



FACULTY HANDBOOK



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Human Resource Policies and Procedures

**Please Reference Workplace Commitments within the Employee Handbook*

[Temporary Employment](#)

[Sick Leave](#)

[Family Medical Leave Act \(FMLA\)](#)

[Anti-Discrimination/Harassment \(Including Dating/Consensual Relationships\)](#)

[Drug and Alcohol Use/Drug Screening](#)

[Americans with Disabilities Act \(ADA\)/Americans with Disabilities Act Amendments Act \(ADAAA\)](#)

[Bereavement Leave](#)

[Student/Faculty/Staff Interactions](#)

[Conflict of Interest](#)

[Personnel/Student Personal Information/Records](#)

[Progressive Discipline](#)

[Due Process - Employees](#)

[Employee Evaluations](#)

Welcome and Overview

Welcome to Burrell College of Osteopathic Medicine (BCOM or “the company”). Every employee of BCOM is a vital part of what we do here. This handbook has been prepared to inform Faculty of the distinctive rights and responsibilities of faculty members at the Burrell College of Osteopathic Medicine, to present the College’s policies and procedures, to establish BCOM’s expectations and to provide a point of reference for all Faculty matters. Policies and policy documents cited in this Handbook may be found on the BCOM website, and specific policies applicable and relevant to portions of this Handbook are linked to the actual policy, as posted. The Handbook is not comprehensive and is one of several documents with information relevant to faculty life; rather, it offers an overview of the academic work environment.

Faculty members are also expected to observe the policies outlined in the BCOM Employee Handbook, which provides guidelines for all employees of the College, and to consult the Student Handbook and Catalog, which contains information about academic programs and policies. Faculty members are also expected to abide by the AOA Code of Ethics (Appendix 2). The duties and terms of specific academic appointments are delineated in individual contracts.

This handbook is not a contract, expressed or implied, guaranteeing employment for any length of time, and is not intended to induce any Faculty member to accept employment with the institution. BCOM reserves the right to unilaterally revise, suspend, revoke, terminate or change any of its policies, in whole or in part, whether described within this handbook or elsewhere, at its sole discretion. If any discrepancy between this handbook and current College policy arises, conformance to the current College policy shall take precedence. Every effort will be made to keep you informed of the College’s policies, however, we cannot guarantee that notice of revisions of this document will be provided. Feel free to ask questions about any of the information within this handbook. This handbook supersedes and replaces any and all personnel manuals previously distributed, made available or applicable to employees.

It is expected that all faculty members will read and consult the Handbook and understand the policies and procedures contained therein. Failure to do so does not excuse an employee from complying with its provisions. The following information is provided as a reference only. All employees should always refer to the appropriate policy or policies for full information. For questions, or more information, contact the Human Resources Office.

Topics in the Handbook are organized around the rights and responsibilities of the Faculty member as a general BCOM employee, and around the three principal responsibilities of the College professor: effective teaching, responsible scholarship, and institutional service, which involves participation in governance.

Overview of BCOM

The Burrell College of Osteopathic Medicine (BCOM) was formed as a privately funded college of medicine located in Las Cruces, New Mexico. BCOM's goal is to provide a critically needed solution to acute physician shortages in the "Borderplex" region of Southern New Mexico, West Texas, and North East Mexico. BCOM operates on the campus of, and in affiliation with, New Mexico State University ("NMSU"), a public university, with a wide variety of health care undergraduate and graduate programs. BCOM offers a traditional medical curriculum consistent with both the allopathic and osteopathic teaching models.

BCOM's Mission

Para la gente y el futuro: For the people and the future, the Burrell College of Osteopathic Medicine (BCOM) is dedicated to improving the health of the Southwestern United States and Northern Mexico through culturally humble undergraduate, graduate and continuing osteopathic medical education, research and clinical service to the community. BCOM is focused on increasing diversity in the physician workforce and fostering a practice of life-long learning, compassion, respect and excellence in its students.

COLLEGE POLICIES AND PROCEDURES

Faculty Definitions

Full-time Faculty

Full-time, benefits-eligible faculty members have a commitment to work for BCOM at least 1,500 hours per year, defined as a 72.5% full-time equivalency. Full-time faculty status may be granted to faculty who hold academic rank and are contracted to further BCOM's mission through administration, teaching, scholarly activity, service, clinical efforts and/or research. Specific levels of effort for teaching, research, scholarly activity, clinical activity and/or service are determined and assigned by the faculty member's Department Chair as a part of the annual faculty review process, and are reviewed by the supervising Associate Dean(s), the Senior Associate Deans, and the Dean/CAO on an annual basis. Full-time faculty will be assigned a full-time academic load.

Part-time Faculty

Part-time faculty members have a commitment to BCOM of less than 1,500 hours per year. Part-time faculty status may be granted to faculty who hold academic rank and are contracted to further BCOM's academic mission through administration, teaching, scholarly activity, service, clinical efforts and/or research for a level of effort appropriate to their overall time commitment to BCOM employment. The process for faculty appointment of part-time faculty follows the same process as for full-time faculty. Part-time faculty appointments are reviewed regularly. Part-time faculty who work less than 20 hours per week are not benefits eligible.

Adjunct Faculty

Adjunct faculty are fully qualified and credentialed professionals who have an academic relationship with BCOM but are not employed by BCOM. Adjunct faculty include those individuals who are committed to the academic program and/or the clinical training programs through episodic contributions to the academic teaching program. Adjunct faculty appointments will be reviewed every three years and will not have the responsibility of committee assignments.

Clinical Teaching Faculty (Preceptor)

Clinical Teaching Faculty (Preceptors) are fully qualified and credentialed professionals who are contracted by BCOM to provide clinical instruction and supervision to BCOM medical students within an affiliated hospital or medical facility during the 3rd and 4th year clerkships. Reappointments will be evaluated at least every 4 years or as the college deems necessary. Clerkship Preceptors, appointed as Clinical Teaching Faculty, do not receive appointments as Adjunct Faculty.

Professional Conduct

BCOM expects members of the Faculty to adhere to the highest standards of professional conduct and integrity. This ensures that the work environment is safe, comfortable and productive. Faculty should be respectful, courteous, and mindful of others' feelings and needs. General cooperation between coworkers and supervisors is expected. Individuals who act in an unprofessional manner may be subject to disciplinary action.

Effective Teaching

The Burrell College of Osteopathic Medicine provides quality healthcare education while inspiring students to serve with compassion, integrity and excellence, and the primary responsibility of the faculty is the education of the student. Essential elements in effective teaching are respect for academic freedom and responsible course oversight.

Academic Freedom

The College respects the academic freedom of faculty members and has adopted principles consistent with those promoted by the American Association of University Professors:

Faculty are entitled to full freedom in scholarly activity and in research, including publication of research results, subject to the adequate performance of other academic duties. Faculty are entitled to freedom in the classroom in teaching and discussing course topics. Faculty must take care to not introduce into their teaching controversial matters that have no relation to the subject of a course. The College will not impose any limitation on faculty members' exposition of their subjects within or outside the College. Faculty are entitled to the rights and privileges granted to them by virtue of citizenship and by membership in an academic

educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, though their special position in the community imposes specific obligations. As scholars and educators, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. If members of the College faculty observe these obligations and offer their opinions as private citizens, the College cannot impose any restraint on freedom of speech.

Any disciplinary action related to academic freedom that are initiated against a faculty member, including censure, reprimand, suspension, dismissal, or other disciplinary action, will be managed in accordance with the College's grievance and appeal processes.

