



Western
University
OF HEALTH SCIENCES

College of Optometry

**Faculty Handbook
2015-2016**

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Section I: Faculty Bylaws

The Western University of Health Sciences College of Optometry will adhere to the policies of Western University as set forth in the Faculty Handbook of the University, unless specified otherwise in this document.

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 Task Forces that represent the faculty.
- The College of Optometry Faculty Assembly has final authority over these Faculty Bylaws, Section I of the College of Optometry Faculty Handbook.

Membership

- All faculty who 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. The Faculty Handbook of the University (page 30) states, “A voting member of the Faculty Assembly is any faculty member, employed for no less than 50% of full-time work, who performs non-administrative academic duties at least 50% of his/her contractual time.”
- A quorum of the College of Optometry Faculty Assembly shall require the presence of 50% or more of those eligible to vote; absentee votes will be counted when registered with the Chair of the Faculty prior to the meeting in which the proposal is considered. Absentee votes do not count towards a quorum.
- A quorum of the Assembly shall elect by simple majority a Chair of the Optometry Faculty, who will serve for a 3-year term; the Chair may be elected for two consecutive three year terms, but may not serve for more than six consecutive years; the Chair will ordinarily not vote on matters before the Assembly except in cases when his/her vote will influence the outcome.
- Resolutions before the Assembly will pass by simple majority of the votes cast; in the event of a tie vote, a matter will be considered to be defeated;
- The Assembly has final approval on all proposals put forward by faculty committees.
- The Dean’s Executive Assistant or his/her designee will take minutes of each meeting of the CO Faculty Assembly and distribute the minutes to members of the Assembly in a timely manner.

Meetings of the Faculty Assembly

The Chair of the Faculty will serve as Chairperson of meetings of the Faculty Assembly. Meetings will usually begin with administrative reports from the Dean and the Associate Deans; followed by reports of the faculty chair, reports of standing committees, reports of ad hoc committees and task forces, reports from representatives to University-wide committees and task forces, old business, new business, good and welfare, and adjournment. Following their reports, administrators will ordinarily vacate meetings of the Faculty Assembly unless their presence is specifically requested by a majority of those present.

The College of Optometry Faculty Assembly will ordinarily meet two times per semester and once during the summer. The Executive Assistant to the Dean will arrange the dates, times, and venues of these meetings and publish them to the faculty, staff, and administration of the College of Optometry at least two weeks prior to the meeting date. Special Meetings of the Assembly may be called by a written request from three voting members delivered to the Executive Assistant to the Dean. Meetings will follow general principles of courtesy and collegiality and be conducted in a respectful and professional manner.

B. Committee Structure

Overview of committee structure and governance

Faculty committee structure consists 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 administrative or ad hoc committees or task forces, including but not limited to Clinical Education, Faculty Search, Awards, and Research.

Members serve three-year, staggered terms which begin July 1 and end June 30. Standing Committees will elect their own chair from among the committee members, except that student members are not eligible to serve as committee chairs. Committees will create minutes of every official meeting; these minutes will be kept on file by the Executive Assistant of the College of Optometry. 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.

The Chair of the Faculty also chairs the Executive Committee and is ineligible to serve on any of the other Standing Committees.

Standing Committees

1. Promotion and Tenure (P&T)

Responsibilities

- Adhere to the processes and standards of evidence for promotion and tenure detailed in Section III.

- Assess each candidate for promotion or tenure and make a recommendation to the Dean of the College of Optometry in a timely manner.
- The recommendation shall be a concise narrative and will state the Committee's assessment of each candidate in the areas of teaching, scholarship, and service, with reference to the standards presented below, followed by a summary;
- 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 members elected by the faculty as a whole to serve for 3-year, staggered terms, unless a departmental structure is created, in which case the Committee will consist of one representative elected by each department and additional members elected from the faculty at large so that the Committee will have five voting members; with rank of associate professor or professor.
- The Committee will NOT include a student member;
- A minimum of four faculty are required for deliberations.

