



TERM OF APPOINTMENT: BUCOM

Policy Information			
Policy# :	COMBOD.1010	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost/Vice President Academic Services	President Council Approved Date:	9/22/22

1. Purpose

- 1.1. To clarify terms of appointment for faculty in the Baptist University College of Medicine (BUCOM).

2. Policy

- 2.1. All faculty employed by BUCOM will participate in the Initial 90-day Introductory Period at the start of their employment.
- 2.2. After the initial year of employment and at the discretion of the Dean, faculty appointments are extended on a yearly basis for those performing at or above expectations based on their annual Performance Management evaluation.
- 2.3. Faculty who fall below performance expectations must complete a mandatory Performance Correction plan.

3. Definitions

- 3.1. Faculty who are hired by BHSU College of Medicine and serve primarily in medical college teaching or leadership roles (core faculty) are designated as Assistant, Associate, or Professors in their medical specialty (i.e. Associate Professor of Family Medicine).
- 3.2. Faculty who serve primarily as clinical teaching preceptors (non-core faculty) are designated as Assistant, Associate or Professor of Clinical Medical Specialty (i.e., Associate Professor of Clinical Family Medicine).

4. Procedure

- 4.1. Hiring faculty for BHSU College of Medicine who primarily serve the COM as teaching faculty or leadership (core faculty)
 - 4.1.1. Provost
 - 4.1.1.1. Approves faculty position to be filled
 - 4.1.2. Dean
 - 4.1.2.1. Initiates process to fill vacant position
 - 4.1.2.2. Reviews applications
 - 4.1.2.3. Selects interview committee consisting of at least 3 faculty members
 - 4.1.3. Selection Committee
 - 4.1.3.1. Interviews candidates; rates presentations, if required

- 4.1.3.2. Completes and submits Interview Evaluation form.
- 4.1.3.3. Recommends selection to the Academic Dean.
- 4.1.4. Dean
 - 4.1.4.1. Selects candidate and completes the Rationale for Candidate Selection Form.
 - 4.1.4.2. Completes the Faculty Experience Worksheet for selected candidate.
 - 4.1.4.3. Offers employment to candidate and recommends appropriate rank to the Provost
- 4.1.5. Provost
 - 4.1.5.1. Recommends appointment to the President.
- 4.1.6. President
 - 4.1.6.1. Appoints faculty through official offer of employment.
- 4.1.7. Dean
 - 4.1.7.1. Secures faculty signature on experience worksheet upon hire.
- 4.2. Appointing faculty who serve as clinical faculty (e.g., community preceptors; non-COM based physicians)[non-core]
 - 4.2.1. Dean
 - 4.2.1.1. Approves clinical preceptor positions to be filled.
 - 4.2.2. Senior Associate Deans for Clinical Affairs and Academic Affairs
 - 4.2.2.1. Initiate process to fill vacant positions.
 - 4.2.2.2. Review applications.
 - 4.2.2.3. Interview candidates.
 - 4.2.2.4. Recommend appointment of candidate to BUCOM Academic Dean.
 - 4.2.2.5. If formally requested by applicant, make recommendations for clinical faculty rank (applicants will otherwise be on boarded at Assistant Professor rank)
 - 4.2.3. Academic Dean
 - 4.2.3.1. Dean endorses candidate and proposed rank
 - 4.2.3.2. Sends confirmation to Clinical Faculty Member of appointment

5. Related Information

- 5.1. SACSCOC Standard 6.1-6.3
- 5.2. FAC.70030
- 5.3. GEN.2099 Performance Correction Plan
- 5.4. GEN.2042 Initial 90-day Introductory Period
- 5.5. Faculty Experience Worksheet
- 5.6. Promotion in Rank Rubrics (Undergraduate programs, Graduate programs, and Associate programs)
- 5.7. Definition of Faculty Policy
- 5.8. COCA Standard 7, Element 7.1a