Course Oversight

Responsibilities of Faculty, Course Directors, Department Chairs, and Administrators (Deans)

BCOM leadership, including Faculty and Deans, has a responsibility to establish and maintain a civil, productive, and inclusive learning environment. Instructors, as well as students, have an obligation to regard formal or informal learning sessions as a place for civil, courteous discourse. Instructors have a responsibility to accommodate students with documented disabilities and are encouraged to invite students to talk or communicate with them about such circumstances. Instructors have a responsibility to accommodate legitimate student absences and student exam conflicts in accordance with College policies regarding makeup work for legitimate absences, the scheduling of examinations, and designation of study time. Instructor obligations also include:

- providing course information
- providing feedback on student work
- the secure handling of examinations and exam question banks
- observation of, and adherence to, scheduled class times
- accessibility by students through office hours or appointments
- maintaining academic integrity, and reporting scholastic dishonesty
- maintaining a fitting learning environment in and out of the classroom

Educational materials and copyright restrictions

BCOM recognizes and respects the rights of the holders of copyright, and abides by the commonly accepted principles of "fair use". Fair use allows for the reproduction of copyright works for certain limited, educational purposes. The Copyright Act establishes a four factor test, the "fair use test," to use to determine whether a use of a copyrighted work is fair use that does not require the permission of the copyright

owner. To determine whether a proposed use is a fair use, Faculty must consider the following four factors:

1. **Purpose:** The purpose and character of the use, including whether such use is of a commercial nature, or is for nonprofit education purposes.
2. **Nature:** The nature of the copyrighted work.
3. **Amount:** The amount and substantiality of the portion used in relation to the copyrighted work as a whole.
4. **Effect:** The effect of the use upon the potential market for, or value of, the copyrighted work.

For further information and clarification, Faculty should seek guidance on questions regarding copyright issues from appropriate sources, including, but not limited to:

[CONFU: The Conference on Fair Use](#)
[Multimedia Guidelines for Fair Use](#)
[Guidelines for Digital Images](#)

Grades and confidentiality

Faculty share the responsibility for protecting the privacy rights of BCOM students and their records. All faculty are required to undergo training on FERPA, and should be familiar with the various obligations which FERPA imposes. College policy regarding the management of student records is based on this federal legislation. Disciplinary action, up to and including termination of employment, may result as a consequence for inappropriate handling or disclosure of FERPA-protected information

Syllabus, learning objectives, required texts, etc.

BCOM requires that all courses present a syllabus, which outlines course details, including: course requirements, teaching Faculty, required and recommended textbooks, method(s) of assessment, grading, and other specifics related to course instruction. The College has created syllabus templates for Faculty use, and requires Faculty to use an official template so that application of course policies is occurs in a consistent manner. Syllabus templates also include a “Reservation of Power Statement” which states:

“This syllabus is not intended as a contract between the students and BCOM. The curriculum, assignments, schedule, syllabus, and any information contained within the course can be altered or changed at any time. In the event of any alterations during the course, students will be informed officially through their BCOM email (*or appropriate source such as Canvas*). It is the student’s responsibility to obtain the changes or notices even if absent from class.”

Responsible Scholarship

Quality healthcare and medical education require responsible scholarship. Faculty are expected to observe ethical guidelines in education and research, to protect human subjects and animal welfare in research efforts, and to guard against scholarly misconduct in all aspects of their job performance.

Ethical Guidelines in Education and Research

As mentioned in the Introduction to this volume, Faculty members are expected to observe the policies outlined in this document (the BCOM Faculty Handbook); in the BCOM Employee Handbook, which provides guidelines for all employees of the College; and to consult the Student Handbook and Catalog, which contain information about academic programs and policies. Faculty members are also expected to abide by the AOA Code of Ethics (Appendix 1), and the American Association of College Professors Statement on Professional Ethics of 2009 (Appendix 2; and see section on "Avoiding Scholarly Misconduct" below). Wherever, and as appropriate, the terms Physician and patient may be replaced with Faculty and Student, to make the AOA Code of ethics more applicable to the academic situation of a medical school. The duties and terms of specific academic appointments are delineated in individual contracts.

Protecting Human and Animal Research Subjects

The College is committed to ethical conduct in research involving human subjects, as set forth in The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research, and has developed its own Institutional Review Board (IRB) to oversee all research involving human subjects. BCOM also has an affiliation with New Mexico State University to contract for the services of the NMSU IRB as necessity may require. Faculty are to follow the policies and procedures outlined in the Policy and Procedure Manual for Research with Human Subjects, which is available on-line and in hardcopy through the Director of Research and the Office of Research.

Faculty must be aware of the College's recognition of guidelines protecting animal welfare in research settings. The U.S. Government's Public Health Service (PHS) Policy on "Humane Care and Use of Laboratory Animals" requires institutions to ensure the appropriate care of all animals involved in research, research training, and biological testing. In keeping with PHS recommendations, researchers must follow the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training, available through the Director of Research and the Office of Research, anytime animals are involved in research or educational efforts. BCOM will utilize the services of the NMSU Animal Use and Care Committee to oversee research involving the use of animals.

Avoiding Scholarly Misconduct

Teaching and research are integral parts of higher education, for faculty members create as well as transmit knowledge. For this reason, accuracy and honesty in teaching activities and in research efforts are essential. Scholarly misconduct at BCOM is defined as any activity undertaken in a professional role which includes any issue of misrepresentation, dishonesty, coercion, or other wrongdoing, whether intentional or not.

"Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end, professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests,

these interests must never seriously hamper or compromise their freedom of inquiry." (American Association of College Professors, Statement on Professional Ethics, 1990)

Faculty members must adhere to accepted practices of scholarly research: to observe ethical standards; take credit only for their own work; avoid situations that compromise objectivity or create a conflict of interest; and abide by federal, state, and local laws. Faculty members must not falsify data, engage in plagiarism, abuse confidentiality, or violate research requirements.

A faculty member who is discovered to have engaged in scholarly misconduct will be subject to disciplinary action. Because scholarly misconduct is serious and can affect the reputation and legal liability of the College, oversight of misconduct policies and procedures is vested in the Dean/CAO and the President of the College.

Faculty, and any employee, have an obligation to report scientific and scholarly misconduct when it is observed or suspected, while avoiding frivolous or unsupported allegations. The appearance of misconduct may be due to misunderstanding by the observer. If misconduct is suspected, the faculty member should first present concerns to the alleged offender(s). However, if direct communication with the alleged offender is unsuccessful at resolving the issue, or is not feasible due to a power differential or other reasons, the matter should be taken to either the Associate Dean of Academic Affairs (for academic and/or teaching issues), or to the Director of Research (for issues related to research work). The appropriate supervisor will present the allegations to the Dean/CAO, and working together they will attempt to resolve the issue informally with the alleged offender(s). If an informal approach resolves the issue, no further action is taken, unless warranted by external exigencies. If the informal process does not resolve the issue, then a formal inquiry up to the presidential level will be required.

Notification of Funding Sources

The College bears responsibility for investigating and rectifying misconduct by members of the faculty, even when the misconduct involves extramurally-funded research governed by external regulations. If circumstances permit, allegations of misconduct will be handled internally, with action deferred to external agencies only when the internal process is insufficient to correct the problem or when mandated by policies and regulations of the external agencies. In this case, the extramural entity is notified under direction from the College President, and extramural entity's policies and regulations must be consulted and followed.

Institutional Service

Service to the community, profession, and institution is a third responsibility of Faculty members. Though details regarding the type and extent of service will vary from one Faculty member to the next, all Faculty are expected to engage in activities that serve the profession and contribute to the governance of the institution. Opportunities for institutional service include prospective applicant interviews, peer evaluation in hiring new faculty, peer evaluation in rank promotion of Faculty members, and membership on College committees.

Faculty Interviews with Students Applying for Admission

The academic capabilities and personal qualities of a student affect academic progress. Faculty help ensure that qualified, promising students are admitted to the academic program by interviewing applicants. Campus-based faculty members are asked to participate in half-day applicant interviews fourteen (14) times per year. Faculty members can schedule interview sessions that are convenient by contacting the Office of Admissions, or by using the Faculty sign-up options in the AMP software used by the Office of Admissions. Faculty members are also encouraged to welcome applicants and take a few minutes to answer questions about the BCOM educational program and student life.

Faculty Evaluation of Potential Faculty Appointments

Faculty participate in the evaluation of individuals who apply for faculty positions (full- or part-time) and for preceptor appointments. Each applicant will be evaluated by faculty members, who will make recommendations to the Department Chair and Dean through the Office of Human Resources. Applicants will then be subject to a complete credentialing process, which includes: documentation of education, including academic transcripts for terminal degree; recommendation letters; documentation of post-graduate education (residency for clinical faculty; post-doctoral fellowship for non-clinical faculty); background check, including criminal history and sexual offender database; and drug screening.