Administrative report: Associate Dean of Academic Affairs

2. Curriculum

Responsibilities

- Provide oversight of the curriculum of the College of Optometry for all major curriculum changes, such as:
 - Change in credit hours for a course
 - 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 Program Learning Objectives 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 every course instructor 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 the appropriateness of proposals for new or elective courses and make recommendations as to their inclusion or exclusion to the Associate Dean of Academic Affairs;
- 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 annually at the final faculty meeting of each academic year.

Membership

- The committee will be made up of two faculty appointed by the Associate Dean of Academic Affairs and either one representative elected by each department or three elected by the faculty as a whole, and one student member, selected by the student body by a process of their own determination;
- Ad hoc member(s) may be invited to participate in the Curriculum Committee for the evaluation of particular courses and/or other curricular elements, when their expertise is required;
- All regular members, including the student, but not ad hoc members, will have one vote;
- The Library Director or his/her designee will serve as an ad hoc member.

Administrative report: Associate Dean of Academic Affairs

2. Student Performance

Responsibilities

- Maintain academic standards within the College of Optometry;
- Propose standards for dismissal, probation, and good academic standing, based on grade-point average, clinical performance, professional behavior, etc., as articulated in the Student Catalog;
- Evaluate academic performance of every student each semester;
- Recommend students for promotion, academic probation, remediation, dismissal from or readmission to the College, academic or conduct suspension, educational assessment and recommendation, or no action be taken;
- Evaluate Professionalism of every student each semester (Appropriate professional and personal conduct shall include, but is not limited to, student attendance at all laboratory and small group experiences, cooperation with instructors, completing all assigned course work and examinations on time, a cooperative attitude toward fellow students, faculty, Western University personnel, and personnel of affiliated clinical rotation sites and hospitals. Additionally, student interactions with patients, ethical decisions, and personal appearance and demeanor appropriate to the

circumstances is deemed a component part of appropriate professional/personal conduct.);

- Report to the College of Optometry Faculty Assembly regarding the committee's activities and decisions annually at the final faculty meeting of each academic year;
- The Student Performance Committee also has the responsibility of recommending to the Faculty as a whole the awarding of the degree of Doctor of Optometry to all students who satisfactorily complete all requirements for graduation as stated in the University Catalog;
- All recommendations of the Student Performance Committee shall be in writing to the Dean, who will make the information available to the affected student. The Committee Chair will notify the students in cases of remediation or probation. The Associate Dean of Academic Affairs and/or Clinical Affairs will initiate leaves of absences. The Dean will notify the students in cases of suspension, dismissal or repeating the academic year;
- One member of the Student Performance Committee serves as liaison to the Admissions Committee.

Student Performance Committee Scope

For students who appear before the Committee, after review of the student's records and/or personal/professional conduct, the recommendation(s) of the Committee will be forwarded to the Dean of The College of Optometry for one of the following courses of action:

- commendation,
- promotion,
- probation,
- remediation,
- academic suspension (a condition in which a student who is already on academic probation for purposes of academic inadequacy but whom the Student Performance Committee deems should NOT be recommended for dismissal. Such student may be recommended for *academic* suspension and may repeat a given academic year [or portion thereof] at the time of the start of a succeeding academic term under conditions of probation until deemed by the Dean of the College of Optometry to have satisfactorily remedied the academic conditions that motivated the academic suspension in the first place).
- conduct suspension (defined as those conduct/behaviors that are deemed by the Student Performance Committee to be adversely affecting the student's optometry school performance and ability to engage the subject material, but the behavior-conduct does not in the opinion of the Committee warrant a recommendation of dismissal. Examples of behavior-conduct that may warrant a conduct suspension by the Student Performance Committee include but are not limited to: cheating on an examination or assisting another student to cheat on an examination, misrepresenting another's coursework or research as their own. Persistent inattentiveness, tardiness or absences from laboratory sessions, small group presentations, or

clinical rotation experiences in the 3rd and 4th years. The Student Performance Committee reserves the option of determining if other types of behavior-conduct not specifically delineated here that may interfere with a student's successful performance within the College. A student would be recommended for conduct suspension for a period of time deemed appropriate by the Dean of the College of Optometry, but generally would not exceed one academic year or until the conditions that provoked the conduct suspension in the first place were satisfactorily remedied in the opinion of the Dean.)

