addition to having the qualifications of an Associate Professor, the faculty member must demonstrate excellence in two areas (scholarship, teaching and/or service) and document sustained records of accomplishment in all three areas. Additionally, the appointee shall have demonstrated national and/or international recognition in one of the areas in which the faculty are evaluated. An individual whose initial appointment is at the rank of Full Professor may be hired with or without tenure.

Regular Faculty will be evaluated for promotion and tenure by the College of Optometry PTC. Auxiliary Faculty will be evaluated for promotion by the Associate Dean of Academic Affairs. Emeritus Faculty are presumed to already hold the rank of Full Professor, thus further promotion is not applicable.

**C. Terms of Appointment [See *University Faculty Handbook* III, C.]**

Contracts: The academic year is ordinarily a 12-month period, from July 1 to June 30, including vacations. The initial contract with the College for full-time faculty will be for a

period of one academic year. Subsequent renewals of contract for tenure-track faculty will ordinarily be for five sequential one year periods unless the faculty member is dismissed with cause or is provided a nonrenewal of contract (see University Faculty Handbook item J, —Adequate Cause for Dismissal.). If tenure is granted, the faculty member will be issued a contract of continuous and indefinite duration subject to termination only for adequate cause, as stipulated by the Faculty Handbook and defined by each College, again barring dismissal for cause (UFH III J.)

Contracts for non-tenured positions with the College will follow stipulations stated in the Faculty Handbook of the University (UFH III C 1).

Notice of non-renewal of any one-year contract must be made in writing to the faculty member and the timeline will follow stipulations stated in the Faculty Handbook of the University (UFH III C 1).

To the extent negotiated with Associate Dean of Academic Affairs as a part of an annual contract, faculty involvement in off-campus research or professional service shall be counted as regular compensated time rather than as vacation or leave time.

## D. Tenure and Non-tenure track transfers

A faculty member who wishes to transfer from a tenure track to a non-tenure track appointment or from a non-tenure to a tenure track appointment may submit such a request in writing to the CO PTC. The PTC's role is primarily advisory and will review any concerns with the faculty candidate. The PTC will then make a recommendation to the Associate Dean of Academic Affairs, who will make a recommendation to the Dean of the CO. The Dean of CO will make the final determination whether such a request is granted. An individual seeking to switch from tenure to non-tenure track can make this request only once and must make this request prior to the submission of an application for tenure.

For faculty who switch from non-tenure track, time in rank while on the non-tenure track typically will not typically transfer to the tenure track. A request can be made to apply years served on the non-tenure track to the probationary period for tenure, but it must be made at the time of the request in writing to the CO PTC to transfer to the tenure track. Otherwise, the tenure clock will begin with the date of the new appointment, and a timeline for attaining tenure will be established at the time based on the Eligibility to apply for Tenure standards, described in Section F.

Time in rank requirements for promotion are not affected by tenure track status.

## E. Promotion

Time in rank requirements

To apply for promotion from Assistant Professor to Associate Professor, the individual typically has completed five years of service at the rank of Assistant Professor, such that promotion would occur at the end of the sixth year of service. To apply for promotion from

Associate Professor to Full Professor, the individual typically has completed five years of service at the Associate Professor rank, such that promotion would occur at the end of the sixth year of service at the rank of Associate Professor.

Credit toward promotion based on prior service at other institutions is to be negotiated with the Dean at the time of initial appointment .

Requests for consideration for promotion with fewer than the specified number of years in rank ("early promotion") may be submitted in writing to the PTC, who will issue a recommendation to the Dean of CO. Further information may be necessary to render this recommendation. The final decision will be rendered by the CO Dean.

**F. Tenure** [also, See University *Faculty Handbook* III, M.]

Definition of tenure

A faculty member having tenure with the University will have a continuous appointment that may be terminated only for substantial evidence of adequate cause for dismissal (see University *Faculty Handbook* III, J).

Eligibility to apply for Tenure

Faculty having appointments in more than one program will be governed by the policy of the program of the primary appointment.

The date and window of time during which the faculty member is eligible to apply for tenure should be established at the time of initial appointment (see above). Timing of tenure reviews follows the policy defined by the University Faculty Handbook related to the Tenure Clock and Faculty Leave (III, M, 2.)

Formal evaluation for tenure will occur during the final year proceeding the date by which the tenure decision must be made. Normally the probation period for tenure is six (6) years. Credit toward tenure can be awarded for prior relevant academic experience at other institutions or for academic experience at WUCO on the non- tenure track.