Adjunct faculty (full- or part-time), and clerkship preceptors, will also be subject to a credentialing process, which includes: documentation of education, involving confirmation of terminal degree; employment history since graduation; check of applicant's listed referees; current medical licensure, and verification of licensure status through a state licensure board; (for clinicians); and evidence of professional liability insurance (for clinicians); professional status verification the National Practitioner Data Bank (NPDB); and verification of enrollment in the Proactive Disclosure Service (PDS).

Faculty Promotion

Every Faculty member is expected to engage in teaching, research, and service, and where appropriate, healthcare delivery. The level of engagement in each area will vary by academic discipline and terms of Faculty appointment, as outlined in individual Faculty contracts. In faculty appointment and promotion, the primary commitments of a faculty member are considered, and an assessment made based on the opportunity to contribute in each area. Contributions in the areas of greatest responsibility are weighed more heavily in the evaluation. A record of competence and growth in discharging these responsibilities contributes positively to a Faculty member's status when making appointment and promotion decisions.

Full-time faculty are evaluated annually to provide a means of identifying and commending effective academic and scholarly performance, as well as to identify those areas of performance requiring further development. In the spirit of cooperation and collegiality, each faculty member has responsibilities of evaluation as part of professional growth and

development.

The general criteria to be considered for initial rank, promotion, or merit award include but are not limited to teaching, scholarship, and service, and a record of quality performance and potential for ongoing growth. The faculty member will be apprised by the appropriate Associate Dean of his or her overall contribution. Evaluation for promotion begins at the level of the Faculty Promotions Committee. The primary tool of evaluation is a faculty portfolio, the content of which is described in Appendix 5 of this document, and which is submitted to the Faculty Promotions Committee. General evaluation criteria may include, but are not limited to, the following:

Teaching:

- course content and design;
- course organization; course presentation skills;
- knowledge base of the faculty member; rapport with and counseling of students;
- collegiality/rapport with faculty members in the course; procedure for evaluation of student performance; and student evaluations

Service:

- participation in faculty standing and ad hoc committees;
- leadership role in curriculum development and implementation; clinical activity and health care delivery;
- curricular research programs, etc.; contribution to governance of the college;
- consultant to accrediting and other educational review boards; recruiting efforts;
- editorships and memberships on editorial boards; service on statewide or national committees;

Scholarship/Research;

- publication of research or academic studies;
- publication of textbooks, book chapters, review articles, case reports, technical and clinical procedures;
- contribution to professional organizations, i.e. attendance and presentations at professional society meetings;
- development of special teaching materials;
- consultation to professional journals as a manuscript referee, reviewer, etc.;
- submission of extramural grant proposals; participation in research peer review panels; conducting continuing medical education; and
- sponsoring and supervising student or postdoctoral research.

Promotion policies, guidelines, and procedural instructions are attached to this document as an appendix.

Work Performance

Expectations

BCOM expects every employee to act in a professional manner. Satisfactory performance of job duties and responsibilities is key to this expectation. Faculty should attempt to achieve their job objectives, and act with diligence and consideration at all times. Poor job performance can result in disciplinary action, up to and including termination.

Ethical Standards

BCOM strives to maintain the highest standards of personal, business and medical ethics. Faculty, and all employees, are expected to do the same. A Faculty member's daily activities on behalf of BCOM should always be carried out in an ethical and legal manner, and conflicts of interest should be avoided. Possible conflicts of interest should be reported immediately for review and/or approval.

Guidelines for Conduct

This Faculty Handbook contains the standards of conduct expected of BCOM Faculty. It is not possible to list every type of conduct which may result in disciplinary action. Therefore, Faculty should communicate with his/her Chair or supervisor if he/she is unsure of what to do in a given situation. The following conducts in the workplace or as a representative of BCOM anywhere offsite, are absolutely prohibited and can result in disciplinary action up to and including termination of employment:

- Abuse, mistreatment, or threats, either physical, verbal, or psychological to anyone.
- Engaging in acts of discrimination or harassment in the workplace;
- Falsification, misrepresentation or omission of information, documents or records.
- Using foul and/or abusive language.
- Discussing anyone's salary or hourly wage information.
- Disregard of one's appearance, uniform, dress or personal hygiene.
- Dishonesty.
- Commission of a crime.
- Excessive tardiness or unauthorized absence by an employee from his or her work station during an employee's working time.
- Immoral, indecent or disorderly conduct of any nature.
- Unauthorized use and/or possession of narcotic or dangerous drugs, or being under the influence of intoxicants or drugs on premises during working hours.
- Possessing, distributing or being under the influence of illicit controlled substances;
- Being under the influence of a controlled substance or alcohol at work, on company premises, or while engaged in company business;
- Any discourtesy, unkindness or impatience with any person.
- Possession of firearms or any other type of weapon while on company property.
- Damage, destruction or theft of company property, equipment, devices or assets;
- Unauthorized possession/use of property, equipment, devices or assets belonging to the

company, including removing company property without prior authorization or disseminating company information without authorization.

- Negligent or deliberate destruction, or misuse of property owned by the College.
- Unauthorized possession, use, copying or reading of BCOM's records, patient records, administrative data or disclosure of information contained in such records to unauthorized persons.
- Disregard for safety and security procedures.
- Acting in a manner which will damage the reputation of BCOM.
- Disparaging or disrespecting supervisors and/or co-workers.
- Any act of misconduct (including insubordination or refusal to comply with directives), incompetence, or any violation of this Employee Handbook.
- Any other action or conduct that is inconsistent with company policies, procedures, standards or expectations.

This list exhibits specific types of conduct or events that are subject to disciplinary action. It is not intended to be an all-inclusive list indicating every act that could lead to disciplinary action. BCOM reserves the right to determine the severity and extent of any disciplinary action based on the circumstances of each case.

In addition to the above, BCOM has adopted the American Osteopathic Association (AOA) Code of Ethics and it is expected that all employees will adhere to these guidelines. The AOA guidelines are available on American Osteopathic Association's website at <http://www.osteopathic.org/inside-aoa/about/leadership/Pages/aoa-code-of-ethics.aspx>. A copy of AOA's guidelines is also available from BCOM's Human Resources Department.

Performance Reviews

BCOM will communicate expectations and evaluate Faculty performance on a regular schedule, as outlined below. New Faculty hires will receive a 90 day evaluation (completed the month following the 90 day probation period), and an annual evaluation (to be completed in the month of May). The goal of a performance review is to identify areas where an employee excels and areas which may need improvement. Department Chairs are encouraged to provide feedback on a continuing basis regarding Faculty performance, and Faculty are encouraged to engage their Chair (or other supervisor) regarding expectations and the execution of their duties. The College uses performance reviews as a tool to determine pay increases, promotions and/or terminations. Chairs (or an alternate supervisor) may add any number of evaluations if performance issues are noted.

All performance reviews are based on merit, achievement and other factors that may include, but are not limited to:

- Quality of work
- Attitude
- Knowledge of work
- Job skills
- Attendance and punctuality
- Teamwork and cooperation

- Compliance with company policy
- Past performance reviews
- Improvement
- Acceptance of responsibility and constructive feedback
- Meeting specific goals and job requirements

Faculty should note that a performance review does not guarantee a pay increase or promotion. Written performance evaluations may be made at any time to advise employees of unacceptable performance. Evaluations or any subsequent change in employment status, position or pay does not alter the employee's at-will relationship with the College. Any questions regarding performance expectation or evaluations should be directed to the supervisor conducting the evaluation.

Insubordination

Administrators, Chairs and Faculty should interact with mutual respect and common courtesy. Faculty are expected to take instruction from Administrators, Chairs, or other persons of authority. Deliberate failure to comply with instructions or unreasonably delaying compliance without justifiable cause is considered insubordination. Acts of insubordination are subject to disciplinary action, up to and including termination.

If a Faculty member disagrees with a Chair or other supervisor, the Faculty should first try to mediate the situation by explaining their position. Whenever possible, a compromise should be worked out and agreed upon, and any acts or accusations of insubordination avoided.

Disciplinary Policy

Grounds for Disciplinary Action

BCOM reserves the right to discipline and/or terminate any employee, including Faculty, who violates company policies, practices or rules of conduct. Poor performance and misconduct are also grounds for discipline or termination.