- dismissal from the college,
- psychological, medical and/or educational assessment,
- referral to the University Conduct Committee,
- no action,
- The Committee can require tutoring for students in academic difficulty.

Student Performance Committee issues pertaining specifically to professionalism

1. For professionalism-behavioral-conduct issues affecting College of Optometry students, the entry point for either the Student Performance Committee is a formal complaint made in writing by another student, a faculty member, or a staff member to the Associate Dean of Academic Affairs concerning the involved student. The Associate Dean will determine if the issue should be dealt with unilaterally by the Dean of the College of Optometry him/herself or referred to the Student Performance Committee of the College of Optometry. The Student Performance Committee can also request that the issue(s) be remanded to the Dean of The College of Optometry with a rationale as to why this would be more appropriate to address the issue(s). The Student Performance Committee will conduct its meetings with the involved student present with or without legal counsel (as is their choice) and minutes of the meeting recorded.
2. For those behavioral-conduct issues that either have a significant potential for criminal penalties or if there are jurisdictional disputes among the different colleges, then those behavioral-conduct issues will be referred to the Dean of the College of Optometry. Examples of these behaviors include but are not be limited to: theft/vandalism of college or university property, theft/vandalism of student, staff or faculty property, illegal use/selling of medication/drugs (see University policies regarding the manufacture, sale or distribution of controlled substances), physical assault/battery, physical harassment (see University policies regarding sexual harassment).

Appeals Process

The Dean of the College of Optometry has final authority in matters pertaining to students enrolled in the College of Optometry. The Dean has the authority to affirm, deny or send back to committee for further deliberation any recommendations regarding any student.

A student may appeal (see Student Catalog) the decision of the Dean of the

College of Optometry to the Provost of the University *only for cause*: demonstrable evidence of bias on the part of the Student Performance Committee and/or the Dean of the College of Optometry, evidence of a failure on the part of the Student Performance Committee and/or the Dean of the College of Optometry to adhere to policy or unintentional or intentional misrepresentation of the facts of the case, or if additional pertinent information is made available to the Dean of the College of Optometry, the Student Performance Committee, and/or the Provost that could conceivably affect the original Student Performance Committee recommendations and/or Dean's decision.

Decisions of the University Provost will be final.

Membership

- The committee will be made up of two faculty appointed by the Associate Dean of Academic Affairs and either one representative elected by each department or three elected by the faculty as a whole.
- One member of the Admission Committee serves as a liaison to the Student Performance Committee ex officio (non-voting)
- Faculty members will serve three year staggered terms; the student member will serve for a one-year term;
- All members, including the student, will have one vote.

Administrative report: Associate Dean of Academic Affairs

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;
- Make the final selection of acceptances from among applicants;
- Report to the College of Optometry Faculty Assembly regarding the committee's activities and decisions annually at the final faculty meeting of each academic year.

Membership

- The committee will be made up of two faculty appointed by the Associate Dean of Academic Affairs and either one representative elected by each department or three elected by the faculty as a whole, and one student member, selected by the student body by a process of their own determination;
- All members, including the student, will have one vote; the majority shall rule on any decision brought to a vote, with the decision defeated in the event of a tie vote;
- One member of the Admissions Committee serves as liaison to the Student Performance Committee.

Administrative report: Dean of the College of Optometry

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 Handbook of the College of Optometry;
- Report to the Congress of the College of Optometry regarding the committee's activities and decisions for the previous academic year.

Membership

- The Chairs of the four standing committees and the Chair of the Faculty, who will also serve as Chair of the Executive Committee;

Administrative report: Dean of the College of Optometry

C. Representation to the University's Faculty Senate

Two faculty members shall be elected by the faculty as a whole for a 3-year staggered term to represent Optometry in the Academic Senate. These members will be recommended for official appointment by the Academic Senate.