For a faculty member hired as Assistant Professor, a decision regarding the granting of tenure must be made no later than 6 years of service in the tenure-track unless a situation arises that falls within the policy defined by the University Faculty Handbook related to Policies related to the Tenure Clock and Faculty Leave (III, M,
2, o.) An additional exception will be made for faculty who were hired prior to the graduation of the inaugural class (Class of 2013) such that the tenure clock will begin no earlier than July 1, 2013.

For a faculty member hired as Associate Professor/Full Professor on the tenure track, a decision regarding the granting of tenure must be made no sooner than two and no later than four years of

service in the tenure-track or as stipulated in the employee's hiring contract.

If tenure is granted, tenure commences with the start of the next academic year. In any case in which tenure is not granted, the faculty member will be given a one-year terminal contract as specified in the UFH.

**G. File Development/Building Process**

The following is the process the faculty candidate should follow developing his/her file for the promotion review and tenure review processes.

Evaluation for promotion and tenure will be made by the College of Optometry PTC. An eligible faculty member will be invited by the Chair of the PTC to submit pertinent information pertaining to his/her evaluation no later than one month preceding the Committee's due date for such materials. Noteworthy information pertaining to the review that occurs after the due date for P&T Committee review may be added to a file either by the candidate or PTC chair up until the time when the PTC's due date for such materials. Ordinarily, requested materials will include but are not limited to the following:

The candidate shall provide:

1) An updated C.V.
2) Copies of any and all documents that support or are evidence of the faculty candidate's efforts in the areas of teaching, scholarship, and service
3) A narrative self-study. The narrative should include four (4) separate sections detailing accomplishments in teaching, scholarship, and service, and plans for future professional activity. Additionally, an introduction and conclusion section should be included.
    a. The narrative on teaching should include: teaching philosophy, a description of overall efforts to become an effective teacher including a synopsis of student and peer evaluations and how they influenced teaching, and any special circumstances that helped or hindered teaching. It should be a minimum of 1 page in length.
    b. The narrative on scholarship should explain area(s) of interest and the significance to the profession. This section should include summaries of research projects and other scholarly activity. State the long term goal(s) for scholarly activity and the general plan to achieve the goal(s). It should be a minimum of 1 page in length.
    c. The narrative on service should provide a summary of the service rendered, beginning at initial appointment. Sustained efforts resulting in supportive, innovative, meaningful outcomes, and/or meritorious acknowledgment, should be reported. Leadership positions and accomplishments should be noted. It should be a minimum of 1 page in length.
    d. The narrative on future professional plans should identify goals for continued teaching, scholarship, and service relative to the allocation of time specified in the annual contract. It should be a minimum of 1 page in length.
4) Names, addresses, and email addresses of at least six individuals who could serve as an outside evaluator of the faculty candidate's professional and scholarly performance. At least three of these evaluators should be able to provide 'arms- length' reviews; that is, free from bias, including bias due to close personal or professional relationship with the

candidate. The PTC understands that to have a meaningful evaluation the evaluator will have a professional relationship to a certain degree but the PTC's concern is to ensure that it is free from bias. The candidate should identify which names on the list are the 'arms-length' evaluators. The Chair of the PTC will solicit letters of review, and the candidate should not contact potential evaluators.

The PTC shall provide:

1. Student, peer, and outside group teaching evaluations, as applicable. Emphasis is to be placed on summative forms of evaluation, and formative evaluations should not be included in the promotion review file.
2. From the candidate's annual contracts during the evaluation period, the proportion of effort distributed between teaching, scholarship/research, and service.
3. Two to four letters of evaluation of scholarship from 'arms-length' reviewers, including but not limited to names provided by the faculty candidate. If there is a perceived conflict, the faculty candidate reserves the right to "contest" any of these evaluators but must provide a justifiable reason. The PTC must have at least 2 evaluations for the faculty candidate.
4. Three to five letters of evaluation from individuals selected by the candidate. These may be from persons internal or external to the University and do not need to be 'arms-length' evaluations.
5. For Tenure review - All annual tenure review reports by the PTC prior to the tenure evaluation.

Letters from outside reviewers remain confidential and are not available for the faculty candidate to review. All other material in the promotion review file is open to the faculty candidate.

Before submitting a narrative self-study, the faculty candidate will have the opportunity to review teaching evaluations and all tenure review reports in applicable cases. In addition, before the chair of the PTC recruits outside evaluators that were not included in the candidate's list, she or he will consult with the candidate to determine who could provide an 'arms-length' review.