Procedures

Disciplinary action entails any one of a number of options used to correct inappropriate or unacceptable behavior/actions. Multiple disciplinary actions can be imposed and need not be sequential or progressive. The following are examples of the types of employee discipline that may be imposed:

- Verbal warning
- Written reprimand or warning
- Performance Improvement Plan (PIP)
- Probation with specified conditions for a specific period of time
- Suspension from employment for a specific period of time
- Demotion
- Involuntary Termination and/or dismissal for cause.

The course of action will be determined by BCOM at its sole discretion as it deems appropriate; not every action above may be followed in the given order, dependent upon the severity of violation of policy.

Termination

Employment with BCOM is on an at-will basis and may be terminated voluntarily or involuntarily at any time. Upon termination, a Faculty member is required:

- to continue to work until the last scheduled day of employment;
- to turn in all reports and paperwork required to be completed as a part of their job performance when due and no later than the last day of work;
- to return all files (including electronic), documents, equipment, keys, access cards, software or other property belonging to the College that are in the possession, custody or control of the Faculty member;
- to participate in an exit interview as requested by the Office of Human Resources.

College Property

Acceptable Use of College Property

BCOM property, such as equipment, vehicles, telephones, computers, electronic devices, and software, is not for private use. These devices are to be used strictly for College business, must be used in the manner for which it was intended. Upon termination, Faculty are required to surrender any College property in their possession. BCOM computers, internet access and email services are a privileged resource, and must be used only to complete essential job-related functions. Faculty are not permitted to download any “pirated” software, files or programs and must receive permission from a supervisor before installing any new software on a College computer. Files or programs stored on College computers may not be copied for personal use.

Phones are provided for business use. BCOM requests that Faculty minimize personal calls while at work. If urgent, please keep personal calls to a minimum and conversations brief. Personal long distance calls are not permitted.

Employees are reminded that they should have no expectation of privacy in their use of College computers or other electronic equipment.

All employees must acknowledge that they have read and understand the terms of the Acceptable Use Policy. Violations of this policy may cause restriction or elimination of access, disciplinary action or civil or criminal penalties.

Privacy

Employees and employers share a relationship based on trust and mutual respect. Nevertheless, BCOM retains the right to access all company property including computers, desks, file cabinets, storage facilities, and files and folders, electronic or otherwise, at any time.

Academic Freedom

The College respects the academic freedom of Faculty members and has adopted principles consistent with those promoted by the American Association of University Professors (AAUP).

“Faculty are entitled to full freedom in scholarly activity and in research, including publication of research results, subject to the adequate performance of other academic

duties. Faculty are entitled to freedom in the classroom in teaching and discussing course topics. Faculty must take care to not introduce into their teaching controversial matters that have no relation to the subject of a course. The College will not impose any limitation on faculty members' exposition of their subjects within or outside the College. Faculty are entitled to the rights and privileges granted to them by virtue of citizenship and by membership in an academic educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, though their special position in the community imposes specific obligations. As scholars and educators, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. If members of the College faculty observe these obligations and offer their opinions as private citizens, the College cannot impose any restraint on freedom of speech."

Academic freedom implies that faculty will be permitted to produce work reflecting their own views and theories, and not be bound to those of administration or trustees. The prevailing academic practice has been to treat the faculty member as the copyright owner of works that are created independently and at the faculty member's own initiative for traditional academic purposes. For work to belong to the institution, the content must be controlled by the institution. In academic works "the faculty member rather than the institution determines the subject matter, the intellectual approach and direction, and the conclusions" based on the current state of knowledge in the discipline. (*Statement on Copyright*, AAUP Policy Documents & Reports 182-183, 9th ed. 2001).

Faculty work is not generally considered 'work-for-hire'. Examples of work-for-hire would include institution-directed or assigned works, such as a recruitment brochure written by an admissions director, an affirmative action report written by a department chair, or a catalog of coursework for the institution.

Any disciplinary action related to academic freedom that is initiated against a faculty member, including censure, reprimand, suspension, dismissal, or other action, will be managed in accordance with the College's grievance and appeal processes.

Acceptable Use Policies

Sensitive Electronic Information:

BCOM has established a three-tier Data Classification Standard to identify the security requirements for how data should be handled. The three tiers are Sensitive, Restricted, and Public.

1. Sensitive Electronic Information, or SEI, refers to data that BCOM must protect by law, or that BCOM protects to reduce institutional risk. The College will provide training opportunities to Faculty and Staff, as appropriate to their job requirements, on the handling of SEI. Some important examples of SEI include:
 - a. Protected Health Information, or PHI. Refer to the Uses and Disclosures of Protected Health Information Policy and the HIPAA FAQs for more information on identifying and managing PHI.

- b. Social Security Numbers, or SSNs.
- c. Credit/debit card numbers and other financial account information.
- d. Student information, as defined by the Federal Educational Rights and Privacy Act (FERPA).
- e. Other Personally Identifiable Information, or PII, as may be defined by New Mexico Statute.

Passwords

Strong passwords must be used to secure access to critical systems and data. A single compromised password can lead to a significant data breach. BCOM relies upon individual faculty members, and all employees, to protect passwords at all times.

1. Everyone using BCOM IT resources must create and use passwords that comply with the BCOM Password Standard.
2. Passwords must be changed as required by College policy. The IT Department will send out automated reminders several days prior to a password's expiration in those cases where password changes/updates are required.
3. BCOM passwords are never to be shared with another individual, including Help Desk staff and Administrative Assistants. Doing so is a breach of policy and can result in disciplinary action.
4. Never use your BCOM password on a non-BCOM system (e.g. for personal email, banking, or social media site).
5. Avoid writing your passwords on paper (e.g. sticky / post-it notes) which may be found and used by unauthorized individuals.

Security Issues Related to Email and Web Browsing

Think before opening/clicking on links and attachments in emails. Inspect email addresses and web site URLs for content that points to unfamiliar sites, and be suspicious of any phishing request (release or sharing of a BCOM username or password).

Phishing refers to the act of a malicious individual attempting to gain access to sensitive information, such as usernames and passwords, by impersonating a trustworthy party. BCOM users frequently are targeted by phishing emails and phone calls. It is critical for all BCOM to be vigilant for suspicious communications.

1. Email attachments and downloaded files, particularly Office documents (Word, Excel, PDF, etc.), archive files (e.g. .zip, .rar, etc.), and executable files (e.g. .bin, .exe, .run, etc.) should be accessed with extreme caution. Check with the BCOM Help Desk if questions arise.
2. Never open an email attachment from an unknown or untrusted source, or if an unexpected message/file/request is received. Contact the BCOM Help Desk to report any suspicious behavior.
3. Faculty should never provide their password to anyone. If a request to supply your password via email or phone is received, it should be considered fraudulent and reported to the BCOM Help Desk at (575) 674-2390.

Protecting Workstations and Laptops

Never uninstall or alter the configuration or operation of any systems management agent

or anti-virus software that is installed on a BCOM workstation or laptop. If issues arise, check with the BCOM Help Desk for assistance in resolving any issues.

Immediately discontinue use of any system that shows signs of being infected by a computer virus (also referred to as malware). See the “Recognizing and Reporting Security Incidents” section below for more information.

Arrange computer monitors so that, as much as possible, they are facing only the individual using them. If available, consider the use of screen filters to limit visibility to those directly in front of the screen. Each faculty member is responsible for ensuring that unauthorized individuals are not able to view screen content.

Log off or lock workstations or laptops if leaving the system unattended. Screen locks should be configured to automatically lock a screen after a maximum of 15 minutes, and to require a password be entered to unlock the screen.

Per BCOM policy, all laptops must be fully encrypted using an ISO-approved solution, unless the Chief Information Officer (CIO) has granted an exception. Ensure that laptops are stored in secure locations when unattended. If possible, never leave them in a car, and if you must, place them in a locked hidden location, like a trunk.

Installing hardware or software on workstations and laptops is on an as-needed basis, and requires extreme caution. Only hardware or software authorized by the College may be installed, and the BCOM Help must be consulted before making any hardware or software changes to your system.