D. Administrative or ad hoc Task Forces

1. Optometry Clinical Education Committee

Responsibilities

- Reviews clinical faculty and clinical venues for their educational value to students on an annual basis;
- Assures alignment between program learning objectives and clinic activities of students.

Membership

- Service chiefs
- Associate Dean of Clinical Affairs
- Associate Dean of Academic Affairs
- Director of Clinical Education

Administrative report: The Associate Dean of Academic Affairs and the Associate Dean of Clinical Affairs

2. Optometry Faculty Search

On an as-needed basis, the Associate Dean of Academic Affairs will convene a Faculty Search Committee for the College of Optometry.

Responsibilities:

- Recruits and interviews candidates for faculty positions and to make recommendations to the Associate Dean of Academic Affairs. If the Associate Dean of Academic Affairs concurs with recommendations, they will be forwarded to the Dean, who, except in unusual circumstances and for cause, will forward them to the University Provost, who has final authority to make an offer and to negotiate terms. It is understood that for faculty whose job includes clinical responsibilities, the recommendations will also be sent to the Associate Dean of Clinical Affairs, who will have major input and influence over who is recommended to the Provost.

Membership:

- The Faculty Search Committee shall be made up of three to five faculty members appointed by the Associate Dean of Academic Affairs to serve for one academic year. Except in unusual circumstances, such as the possibility of a conflict of interest, the Chair of the faculty will hold one of the seats on this committee.

Administrative Report: Associate Dean of Academic Affairs

3. Optometry Research Committee

Responsibilities

- Facilitate, encourage, lead scholarly activity among the College of Optometry faculty;
- Provide feedback and guidance to College of Optometry faculty seeking internal and/or external funding for their scholarly activities;

- Advise the Associate Dean of Academic Affairs as to
 - Trends in research relevant to the mission of the College of Optometry,
 - Funding sources for College of Optometry faculty doing research,
 - The quality of scholarly activity performed by College of Optometry faculty.

Membership

- The Optometry Research Committee shall consist of three members appointed by the Associate Dean of Academic Affairs

Administrative Report: Associate Dean of Academic Affairs

4. Awards

Responsibilities:

- Determine students who are appropriately qualified to receive various awards, commendations, and scholarships.

Membership:

- The Optometry Awards Committee shall consist of three members appointed by the Associate Dean of Academic Affairs

Administrative Report: Associate Dean of Academic Affairs

5. Continued 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 members appointed by the Dean with *ex officio* membership by the Director of Clinical Education.

Administrative Report: Dean

6. Other University-wide committees:

Representatives from the College of Optometry to University-wide committees will be recommended by the Associate Dean of Academic Affairs for appointment by the Academic Senate (see page 32-38 of the Faculty Handbook of the University).

Section II - Departmental Structure and Processes

At its beginning the College of Optometry will not have a departmental structure.

The need for departments must arise from the needs of the program at the behest of the Faculty.

At such time as the Faculty deems it necessary, valuable or useful to have a departmental structure, the Faculty Assembly will elect a task force consisting of three faculty elected by the faculty as a whole to draft a policy to propose said departmental structure. The Associate Dean of Academic Affairs and the Associate Dean of Clinical Affairs will serve as ad hoc members of this task force.

The Dean of the College of Optometry will have the final authority to ratify the existence of and the organizational details of a departmental structure.