BUCOM FACULTY INITIAL APPOINTMENT AND PROMOTION IN RANK

Policy Information	
Policy# : BOD.1021	Reviewed Date(s): 9/28/2022
Date Created: 9/02/2022	Revised Date(s):
Responsible College Administrator: Provost	BOD Approved Date: 10/04/2022

1. Purpose

- 1.1. To describe the hiring process for faculty members at Baptist Health Sciences University College of Osteopathic Medicine (BUCOM).
- 1.2. To describe the ranking process for newly hired full-time faculty members.
- 1.3. To provide guidelines for determining faculty initial appointment to rank at Baptist Health Sciences University (BHSU).
- 1.4. To describe processes for promotion in rank for faculty.

Policy

2. Initial Appointment to Rank

- 2.1. Hiring of faculty at BHSU is based on the personnel requirements of the academic programs and on identified human resources needs to successfully achieve the mission of BHSU.
- 2.2. For BUCOM, faculty positions are categorized as either core BUCOM faculty or non-core faculty (clinical preceptors or faculty who teach medical students but are primarily clinically based and not compensated through BUCOM).
- 2.3. For ranked faculty positions, BUCOM recognizes four traditional academic ranks. Certain minimal requirements are needed for appointment or promotion to each. The minimum requirement for holding traditional academic rank is teaching ability at the university level. Effective university-level teaching, to which this university is dedicated, requires professional proficiency and continued professional growth, to which the college is equally dedicated.
 - 2.3.1. Professional growth involves meaningful contributions to a discipline, as appropriate, in the form of conference presentations, papers, and publications, active participation in learned and professional associations, curriculum development, research projects, workshops, creative works, and involvement in civic and community affairs.
 - 2.3.2. BUCOM honors work and academic contributions from prior accredited institutions. Previous scholarly and professional activities are considered at the time of the initial appointment process.
 - 2.3.3. Faculty rank, including initial appointment to faculty rank and any promotion to a higher rank, is awarded by the university. General eligibility requirements are described below:
 - 2.3.3.1. **Instructor:** Appointment or promotion to the rank of instructor requires completion of an

earned master's degree (or equivalent) in the area of the teaching assignment and evidence of favorable personal qualities. Instructors are appointed to one-year appointments.

- 2.3.3.2. **Assistant Professor:** Appointment or promotion to the rank of assistant professor requires completion of an earned doctoral degree or a terminal master's degree from an accredited institution in an area relevant to the faculty members' teaching area or a professional certificate. American Osteopathic Association (AOA) or American Board of Medical Specialties (ABMS) member board certification or board eligibility is required for physicians and other clinicians as appropriate. The faculty member should have at least two (2) years of successful teaching experience at the college or university level or five (5) years of significant work experience in a professional area relevant to the faculty member's teaching assignment. The candidate also should demonstrate the clear promise of a successful career in teaching, scholarship, and service.
- 2.3.3.3. **Associate Professor:** Appointment or promotion to the rank of associate professor requires an earned doctoral degree from an accredited institution in an area relevant to the faculty member's area of teaching, a terminal professional master's degree, or evidence of outstanding contributions in the faculty member's professional or academic field. A record of scholarly contributions to the college, higher education, or one's academic area(s) of specialization that has received peer recognition both inside and outside of the college is also required. AOA or ABMS member board certification is required for physicians and other clinicians as appropriate. At a minimum, five (5) years of record of substantial success in teaching, scholarship, and service to the university is required at the rank of assistant professor prior to promotion. Appointment or promotion to the rank of associate professor also requires a record of accomplishment in two of the areas (teaching, scholarly activity, service, clinical care and research) and strength in the other applicable areas.
- 2.3.3.4. **Professor:** Appointment or promotion to the rank of professor requires an earned doctoral degree from an accredited institution in an area relevant to the faculty member's area of teaching, a terminal professional master's degree, or evidence of outstanding contributions in the faculty member's professional or academic field. A record of distinguished and sustained scholarly contributions to the college, higher education, or one's academic area(s) of specialization that has been recognized as substantial by peers both inside and outside of the college at a level notably above the expected standards and contributions established for Associate Professor is required. AOA or ABMS member board certification is required for physicians and other clinicians as appropriate. At a minimum, seven (7) years of record of substantial success in teaching, scholarship, and service to the university is required at the rank of associate professor prior to promotion. Appointment or promotion to the rank of professor also requires a record of elevated and sustained accomplishment in at least two of the areas (teaching, scholarly activity, service, clinical care and research) and strength in the other applicable areas.