Protecting Mobile Devices (Smartphones, Tablets, etc.)

When connecting mobile devices to BCOM’s email system, a basic set of security controls will be enforced on your device. These include the following:

- Automatic locking of the device after three minutes of inactivity, and requirement of a passcode (minimally numeric, alphanumeric recommended) to unlock the device. A password history is maintained to prevent the successive re-use of passcodes.
- Automatic wipe of the device after ten successive failed attempts to unlock the device.
- Encryption is enabled on the device and for any external storage cards (e.g. SD Cards) on Android devices.
- You are responsible for applying software updates to your device and any installed applications as soon as practical after being made available by the vendor.
- Do not “jail break” or “root” your device. Doing so disables basic security controls on the device, and increases the chance of a malware infection.
- Only install apps from legitimate sources (i.e. the Apple App Store or Google Play).
- If your device has been lost or stolen, please note that BCOM reserves the right to remotely wipe the device to prevent the loss of PHI.

Protecting Data Storage, Transmission, and Backups

Except for specifically approved uses, such as receiving BCOM email on personal smartphones or mobile devices, do not store BCOM SEI on non-BCOM owned systems or devices, such as personal computers at home. Approved storage of PHI and other SEI on mobile devices or removable media (e.g. portable hard drives, memory sticks, flash drives, CD/DVDs, etc.) must be encrypted in accordance with the BCOM IT Standards.

Use of file sharing or cloud-based services for data containing SEI (e.g. Dropbox, SkyDrive, Google Drive, etc.), other than those provided by the College, is not allowed without prior approval from the BCOM CIO.

Clinical data may not be shared with vendors or other third parties who perform services on behalf of BCOM unless there is a signed agreement governing data security and usage. Such an agreement must be approved and signed by the CIO.

Research data collected from BCOM clinical activities under an IRB-approved protocol must be stored on BCOM managed servers, not any other third party servers, unless:

- (a) it has been fully de-identified or anonymized,
- (b) outlined in an informed consent, or
- (c) a Data Transfer Agreement is in place to allow the third party to receive that data.

When sending clinical data, research data, or other SEI outside of the BCOM network, SSL-encrypted protocols such as HTTPS, SFTP, or SCP must always be used.

User devices, including workstations, laptops, and other mobile devices, are generally not backed up. Any data stored on a user device may be permanently lost in case of a system failure or the loss of the device. Instead, store data on BCOM servers through network shared drives. External data recovery services (e.g. to recover data from failed hard drives) may not be used unless approved by the CIO.

Dispose of all old storage media, including but not limited to hard drives and backup tapes by returning them to the BCOM Help Desk.

If you have any questions about how to securely store, manage, or transfer data, please contact the BCOM IT Help Desk for assistance.

Securing Electronic Communications

Only use a BCOM approved email system for BCOM communications. Currently approved email systems include the BCOM Exchange server and BCOM's Microsoft Office 365 email solution. Personal email accounts through services such as Gmail, Yahoo, and Hotmail, or external sites that aggregate email accounts, may not be used to conduct BCOM business.

PHI must never be posted on social media sites such as Facebook, Twitter, online forums, and other sites unless they have been specifically approved for PHI.

BCOM email containing PHI or SEI may not be forwarded to a non-BCOM email account.

Email containing SEI that is sent outside of BCOM must be sent using the Secure Email feature in the BCOM E-mail system. This feature is accessed by using the "Sensitive Electronic Information" button in Outlook. For instructions, or more information, on using Secure Email, contact the BCOM IT Help Desk.

The BCOM Electronic Communications Policy provides further requirements for securing electronic communications, including faxing and text paging.

Extreme caution must be used with photography and videography inside of clinical facilities to prevent inadvertent disclosures of PHI. Please refer to the *Burrell College of Osteopathic Medicine Video Release Form*.

Physical Security

Report unauthorized or unknown people that appear in non-public areas to a manager or facilities security officer. In areas that require badge access, do not allow others to follow you through a door without badging in.

Retrieve printed sensitive information immediately upon printing. When disposing of hardcopy, use bins that have been marked for the disposal of confidential documents. If those are not available, use a crosscut shredder.

Recognizing and Reporting Security Incidents

A security incident is an event that may result in the confidentiality, integrity, or availability of BCOM information systems or data being compromised. Indications of a security incident may include the following:

- The intentional or unintentional misuse of patient information, information pertaining to BCOM faculty, faculty, or students, BCOM computer systems, or other information that is classified as sensitive or restricted.
- Theft or loss of a computer or mobile device (e.g. smartphone or tablet) that is either owned by BCOM or possibly stored or had access to BCOM patient information or other sensitive data.
- Observing odd behavior or other signs that a computer may have been infected with malware or otherwise compromised by an intruder.
- Clicking on a link or opening an attachment in a suspicious email.
- Finding evidence that a BCOM system, application, or data set may have been modified or accessed without authorization.
- Storing patient information or other sensitive data in an insecure manner on a workstation, computer media (e.g. flash drive or CD/DVD), or unauthorized web site (e.g. file sharing sites such as DropBox).
- Leaving printed output containing patient information or other sensitive data in a location where unauthorized individuals may view it.
- If you suspect someone knows your password, your last date and time noted on the login screen is not correct, or your account has been locked out.
- Faxing, mailing, or emailing patient information or other sensitive data to an incorrect phone number or address.

If an information security incident is observed or suspected, please take the following steps:

- Report the incident immediately to the BCOM IT Help Desk by calling (575) 674-2390.
- Immediately discontinue using any computer encountering a security incident until the BCOM IT Help Desk has evaluated the situation.
- If the incident involves the loss or theft of a computer or mobile device, contact the BCOM IT Help Desk, who will assist you in filing a police report.

Acknowledgement of Receipt
Faculty Handbook (Employee Copy)
(Employee Copy – Keep with handbook)

I acknowledge that I have received a copy of the BCOM Faculty Handbook.

I understand that I am responsible for reading the information contained in the Handbook. I understand that the handbook is intended to provide me with a general overview of the company’s policies and procedures. I acknowledge that nothing in this handbook is to be interpreted as a contract, expressed or implied, or an inducement for employment, nor does it guarantee my employment for any period of time.

I understand and accept that my employment with the company is at-will. I have the right to resign at any time with or without cause, just as the company may terminate my employment at any time with or without cause or notice, subject to applicable laws. I understand that nothing in the handbook or in any oral or written statement alters the at-will relationship, except by written agreement signed by the employee and the Human Resource Director.

I acknowledge that the company may revise, suspend, revoke, terminate, change or remove, prospectively or retroactively, any of the policies or procedures outlined in this handbook or elsewhere, in whole or in part, with or without notice at any time, at the company’s sole discretion.

(Signature of Employee)

(Date)

(College Representative)

(Date)

Appendix 1

American Osteopathic Association Code of Ethics

American Osteopathic Association Code of Ethics

The American Osteopathic Association has formulated this Code to guide its member physicians in their professional lives. The standards presented are designed to address the osteopathic physician's ethical and professional responsibilities to patients, to society, to the AOA, to others involved in health care and to self.

Further, the American Osteopathic Association has adopted the position that physicians should play a major role in the development and instruction of medical ethics.

Section 1.

The physician shall keep in confidence whatever she/he may learn about a patient in the discharge of professional duties. Information shall be divulged by the physician when required by law or when authorized by the patient.

Section 2.

The physician shall give a candid account of the patient's condition to the patient or to those responsible for the patient's care.

Section 3.

A physician-patient relationship must be founded on mutual trust, cooperation, and respect. The patient, therefore, must have complete freedom to choose her/his physician. The physician must have complete freedom to choose patients whom she/he will serve. However, the physician should not refuse to accept patients for reasons of discrimination, including, but not limited to, the patient's race, creed, color, sex, national origin, sexual orientation, gender identity or handicap. In emergencies, a physician should make her/his services available.

Section 4.

A physician is never justified in abandoning a patient. The physician shall give due notice to a patient or to those responsible for the patient's care when she/he withdraws from the case so that another physician may be engaged.

Section 5.

A physician shall practice in accordance with the body of systematized and scientific knowledge related to the healing arts. A physician shall maintain competence in such systematized and scientific knowledge through study and clinical applications.