It is the joint responsibility of the chair of the PTC and faculty candidate to assure the file is complete. Through the narrative self-study, the candidate makes the case that the information in her or his review file meets or exceeds the criteria for promotion and/or tenure. If there is any information that is absent from the faculty candidate's file, the PTC will review the file and determine the appropriate course of action (there may be a circumstance where the faculty candidate made every effort to complete his/her file but some of the information was out of the faculty candidate's ability to obtain).

## H. File Review Criteria

Promotion and tenure are based on merit and are earned by achievement, as evidenced by the faculty member's total contribution to the overall mission of the CO, and the promise of future continued professional development. Depending upon circumstances, promotion and tenure may be considered together or individually. In cases where promotion alone is awarded, the promise of eventual tenure is not implied by the promotion. The performance record of a faculty member being considered for promotion and/or tenure will be evaluated in terms of the following areas: teaching, scholarship, and service. Candidates for tenure must simultaneously obtain or hold the academic rank of Associate Professor or Full Professor to be awarded tenure.

Tenure, with all its attendant privileges represents the most significant commitment the University can make to a faculty member; hence, the criteria for tenure consideration includes additional teaching, scholarship, and/or service requirements that are measurable and beyond those criteria for non-tenure track faculty.

While the College as a whole must excel in all of the following areas, individual faculty members may contribute in some areas more than others, depending on their assigned percentage of time to each area. Therefore, in evaluating the candidate's qualifications for promotion and/or tenure, reasonable flexibility shall be exercised. The PTC will consider how a candidate distributed the proportion of effort in each evaluation area during the performance review period.

### Criteria for Promotion and Tenure

**A. Teaching Activities** - Teaching activities of different faculty members are highly variable, which makes it difficult to directly compare one candidate's performance with another. The PTC will therefore maintain some flexibility in determining whether all of the suggested criteria are met. The following are lists of criteria that the PTC feels are highly suggestive of a candidate who satisfies the teaching requirement for promotion from one academic rank to another or for tenure. These criteria may apply to teaching activity in any or all of the following: classroom, laboratories and clinics.

**1. Criteria and Achievements (may include but are not limited to:)**

- Clinical Preceptor
- Instructor in a lecture or lab course
- Utilizes appropriate teaching tools (AV materials, laboratory equipment, etc)
- Participation in creation of test materials or proficiency objectives for lecture or lab courses
- Participation by invitation to present continuing education to professional groups (local societies)

- Participation in seminars/presentations to local community organizations/groups
- Participation in lectures/seminars to colleagues or faculty members of Western University (Western University – Grand Rounds)
- Demonstration of ability to independently design and present a course or a series of integrated learning experiences (i.e. elective courses, workshops)
- Demonstration of effective teaching abilities
- Demonstration of the ability to positively influence students
- Demonstration of ability to maintain and regularly update teaching materials
- Demonstration of ability to teach in a cooperative and professional manner with fellow faculty
- Contribution in optometry preparation courses by providing published examination review questions
- Participation by invitation in teaching program of other academic institutions
- Participation by invitation to present at nationally or internationally in an area of expertise
- Significant contribution in optometry preparation courses by providing a significant number of examination review questions and other review material.
- Participation in creation of manuals, chapters or textbooks
- Participation in mentoring of faculty members with less teaching experience
- Participation in mentoring of optometric students, resident, or graduate students in research or service projects
- Demonstration of contributions to interprofessional education
- Demonstration of the creation of innovative teaching methods
- Recognition of significant contributions earned/honorary appointments by professional organizations.

**2. Evidence and Documentation**

- Review of feedback provided by individuals who currently are or who have served in supervisory roles of the candidate
- Review of letters of recommendation
- Review of teaching awards
- Review of feedback from peer review processes
- Review of student evaluations
- Review of teaching materials provided by the candidate (syllabi, handouts, outlines, examinations, etc.)
- Review continuing education evaluations and other evaluations obtained during the candidates lectures at regional, state, national and/or international meetings

**B. Scholarly Activities -** Candidates being evaluated for promotion/tenure must demonstrate evidence of research and/or scholarly activity since the time of their last promotion. These activities should lead to publications in peer-reviewed journals, presentations at scientific/clinical meetings, grant applications, and active participation in a research program. The publications and presentation may involve scientific, clinical, and/or educational research. The role of the candidate must be made clear in these activities. Preparation of a significant research grant application and/or scholarly activity even though the outcome was not successful, (including rejected manuscripts, submissions for meeting presentations/posters, rejected grant applications, and manuscripts that are still under review or need revision before acceptance) should be mentioned if it explains a significant gap in productive activity in this area.