2.4. Non-core clinical faculty

- 2.4.1. Clinical faculty (non-core) ranked positions include: Instructor, Assistant Professor, Associate Professor, and Professor. Appointment to academic rank is based upon the minimum

qualifications for the rank as stated in the official job description and the Promotion in Rank Rubric.

2.4.2. Appointment of non-core clinical faculty

- 2.4.2.1. **Instructor:** Appointment to the rank of instructor requires completion of an earned master's degree (or equivalent) in the area of the teaching assignment and evidence of favorable personal qualities. Instructors are appointed to one-year appointment. Physicians enrolled in a formal post graduate residency training program (residents) and/or residency-trained physicians enrolled in a formal or informal specialty training program (fellowship) approved by their program director, chair and Designated Institutional Official (DIO) may serve in an instructor role at BUCOM.
- 2.4.2.2. **Assistant Professor:** Appointment to the rank of Assistant Professor is based upon demonstrated excellence in clinical practice (in clinical settings), student instruction, scholarly activities, professional leadership, practice or service. Appointment at the level of Assistant Professor requires completion of residency training and demonstration of promise as both a clinician and teacher. The candidate must be AOA or ABMS member board certified or board eligible. The candidate should show evidence of a high level of competence within a clinical specialty, commitment to educational mission, demonstrate progress toward excellence in practice and instruction, and embrace the BHSU mission and vision.
- 2.4.2.3. **Associate Professor:** Appointment to the rank of Associate Professor is based upon documented excellence and effectiveness in clinical practice, learner instruction, scholarly activities, professional leadership, practice and/or service. The candidate must be AOA or ABMS member board certified.
- 2.4.2.4. **Professor:** Appointment to the rank of Professor is based on a demonstrated pattern over time of excellence and impact in clinical education as well as a pattern over time of excellence in either the area of clinical practice, service to the University and/or national professional organizations or the area of research/scholarly activities. This would include a sustained pattern of excellence and impact in clinical education as well as effectiveness over time of in clinical practice, service to the University and/or national professional organizations or the area of research/scholarly activities. The candidate must be AOA or ABMS member board certified.

2.5 Indicators of faculty effectiveness and excellence

2.5.1 The College recognizes that there are multiple indicators of performance levels. Comparison with peers with similar practice responsibilities should form part of the evidence base. As indicated above, clinical practice includes both direct patient centered activity and indirect patient centered activity (practice management/administration, lifelong learning, etc.). Clinical Track faculty members are diverse in terms of areas of expertise and training and their clinical practice should relate directly to expectations articulated in their written position description. Objective evaluation of clinical practice is difficult, but essential. Evaluation by other health care providers and peer recognition may provide insight into the quality of care. Clinical

skills may be assessed by using many types of surrogate measures. The evaluation processes are likely to include a combination of clinical and administrative measures.