Section 6.

The osteopathic medical profession has an obligation to society to maintain its high standards and, therefore, to continuously regulate itself. A substantial part of such regulation is due to the efforts and influence of the recognized local, state and national associations representing the osteopathic medical profession. A physician should maintain membership in and actively support such associations and abide by their rules and regulations.

Section 7.

Under the law a physician may advertise, but no physician shall advertise or solicit patients directly or indirectly through the use of matters or activities which are false or misleading.

Section 8.

A physician shall not hold forth or indicate possession of any degree recognized as the basis for licensure to practice the healing arts unless he is actually licensed on the basis of that degree in the state in which she/he practices. A physician shall designate her/his osteopathic school of practice in all professional uses of her/his name. Indications of specialty practice, membership in professional societies, and related matters shall be governed by rules promulgated by the American Osteopathic Association.

Section 9.

A physician should not hesitate to seek consultation whenever she/he believes it advisable for the care of the patient.

Section 10.

In any dispute between or among physicians involving ethical or organizational matters, the matter in controversy should first be referred to the appropriate arbitrating bodies of the profession.

Section 11.

In any dispute between or among physicians regarding the diagnosis and treatment of a patient, the attending physician has the responsibility for final decisions, consistent with any applicable hospital rules or regulations.

Section 12.

Any fee charged by a physician shall compensate the physician for services actually rendered. There shall be no division of professional fees for referrals of patients.

Section 13.

A physician shall respect the law. When necessary a physician shall attempt to help to formulate the law by all proper means in order to improve patient care and public health.

Section 14.

In addition to adhering to the foregoing ethical standards, a physician shall recognize a responsibility to participate in community activities and services.

Section 15.

It is considered sexual misconduct for a physician to have sexual contact with any current patient whom the physician has interviewed and/or upon whom a medical or surgical procedure has been performed.

Section 16.

Sexual harassment by a physician is considered unethical. Sexual harassment is defined as physical or verbal intimation of a sexual nature involving a colleague or subordinate in the workplace or academic setting, when such conduct creates an unreasonable, intimidating, hostile or offensive workplace or academic setting. in the workplace or academic setting, when such conduct creates an unreasonable, intimidating, hostile or offensive workplace or academic setting.

Section 17.

From time to time, industry may provide some AOA members with gifts as an inducement to use their products or services. Members who use these products and services as a result of these gifts, rather than simply for the betterment of their patients and the improvement of the care rendered in their practices, shall be considered to have acted in an unethical manner.

Section 18.

A physician shall not intentionally misrepresent himself/herself or his/her research work in any way.

Section 19.

When participating in research, a physician shall follow the current laws, regulations and standards of the United States or, if the research is conducted outside the United States, the laws, regulations and standards applicable to research in the nation where the research is conducted. This standard shall apply for physician involvement in research at any level and degree of responsibility, including, but not limited to, research, design, funding, participation either as examining and/or treating provider, supervision of other staff in their research, analysis of data and publication of results in any form for any purpose.

Appendix 2

American Association of University Professors Statement on Professional Ethics

American Association of University Professors Statement on Professional Ethics

The statement that follows was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.

Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*,¹ or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.²

The Statement

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Notes

1. AAUP, *Policy Documents and Reports*, 11th ed. (Baltimore: Johns Hopkins University Press, 2015), 91–93.
2. *Ibid.*, 79–90.

Appendix 3

Burrell College of Osteopathic Medicine Policy and Procedure
on Faculty Promotion

Faculty Appointment –Assignment of Rank

Section 1. Determination of Rank

1) Initial Rank

- a) When a Faculty Search Committee makes a recommendation for a new faculty hire, the candidate's curriculum vitae (CV) will be forwarded, along with the Search Committee's recommended faculty rank for the candidate, to the Faculty Promotions and Evaluations Committee by the Search Committee Chair. The Faculty Promotions and Evaluations Committee will review and make a recommendation supporting or modifying the Search Committee recommendation, and will then forward their recommendation to the -the Office of Human Resources. The recommendation will be presented to the Dean/CAO and the President when the hiring requisition is submitted for approvals.
- b) At the time of initial appointment, the recommended faculty rank for clinical teaching faculty (preceptors) will be determined through the procedure described in the Preceptor Manual and are not eligible for rank and promotion through the same process as campus-based faculty.
- c) At the time of initial appointment, a similar process will be utilized for determination of rank at the time of appointment for adjunct faculty.

Adjunct Instructor: Holds an advanced degree and possesses proven expertise within their specialty.

Adjunct Assistant Professor: Holds a terminal degree in their specific field of expertise and has five years or less of professional experience.

Adjunct Associate Professor: Holds a terminal degree in their specific field of expertise. Has previously been awarded the rank of Assistant Professor (adjunct or regular appointment) and has greater than five years of professional experience.

Adjunct Full Professor: Holds a terminal degree in their specific field of expertise. Has been previously awarded the rank of Associate Professor (adjunct or regular appointment) and in addition has a distinguished record of accomplishment that leads to an international or, as appropriate, national reputation in his or her field. This individual has greater than ten years of professional experience with evidence of scholarships.

2) Promotion in Rank

a) Promotion process

- i) The promotion process may be prompted by a request from the faculty member seeking promotion, or by the Department Chair, by an Assistant or Associate Dean (with appropriate supervisory oversight), or by the Dean/CAO.
- ii) The requestor (faculty member) or recommender (Department Chair, appropriate Assistant or Associate Dean, or Dean/CAO) will communicate the request to the Promotions and Evaluations Committee by May 31.*
- iii) The Chair of the Promotions and Evaluations Committee will contact the faculty member to confirm that the faculty member is seeking promotion and understands the promotion process.
- iv) The nominated faculty member must submit his/her faculty promotion material/portfolio on or before July 31* of the year prior to the anticipated award of promotion.

- v) The Promotions and Evaluations Committee will process the promotions materials/portfolio and request review of a faculty person's promotions material and letter(s) of recommendations from the faculty person's Department Chair and external faculty reviewers. The Promotions and Evaluations Committee will communicate the general school criteria for promotion outlined in the Faculty Handbook along with specific departmental criteria approved by the Promotions and Evaluations Committee to ensure equitable evaluation of the faculty person.
 - vi) The Faculty Promotions Committee will critically evaluate the promotions materials/portfolio and letters of recommendation from the Chair and external faculty reviewers. They will provide a separate letter of recommendation based upon the faculty member's promotion materials/portfolio and the letters of recommendation from the Chair and external reviewers.
 - vii) All materials and letters of recommendation will be submitted to the Associate Dean of Academic Affairs. He/she will review all materials and provide a separate letter of recommendation to the Dean/CAO regarding the promotion.
 - viii) The Dean/CAO will review the findings and recommendations of all parties and make the final determination for promotion. He or she will provide written notification summarizing the findings and determination of promotion/non-promotion to the faculty person and Chair of the Promotions and Evaluations Committee.
 - ix) Written notification of promotion/non-promotion will be given to the faculty member and Chair of the Faculty Promotions Committee not later than twenty (20) business days after the Associate Dean of Academic Affairs presents the Dean/CAO with his/her letter of recommendation.
 - x) The President will relay the recommendations for promotion to the Board of Trustees at the next scheduled Board meeting before the start of the next fiscal year.
- b) Appeals process of promotion decision
- i) Depending on the outcome of the notification, a written appeal of the promotion decision can be initiated within ten (10) working days of said notification.
 - ii) The appeals committee will be appointed by the President and will consist of three (3) full-time faculty members, to include at least one (1) biomedical faculty member and at least one (1) clinical faculty member and one (1) assistant or associate dean not supervisory to the candidate.
 - iii) The findings and recommendations of the appeals committee will be made within thirty (30) days of receiving an appeal and will be forwarded to the President. The President will review the findings of the appeal committee along with each letters of recommendation included in the faculty person's promotional materials/portfolio and make the final appeals determination. He or she will notify the faculty person, Dean/CAO, Dean of Academic Affairs and Chair of the Promotion and Evaluation Committee of the outcomes of the appeal process and his/her final recommendation.

3) Criteria for Determination of Rank

The following minimum criteria are required for assignment of faculty rank.