The PTC recognizes the tendency to equate scholarly productivity with the number of publications. It also recognizes that the nature of the research interests of the candidate may be such that significant publications can only occur infrequently. Considerations will also be given to the extent to which the candidate is engaged in other activities, which contribute to the intellectual and functional life of the institution.

The PTC also recognizes that individual faculty members have different areas of interest, carry out different assignments, and make a wide variety of contributions to the College and the rest of the academic community. The following activities are examples of acceptable research and scholarly activities.

**1. Criteria and Achievements (may include but are not limited to:)**

- Refereed or non-refereed publications
- Scientific papers or posters at meetings where abstracts are peer-reviewed
- Contribution of a book, book chapter, monograph, etc. which is reviewed by an editor/publisher and adds to the body of professional knowledge
- Serving as a moderator of scientific sessions
- Evidence of submission or funding of non-competitive/competitive funding for his/her research efforts
- Investigator on clinical trial or other research activities
- Manuscript reviewer/Editor or Editorial Board Member for a refereed journal
- Being an Editor of a multi-author book
- Evidence of internal or external funding for scholarly activities
- Supervision of junior faculty or graduate students with research/scholarly activities
- Development of new procedures, protocols, guidelines and/or techniques, including securing patents

**2. Evidence and Documentation**

- Review of feedback provided by individuals who currently are or who have served in supervisory roles of the candidate
- Review of letters of recommendation
- Review of awards or recognitions for his/her research or scholarly activities in the field
- Feedback on the quality of scholarly work as assessed by outside, independent reviews
- Review of quality of research publications as indicated by impact factor and prestige of journals in which publications appear, and number of citations
- Broad adoption or use of techniques/tools/procedures by the profession

**C. Service Activities** - Service activities in this area should reflect one's involvement in the institution and community. Willingness to participate and compatibility in one's working relationship with others should be exhibited. The following are lists of activities that the PTC feels are highly suggestive of a candidate who satisfies the service requirement for promotion from one academic rank to another or for tenure.

**1. Criteria and Achievements (may include but not limited to:)**

- Leadership roles in the university or college
- Committee service in the university or college
- Departmental service in the university or college
- Administrative service in the university or college
- Obtaining or maintenance of Fellowship or equivalent in professional associations (AOA, AAO, ARVO, COVD, etc.)
- Participation/Leadership role on professional committees (AAO section, ARVO committees, AOA committees, COVD committees, APHA section, etc.)
- Service-related presentations at professional meetings/seminars
- Presentations or providing educational services to the community
- Faculty Advisor for student organizations
- Participation/Leadership role in vision screenings / humanitarian services (VOSH, Lion's Club, Red Cross, etc.)
- Service to professional organizations and associations (international, national, state, local)
- Participation/Leadership role in interprofessional activities
- Participation/Leadership role on advisory or editorial boards of journals, or professional societies
- Reviewer for granting agencies (NIH, NEI, or similar national and international organizations)
- Awards, honors, and other service achievements

**2. Evidence and Documentation**

- Review of feedback from colleagues or peers who participated in the same/similar service activities
- Review of letters of recommendation
- Review of letters or acknowledgements
- Review of recognition or awards for service activities

**Promotion or appointment to associate professor with tenure** requires excellence in scholarship and at least good performance in the other two areas of evaluation, and the promise of continued professional growth.

**Promotion or appointment to associate professor without tenure** requires excellence in teaching and at least good performance in the other two areas of evaluation, and the promise of continued professional growth.

**Promotion or appointment to full professor with tenure** requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in scholarship and either teaching or service, and national and/or international recognition for excellence in one or more of the areas evaluated.

**Promotion to full professor without tenure** requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in teaching and either scholarship or service, and national and/or international recognition for excellence in one or more of the areas evaluated.

**In cases where the faculty is an associate professor without tenure**, granting tenure requires excellence in scholarship, at least good performance in the other two areas of evaluation, and the promise of continued professional growth.

**In cases where the faculty is a full professor without tenure**, granting tenure requires continued professional development and sustained records of accomplishment in all three areas (scholarship, teaching and service), demonstrated excellence in scholarship and either teaching or service, and national and/or international recognition for excellence in one or more of the areas evaluated.