2.5.1.1 Potential sources of documentation of clinical practice excellence may include, but are not limited to:

- 2.5.1.1.1 Best practices recognitions
- 2.5.1.1.2 Certification and re-certification by specialty boards
- 2.5.1.1.3 Completion of additional academic course work which directly impacts clinical practice; Completion of practice development programs (e.g., traineeships).
- 2.5.1.1.4 Designation as a 'fellow' or other similar practice achievement recognition
- 2.5.1.1.5 Development of innovative clinical practice models that improve patient care and/or move toward value-based payments
- 2.5.1.1.6 Direct assessment of practice management by systems administrators, managers and clinic directors
- 2.5.1.1.7 Documentation of patient care activities
- 2.5.1.1.8 General recognition of clinical practice performance by faculty not in direct collaboration
- 2.5.1.1.9 Grants or contracts, received, to support clinical practice expansion or enrichment
- 2.5.1.1.10 In-services/presentations provided to health care workers at the clinical practice site
- 2.5.1.1.11 Opinions of referring/consulting physicians.
- 2.5.1.1.12 Participation in clinical practice-site committees (e.g. Quality Assurance committee, Peer Review Committee)
- 2.5.1.1.13 Patient case loads
- 2.5.1.1.14 Practice related publications and presentations (e.g. platform or poster presentations)
- 2.5.1.1.15 Written observations from nurses, physicians, resident physicians, or medical students documenting specific practice initiatives and outcomes

2.6 Core Faculty Promotion in Rank

- 2.6.2 Baptist Health Sciences University Board of Directors holds the authority to grant promotion in rank and to assure that processes and procedures were followed in accordance with BHSU policy.
- 2.6.3 BUCOM exists to educate holistically-trained osteopathic physicians in a Christian environment. Excellent and effective university-level teaching provides the platform and foundational requirement for those desiring career advancement and for professional growth.
- 2.6.4 Promotion in rank is based on demonstrated meritorious service in the classroom, to the university, and to the university community. Promotion in rank is not granted in acknowledgment of adequate teaching skills or years of service. A faculty member may meet the minimal criteria and not be recommended for or granted promotion.

- 2.6.5 Before a faculty member may be considered for promotion, the following requirements must have been met prior to the beginning of the academic year in which promotion is sought (i.e., the current academic year will not count in determining service). The faculty member must:
- 2.6.5.1 Have completed three years of employment at the College in a ranked position even if other qualifications in the Job Description of the desired rank are met.
 - 2.6.5.2 Have completed the years of experience listed under the "Minimum Qualifications" on the Job Description of the desired rank, and hold the appropriate degrees and certifications required.
 - 2.6.5.3 Have completed the appropriate time in rank at the College before seeking promotion to the next rank; i.e., three years at the level of Instructor, four years at the level of Assistant Professor, and five years at the level of Associate Professor.
 - 2.6.5.4 Have participated in portfolio preparation.
- 2.6.6 Faculty members are evaluated systematically based on BUCOM and university policies and requirements. Reappointment, promotion, merit salary increases, and award/renewal of contracts are based on these reviews.
- 2.6.7 The BUCOM annual academic review process is used in part, as consideration for continued employment, promotion, faculty rank and merit increases (if available). The annual review process may include, but is not limited to, a faculty portfolio tool; a faculty goal sheet; student evaluations; peer evaluations; recommendations from the department chair, immediate supervisor and appropriate senior associate dean; and requirements delineated in the Faculty Development section of the Faculty Handbook.
- 2.6.8 There are four designated foci for advancement in academic rank, which provide pathways for promotion in an area of interest and excellence.
- 2.6.8.1 Medical education
 - 2.6.8.2 Clinical care and education
 - 2.6.8.3 Administrative leadership
 - 2.6.8.4 Research
- 2.6.9 Faculty foci for promotion in academic rank for faculty are designed to promote excellence in teaching and advancement of osteopathic medical education. Conducting research and creating peer-reviewed and publicly disseminated articles, the discovery of new knowledge, new technologies, methods, materials and employing new knowledge leading to new understandings about osteopathic medicine are additional goals. A faculty member's focus is determined by the predominant activities in their designated and chosen role at BUCOM. Changes in career goals and college assignments are likely and full consideration for advancement is given for accomplishments attained while in one focus if other career goals are pursued. Specific requirements and timelines for promotion apply to all who pursue advancement in academic rank. In reviewing a faculty member for promotion, emphasis will be placed upon recognition of potential for continued professional growth and development. Activities and achievements considered sufficient for contract renewal or continuation are not necessarily sufficient for promotion. Common to each of the tracks for advancement are the following:
- 2.6.9.1 Past and current service to BHSU, BUCOM, and community with progression through increasing levels of teaching and academic performance, scholarly achievement, selfless