- a) Instructor

- i) Doctoral degree in progress, master's degree awarded, a terminal degree or first professional degree in their field (Ph.D., D.O., M.D., M.L.S., J.D., or equivalent).
 - i) For physician faculty, a D.O. or M.D.; plus documented expertise in their area of instruction (e.g. certification or equivalent credentials in the field of practice);
 - ii) Candidates should be able to make an immediate contribution to the academic mission of the College including the supervised instruction of medical students.
- b) Assistant Professor
- i) Terminal degree or first professional degree (Ph.D., D.O., M.D., M.L.S., J.D., or equivalent);
 - ii) For physician faculty, D.O. or M.D. plus current board certification or license or equivalent credentials in the field of practice;
 - iii) Have potential to make a sustained contribution to the college mission and capable of independent scholarly activity. Evidence of this potential might include potential for academic productivity in teaching; publication of scholarly work; record of research funding and/or contributions to public health policy; clinical experience, competency and expertise; and evidence of teaching at a college or professional level.
- c) Associate Professor
- i) Terminal degree or first professional degree (Ph.D., D.O., M.D., M.L.S., J.D., or equivalent);
 - ii) ii) For physician faculty, D.O. or M.D. plus current board certification or equivalent credentials in the field of practice;
 - iii) Sustained performance at a level above the minimal standards set for assistant professor with evidence of a combination of educational productivity, scholarly productivity, service activities and/or clinical service (See *Appendix 2*).
- d) Professor
- i) Terminal degree or first professional degree (Ph.D., D.O., M.D., M.L.S., J.D., or equivalent);
 - ii) ii) For physician faculty, D.O. or M.D. plus current board certification or equivalent credentials in the field of practice;
 - iii) Sustained performance at a level above the minimal standards set for assistant professor with evidence of a combination of educational productivity, scholarly productivity, service activities and/or clinical service (See *Appendix 2*).

Evaluation for Faculty Promotion

Section 1. Special Considerations for Founding Faculty

Founding faculty effort with the following: curriculum development, achievement of full accreditation and developing programs for BCOM

Faculty hired by the College during fiscal years 2015-2016, 2016-2017, and 2017-2018 are designated Founding Faculty. Specific activities of these individuals that differ from other college faculty are outlined in Appendix 1. The founding faculty, in varying degrees, have devoted their efforts to developing the educational program for the DO degree at the expense of having protected time to produce individual scholarly works (see appendix 1). The highly integrative DO educational program necessitated that the efforts of these faculty were directed to having module or clerkship meetings to develop and integrate the content of these courses. Accreditation standards require the development of integrated formative and summative assessment questions related to overall goals and objectives that

require faculty to develop questions in group meetings much like processes of the NBOME and NBME. This process of continual quality improvement has been exercised since day one and the result is a dynamic and highly integrated educational program developed and approved by faculty and recognized by COCA.

Founding faculty who demonstrate significant involvement in the examples of founding faculty activities which are found in Appendix 1 may use these activities as evidence of one component of accomplishment for one step in rank for the promotion process from Assistant to Associate or from Associate to full Professor.

Section 2. Procedure for Evaluation

- 1) Every faculty member, indeterminate of current rank or specialty, shall be evaluated annually by his/her chair or supervisor to provide a means of identifying and commending effective academic and scholarly performance, as well as to identify those areas of performance requiring further development. General criteria for promotion shall be developed by the faculty promotion committee, posted, provided to each faculty member, and used during annual evaluation to assure faculty are on track.
- 2) It is the responsibility of the faculty member to submit a summary of his/her achievements to the department chair or supervisor in accordance with the General criteria listed in appendix 1 and 2 along with specific criteria that may be defined within their department and approved by the Faculty Council Executive Committee. Each department chair is responsible for initiating annual reviews of all faculty within the department, providing expectations for each faculty member commensurate with faculty rank and seniority, and providing evaluations of performance in scholarship, teaching, service and other assigned responsibilities.
- 3) The annual evaluation shall be available for review by the supervising dean. The faculty member shall be advised of his/her strengths and weaknesses on an annual basis by the department chair or supervisor and be counseled concerning his/her overall academic achievement as a faculty member.
- 4) A report of overall unsatisfactory performance of a faculty member must be accompanied by a written plan for improvement that has been agreed upon by both the faculty member and the department chair. Disagreements over the written development plan between the department chair and the faculty member, following an unsatisfactory annual review, will be mediated by the BCOM Grievance committee.

Section 3. Evaluation Considerations.

In the annual evaluation, such factors as continuing education, certification, CME credits, teaching innovations, teaching evaluations, curriculum development, research and/or scholarly activity (in education, basic science, epidemiology/public health and/or clinical medicine), publications & presentations, academic responsibilities at BCOM, academic public service and unique contributions to the academic community shall be considered.

Outcomes from annual evaluations may be used by the faculty member as evidence included in their Application for Promotion.

- 1) General Criteria
 - a) General Criteria for Recommendation of Promotion

Recommendation for a promotion in rank can be made when the faculty member has achieved the following:

i) For Promotion from Instructor to Assistant Professor

- (1) Completion of the terminal degree;
- (2) For clinical faculty, achievement of board certification;
- (3) Review of faculty portfolio demonstrating that the faculty meets performance standards for rank.

ii) For Promotion from Assistant to Associate Professor

- (1) Completion of at least four (4) years of full-time service (typically, promotion will be granted after seven [7] years) as an assistant professor, with at least two (2) of the four years at BCOM as of the date of promotion;
- (2) For clinical faculty, continued board certification and licensure in good standing or maintenance of equivalent credentials in field of practice
- (3) Review of faculty portfolio demonstrating that the faculty meets performance standards for rank.

iii) For Promotion from Associate to Professor

- (1) Completion of at least four (4) years of full-time service (typically, promotion will be granted after six [6] years) as an associate professor, with at least two (2) of the six years at BCOM as of the date of promotion;
- (2) For clinical faculty, continued board certification and licensure in good standing or maintenance of equivalent credentials in field of practice;
- (3) Review of faculty portfolio demonstrating that the faculty meets performance standards for rank.

2) Department-Specific Evaluation Criteria

Each department will define and specify criteria for promotion based on assessment of teaching, scholarship, service activities, and/or clinical service. Examples of activities meritorious for promotion developed by the promotion committee are outlined in *Appendix 2*. More specific expectations may be defined, approved by and applicable to all members of each independent department. Each department may define factors that achieve a level of excellence. However, expectations defined within each department may not be less than those outlined in this document outlining general criteria. Specific requirements defined by the department must be also be provided and reviewed and approved by the Promotions Committee and the Faculty Council Executive Committee. The approved department specific criteria will be provided to each faculty member, and used during annual evaluation to assure faculty are on track.

3) Performance Goal Reports

BCOM faculty may be required to submit reports on Performance Goals to their supervisor. Monthly performance goals reports can be used as a component for a faculty member's application for promotion at the faculty member's discretion but is not a required component.

4) Peer Evaluation Reports

As quality instruction is a key focus of the BCOM community, faculty may participate in peer mentoring groups and may request and receive peer evaluations. Such evaluations will be formative in nature. At the prerogative of the faculty member some, all, or a portion of such evaluations can be shared with supervisors as a component of the annual evaluation process. Also at the prerogative of the faculty, reports from evaluators from outside BCOM can be included as components of a faculty member's application for promotion. Evaluations of faculty performance that stem from peer evaluation activities or activities of the faculty development program are not summative or punitive and can be included as components of a faculty member's application for promotion if they so choose but will not be a required component.

*Specific dates in this timeline may be modified by the Promotions and Evaluation Committee as they deem appropriate.

Promotions and Evaluations

Appendix 1.