## I. Post-File Review

The PTC will make one of the following recommendations with adequate explanation. In cases of tenure-track faculty:

- promotion with tenure
- promotion without tenure
- promotion alone once tenure has been attained by the candidate
- deny promotion and/or tenure

In the case of non-tenure track faculty, recommendations will be made to grant or deny promotion. The results of the PTC's deliberations will be given in writing to the candidate, the Dean of the College of Optometry, and the Provost of the University.

If the candidate, Dean, or Provost do not concur with the recommendations of the PTC, the PTC must be notified by each with a written explanation. These dissenting opinions will become part of the candidate's review file and will be distributed by the PTC to the Dean and Provost. The candidate may make additional written comments to address concerns raised in dissenting opinions by either the Dean or the Provost; these additional comments will be given to the PTC, placed in the candidate's review file, and distributed to the Dean and Provost.

The Provost will notify the candidate, Dean, and PTC in writing of the final decision.

**J. Promotion Criteria – Auxiliary Faculty**

Evaluation will be performed by the Associate Dean of Academic Affairs according to the distribution of effort that has been negotiated in the member's contract.

**K. Annual Performance Evaluations** [See University *Faculty Handbook* III, D.]

In order to provide an informed basis for the Dean to make recommendations to the Provost regarding merit-based salary increases (as required in the University *Faculty Handbook* III, D.), and in order for the College of Optometry to align financial incentives with exemplary service, the Dean shall oversee an annual faculty performance review. These evaluations will be aligned with the annual distribution of effort agreed on for each faculty member. The Dean will then convey his/her recommendations to the University administration.

Distribution of Effort [See University *Faculty Handbook* III, L.]

At the time of the annual renewal of contracts (but not as part of the contract or salary negotiations), each individual faculty member will negotiate with the Associate Dean of Academic Affairs regarding how they will expend their efforts for the coming year. These negotiations will encompass teaching (including clinical preceptor), scholarship, research, and service and will be expressed as a percentage of effort. Reasonable performance outcomes will be discussed and documented, and will vary depending on whether the faculty member is a full-time employee, or a part-time employee.

**L. Periodic Tenure and Promotion Review**. [See University *Faculty Handbook* III, M, 2.]

Prior to attaining tenure, the PTC will provide annual reviews of all tenure-track faculty to report on progress toward achieving tenure. Non-tenure track faculty will receive a review in their third year in rank to report on progress toward achieving promotion.

**M. Post-Tenure Review** [See University *Faculty Handbook* III, M.]

Tenured faculty will continue to receive annual performance evaluations for merit salary considerations.

No later than every six years, tenured faculty will complete a post-tenure review conducted by the PTC. The review file will contain the same information described above (Section III, E) with the exception that outside letters of review will not be solicited. If appropriate, the PTC review may be included at the discretion of the candidate. It is the joint responsibility of the chair of the PTC and candidate to assure the file is complete.

In a post-tenure review, faculty will be evaluated in areas of teaching, scholarship, and service and need to demonstrate continued professional growth and development. An unfavorable post-tenure review requires substantial evidence of adequate cause for dismissal as stipulated by the University Faculty Handbook (Section III. J).

In the event that the post-tenure review is not favorable, the PTC will submit a report to the Dean that outlines a plan of remediation, with a specified time period for completion, in consultation with the faculty member and the Associate Dean of Academic Affairs. The remediation process will be directed toward professional growth and development. Following the specified time period (but no more than two years), the PTC will re-evaluate the faculty member's progress toward achieving the goals specified in the remediation plan. If the PTC finds that remediation has been successful, a report of such will be forwarded to the Dean.

If the PTC finds that remediation has been unsuccessful, the Committee must recommend one of the following: (1) the transferal of the faculty member to a non-tenured status or (2) termination of continuous employment based on substantial evidence of adequate cause for dismissal (University Faculty Handbook Section III. J)

**N. Retirement** [See University *Faculty Handbook* III, H.]

Faculty anticipating their retirement should give written notice of their intentions to the Dean at least one year prior to their anticipated retirement date. Such written notification will allow a formal search and recruitment process to commence in order to fill the position. Emeritus status may be granted upon retirement (See University *Faculty Handbook* Appendix IIIF).

**O. Appeals Process** [See University *Faculty Handbook* III, M, 2.]

Faculty members who have been denied tenure, promotion, or whose continuous appointment has been terminated without adequate cause may appeal the decision using the Grievance Procedure (University *Faculty Handbook,* Appendix II).