- service, and servant leadership and application of the healing arts as related to osteopathic medicine is the basis for advancement;
- 2.6.9.2 A distinguished and sustained record for the advancement of the BUCOM mission which includes past and current sustained documented development, participation, and oversight in pre-doctoral and or postgraduate programs, college or university governance, committee work, assisting in the recruitment and development of new faculty, developing and implementing new programs, involvement in student activities; and other distinctive contributions to college and university life;
 - 2.6.9.3 Teaching experience and teaching effectiveness including student evaluations and favorable results of the peer review process;
 - 2.6.9.4 Development of osteopathic physicians who dedicate themselves to excellence in osteopathic medicine through service toward their fellow man, lifelong learning and the advancement of medical knowledge;
- 2.6.10 Academic medical education focus- for faculty pursuing the academic medical education focus, special consideration is given to the following:
- 2.6.10.1.1 Publication of original scholarly work in peer-reviewed professional journals including journals focusing on scientific, academic and clinical topics;
 - 2.6.10.1.2 Progressive involvement in the BUCOM and BHSU academics as well as state, national and international discipline-related activities;
 - 2.6.10.1.3 Development of quality pedagogical materials, textbook chapters, teaching materials and products, especially as related to osteopathic medicine;
 - 2.6.10.1.4 Leadership and/or service roles in national organizations promoting the education or professional development of physicians;
 - 2.6.10.1.5 Mentoring and promotion of learners who dedicate themselves to the Baptist mission of healing, preaching and teaching;
- 2.6.11 Clinical care and education focus- for faculty pursuing the clinical care and education focus, special consideration is given to the following:
- 2.6.11.1.1 Excellence in clinical sciences teaching and incorporation of osteopathic principles and practice;
 - 2.6.11.1.2 Evidence of professional recognition in clinical excellence;
 - 2.6.11.1.3 Performance in the delivery of clinical practices consistent or above the standards and expectations established by the specialty;
 - 2.6.11.1.4 Participation or preceptorship in the clinical education of Third Year, Fourth Year Osteopathic Medical Students, or the post-doctoral (GME, Residency, Fellowship) level typically with multiple students or residents;
 - 2.6.11.1.5 Development and/or coordination of Continuing Medical Education (CME) conferences;
 - 2.6.11.1.6 Presentation of clinically related research or scholarly data at state, national, or international meetings;
 - 2.6.11.1.7 Participation as a key note or special invited presenter, national or international symposia;