Examples of Founding Faculty Activities for establishing the foundation of the Burrell College of Osteopathic Medicine

1. Planning and arranging for interim facilities to conduct e.g. teaching virtual imaging in anatomy, histology, pathology; physiology and microbiology labs, clinical skills and communication skills as part of the new curriculum.
2. Planning and arranging for laboratory experiences in anatomy, histology, pathology, physiology and microbiology for establishing foundation of a new medical school.
3. Travel to other institutions/training facilities to observe systems in place for educational programs
4. Planning, designing, implementing and evaluating an integrated medical curriculum
5. Search Committee responsibilities for recruiting new faculty members and establishing foundation of core faculty/staff for a new medical school
6. Planning and arranging for clinical skill facilities with hospitals and clinics
7. Recruitment and training of standardized patients/imaging/clinical data to participate in educational programs
8. Conducted personal visits to each preceptor site and provided faculty development and orientation to the educational goals of the college
9. Developing underlying policies and procedures for faculty and/or students for new medical school.
10. Founding committee responsibilities as faculty for establishing foundation of a new medical school.
11. Design of simulation and clinical skills center and training of standardized patients to participate in educational program.
12. Development of off-site preceptor training sites for each medical student in the first and second years.
13. Development of acceptable training sites for third-year clerkships and four, fourth-year clerkships.
14. Participation in orientation development and delivery of orientation sessions.
15. Participating in and/or the preparation of support materials for the COCA site visits required for the stages leading to full accreditation of the college of osteopathic medicine.
16. Participating in design, space planning and consultation on technical teaching needs for the new facilities.
17. Providing professional faculty development to new BCOM faculty.
18. Developing a process for fostering continuous quality improvement of the medical curriculum
19. Exploring, implementing and providing faculty training for new computer technologies utilized by the medical curriculum
20. Training support staff/faculty involved in the implementation of the medical curriculum
21. Establishment of clinical practice site for clinical faculty. Includes establishing location, malpractice coverage and other activities necessary for the running of a practice.

Promotions and Evaluations

Appendix 2 .

Examples of Activities for Consideration for Promotion at Burrell College of Osteopathic Medicine.

Part A: Teaching and Educational Leadership

<u>Promotion to Associate Professor</u>	<u>Promotion for Professor (in addition to examples for Associate Professor)</u>
<ul style="list-style-type: none"> • Founding faculty activities in development of the curriculum and practice program(s) • College/university teaching awards • Documented effectiveness in research training and mentorship of medical students, graduate students, postdoctoral fellows, and/or residents • Participation in thesis committees of masters and Ph.D. level students • Participation in medical student research projects and demonstrated success and accomplishments of trainees • Documentation of effective learning outcomes (student, self-reported outcomes, performance on exams, etc.) • Student performance on standardized exams e.g. Subject Exams, COMLEX and/or USMLE exams • Demonstrated use of "Best Practices" in pedagogies and instructional materials • Demonstrated effectiveness in curricular integration and/or use of highly innovative approaches • Development of educational technology • Development of effective formative and summative assessment tools • High ratings on student, peer, and/or supervisory teaching evaluations • High ratings on evaluations of faculty member clerkship, module, course director, or residency program director • High ratings on Program Evaluation Subcommittee reports • High ratings on evaluations of instructional and/or curricular materials • Contributions to the development or enhancement of a model program that is integral to the success of one's own departments or other departments of programs within the college of osteopathic medicine. 	<ul style="list-style-type: none"> • National/international teaching awards • National recognition for educational activity e.g. curriculum development, evaluation, and/or integration • Adoption of course materials, curricular designs, novel technologies, etc. by other institutions • Documented effectiveness in research training and mentorship of medical students, graduate students, postdoctoral fellows, and/or residents • Sustained high ratings on teaching evaluations, teaching evaluations, evaluations of course materials, evaluations of mentoring/advising, etc. • Development, enhancement, or management of a model program that is integral to the success of one's own department or other departments or programs within the College of Medicine • Contribution to the development of a program that expands the services, productivity, revenue, and reputation of the college of osteopathic medicine.

Part B: Service Activities and Academic Leadership

<u>Promotion to Associate Professor</u>	<u>Promotion for Professor (in addition to examples for Associate Professor)</u>
<ul style="list-style-type: none">• Membership on departmental, college, and/or university committees• Membership on committees of affiliated institutions, such as IRB, QI committee, or residence selection committee• Participation in activities such as accreditation, assessment, or institutional effectiveness programs• Provision of continuing education programs for community and/or university• Recognition from regional or national societies• Service to local community and community organizations• Development of programs that promote diversity• Officer/leadership of regional academic, medical, or research organizations• Unpaid ad hoc reviewing of journal articles and/or grant proposals• Service as Department Chair• Service as Assistant or Associate Dean or Director of Program e.g. Director of Research• Service as director of laboratory or practice site (or other practice program- related leadership)• Demonstration of attainment of benchmarks for successful change (i.e., AAMC graduation questions.)• Establishment of new institutes/programs that complement the mission of BCOM e.g. Health Policy and Research Institute• Participation and completion in leaderships/fellowships programs at the national or international level.	<ul style="list-style-type: none">• Membership on national/international academic, medical, committees• Chairing of departmental, college, and/or university committees• Officer/leadership of national/international academic, medical, or organizations• Recognition from national/international societies• Development of mentoring programs for new faculty• Organization of teaching workshops, seminars, and/or professional meetings• Member of accreditation site teams (NBOME, LCME, HLC, etc.)• Unpaid service as journal editor, book editor, or member of journal editorial board• Unpaid service on panels for professional agencies• Service as department chair, vice chair, assistant dean, or associate dean• Service as director, or associate director in established units

Part C: Scholarship in Research

<u>Promotion to Associate Professor</u>	<u>Promotion for Professor (in addition to examples for Associate Professor)</u>
<ul style="list-style-type: none">• Experimental studies in education, basic science research and/or clinical research• Demonstrated effort/success with securing intra/extramural funding• Publication of original research findings in peer-reviewed journals• Publication of materials in peer-reviewed depositories such as MedEdPORTAL• Publication of book chapters• Publication of teaching tools• Publication of guidelines and/or protocols for patient treatment or delivery of care• Presentations at national/international meetings (with refereed published abstracts)• Invited seminars/lectures at other institutions• Peer evaluation of materials presented at meetings or published• Peer review of curricular materials• Peer review of manuscripts for major journals	<ul style="list-style-type: none">• Citations in peer-reviewed journals• Membership on study groups• Publication of original findings in journals within one's field• Publication of invited review articles• Procurement (as PI) grant funding for research, curriculum development, or other scholarly activities• Authoring entire textbook or other books• Invited presentations at national/international meetings• Editor of text, research, or other types of books• Editor or member of editorial board of journals• Member of review panels for major funding agencies or professional societies• Awards or other recognition for excellence in the scholarship of teaching and learning (SoTL)• Evidence of sustained scholarship• Evidence of sustained scholarship voted on by BCOM faculty council

Part D: Clinical Service

<u>Promotion to Associate Professor</u>	<u>Promotion for Professor (in addition to examples for Associate Professor)</u>
<ul style="list-style-type: none"> • Use of innovative clinical treatments • Effective clinical outcomes • High patient satisfaction scores • Evidence of safety and quality improvement • Involvement in clinical outreach, as evidenced by regional referrals for care and by recognition as clinical expert • Demonstrated practice of evidence-based medicine • Contribution to the development or enhancement of a model program that is integral to the success of one's own department or other departments or programs within the College of Medicine • Contribution to the development of a program that expands the services, productivity, revenue, and reputation of the College of Medicine • Participation in multi-center clinical trials, initiation of new clinical trials • Procurement of extramural support for clinical trials • Collaboration and participation in translational research 	<ul style="list-style-type: none"> • National recognition for new patient programs and/or clinical innovation • National recognition for safety and quality improvement • Impact on care at national level • National referrals for care • Development, enhancement, or management of a model program that is integral to the success of one's own department or other departments or programs within BCOM • Development, enhancement, or management of a program that expands the services, productivity, revenue, and reputation of the BCOM • Participation in multi-center teaching • Collaboration and participation in translational research • Achieve additional clinical training to enhance scope of clinical practice (i.e. certificate or fellowship in sports medicine, palliative care, geriatrics, etc.)

NOTE: The examples of teaching & educational leadership, service activities & academic leadership, scholarship in research, and/or clinical service may be used to define department level specific expectations for promotion. These activities listed for each step in rank are not exclusive to that rank. In particular, those examples of excellence in scholarly activity and teaching listed under Associate Professor, if sustained, would provide evidence for promotion to the rank of Professor.