Section III - Faculty Appointment, Promotion, and Tenure

3. Promotion and Tenure (P&T)

Responsibilities

- Adhere to the processes and standards of evidence for promotion and tenure detailed in Section III of the University Faculty Handbook of Western University of Health Sciences (hereafter termed “*University Faculty Handbook*” or “UFH”).
- Assess each candidate for promotion or tenure and make a recommendation to the Dean of the College of Optometry in a timely manner.
- Produce a recommendation in concise narrative form stating the Committee’s assessment of each candidate in the areas of teaching, scholarship, service, with reference to the standards presented below, followed by a summary.
- Review and recommend updates to College of Optometry (CO) 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 members elected by the faculty as a whole to serve for 3-year, staggered terms so that the Committee will have five voting members;
- A minimum of four faculty are required for deliberations.
- At least (4) of the members of the committee must be at the rank of Associate Professor or above.
- A chair will be elected from among the members of the committee and will be a voting member of the committee.

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 PTC's 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 granting 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:

- 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).

Section IV –Policies, Procedures and Guidelines for Faculty Conduct

The following are guidelines. The ultimate authority for the conduct of courses, labs, clinics, etc., rests with the Course Instructors.

1. At the beginning of each course faculty are expected to provide students with a syllabus indicating materials to be covered, related assignments, methods of evaluation, grading policies, textbooks (required and recommended), and schedule of examinations.
2. Measures should be taken to assure that an atmosphere conducive to the highest standards of honesty and optimal student performance is maintained during tests.
3. In cases where student grades are posted publicly, it is necessary to insure privacy of students. This precludes use of students' names, initials, social security or locker numbers for purpose of identification.
4. Students are required to be present for all scheduled examinations and cannot begin an examination if one or more students taking the exam have already left the exam venue. If a student is tardy for an examination, and if no other student has left the rooms where the examination is being given, the tardy student will be allowed to take the examination, but must complete the examination by the scheduled ending time.

For a student to be allowed to take any examination at other than the scheduled time, the student must have prior approval of the Assistant Dean of Student Affairs AND the Course Instructor.

A student, who cannot attend an exam due to unforeseen circumstances, including illness, should phone or email the Assistant Dean of Student Affairs as soon as possible prior to or after the exam has been administered. A written explanation of the absence (including documentation on physician letterhead, in the case of illness) must be provided to the Assistant Dean of Student Affairs the next day the student is on campus.

5. The Course Instructor will be responsible for administering remedial examinations or providing or suggesting other means of remediation

A. Office Hours

All faculty members are expected to be reasonably accessible to students for consultation.

B. Examination Policies

- Questions ordinarily should conform to the simple multiple choice, true or false, or matching format with a maximum of five choices and with only one correct choice. NBEO style questions are encouraged.
- For laboratories, brief reports or attendance quizzes may be used to indicate a student's presence and participation, at the discretion of the teacher(s) and the lab coordinator.

C. Grading Procedures and Credit Hours

Course Instructors determine the components of the course and their weights in calculating course grades. Credit hours for a course are determined by the University's Registrar.

D. Standards of Satisfactory Progress

Students will be considered to be making satisfactory progress if they receive a grade of C or higher in all classes within a grading period.

Students not making satisfactory progress will be referred to the Student Performance Committee for assessment and possible action.

E. Student Club Advisement

Faculty advisors to student clubs serve as liaison with the Administration. They are to serve as consultants in the development of the organization's programs for each academic year. It is the faculty advisor's responsibility to ensure that the club's leadership submits a written summary of the year's accomplishments, including a financial report to the Vice President of University Student Affairs at the close of each academic year. Failure to comply with these guidelines may result in suspension of the club for one academic year.

F. Faculty Attendance and Absences

- The faculty member is responsible for meeting his/her classes according to the published schedule
- Whenever any change is anticipated in scheduled meeting time or place, the faculty member should provide adequate notice to members of the class AND to the Associate Dean of Academic Affairs
- In foreseen absences, the instructor should endeavor to have his/her classes covered or involved in meaningful activities (e.g. independent study) for which his/her presence is not necessary
- If a faculty member cannot meet a class for any unforeseen reason, the Associate Dean of Academic Affairs should be notified as soon as possible. This affords the Associate Dean the opportunity to inform the class and to make other arrangements for the class to be held.
- Faculty members have an obligation to attend scheduled faculty meetings and elected or appointed committee meetings whenever possible