- 2.6.11.1.8 Publication of scholarly works in peer-reviewed professional journals especially clinical topics related to osteopathic medicine;
 - 2.6.11.1.9 Record of service to BUCOM in leadership roles of committees, symposia, and conferences;
 - 2.6.11.1.10 Initiation or development of spiritual care programs or outreach medical care;
 - 2.6.11.1.11 Contributions to continuing quality improvement in clinical care;
 - 2.6.11.1.12 Mentoring and promotion of learners who dedicate themselves to the Baptist mission of healing, preaching and teaching;
- 2.6.12 Administrative leadership focus- for faculty pursuing the clinical care and education focus, special consideration is given to the following:
- 2.6.12.1.1 Teaching, superintending, and administrating aspects of education which require dedication to establishing, promoting, monitoring, and measuring essentials of medical training;
 - 2.6.12.1.2 Publication of original scholarly work in peer-reviewed professional journals including journals focusing on academic topics especially related to BUCOM's mission of training physicians in Christian values and dedication to patient-centered osteopathic care;
 - 2.6.12.1.3 Serving as an assistant or associate dean supervising physicians who will provide ethical, compassionate, competent and patient-centered osteopathic medical care;
 - 2.6.12.1.4 Oversight and development of new courses and curricula; curricular innovations, including uses of instructional technologies. Advancement of the quality of the faculty member's direction of student scholarly activities, the quality of pedagogical material published; and of teaching materials;
 - 2.6.12.1.5 Participation in national organizations promoting the education or professional development of physicians;
 - 2.6.12.1.6 Mentoring and promotion of learners who dedicate themselves to the Baptist mission of healing, preaching and teaching;
- 2.6.13 Research focus- for faculty pursuing a research focus, special consideration is given to the following:
- 2.6.13.1.1 Excellence in scientific research, original publications, and manuscripts that are peer reviewed and publicly disseminated which results from the discovery of new knowledge, new technologies, methods, materials and employing new knowledge leading to new understandings focusing on osteopathic or allopathic medicine;
 - 2.6.13.1.2 Scientific endeavors involving discoveries of foundations for health and disease, clinical outcome studies, research into educational advancement;
 - 2.6.13.1.3 Mentoring and promotion of learners who dedicate themselves to the Baptist mission of healing, preaching and teaching;
 - 2.6.13.1.4 Regular publication of original scholarly work in peer-reviewed professional journals;
 - 2.6.13.1.5 Regular presentation of research/scholarly data at professional meetings;
 - 2.6.13.1.6 Obtaining new or maintaining previously awarded intramural and/or extramural research funding;

- 2.6.14 On an annual basis, the dean will work with faculty to designate anticipated work assignments in the domains of teaching, research & scholarly activity, service, administration, and clinical practice as appropriate.

3 Definitions

- 3.6 Core faculty: faculty who are employed through BUCOM and spend the majority of their assigned time in primary teaching, education, administrative, or clinical roles directly supervising medical students.
- 3.7 Non-core clinical faculty: faculty who are not employed through BUCOM who may work with BUCOM students in a clinical or preceptor role through Baptist Memorial Healthcare system or outside clinical entities. Faculty are referred to as “faculty of clinical practice”.

4 Procedure

- 4.6 Hiring Core Faculty & Initial Appointment to Rank
 - 4.6.2 Provost
 - 4.6.2.1 Approves faculty position to be filled
 - 4.6.3 Dean
 - 4.6.3.1 Initiates process to fill vacant position
 - 4.6.3.2 Reviews applications
 - 4.6.3.3 Selects interview committee consisting of at least 3 faculty members
 - 4.6.4 Selection Committee
 - 4.6.4.1 Interviews candidates; rates presentations, if required
 - 4.6.4.2 Recommends selection to the Academic Dean
 - 4.6.5 Dean
 - 4.6.5.1 Dean selects candidate and completes the Faculty Experience Worksheet on selected candidate.
 - 4.6.5.2 Makes hire at appropriate rank recommendation to the Provost
 - 4.6.6 Provost
 - 4.6.6.1 Recommends appointment to the President
 - 4.6.7 President
 - 4.6.7.1 Appoints faculty through official offer of employment
 - 4.6.8 Dean
 - 4.6.8.1 Secures faculty signature on experience worksheet upon hire
- 4.7 Appointing non-core clinical faculty
 - 4.7.2 Dean
 - 4.7.2.1 Initiates process to fill vacant position
 - 4.7.3 Program Chair
 - 4.7.3.1 Reviews applications
 - 4.7.3.2 Interviews candidate
 - 4.7.3.3 Recommends hiring of candidate to dean
 - 4.7.4 Dean
 - 4.7.4.1 Hires candidate
- 4.8 Process for applying for advancement in rank

- 4.8.2 Faculty member/candidate - Begins to document the case for promotion, drawing on the annual performance management portfolios from (at least) 2 years prior. The candidate should make use of semi-annual performance management meetings with his/her dean or chair to identify significant contributions, areas for growth, and to assess progress. The candidate should become familiar with the "minimum" and "desired" qualifications of the job description for the rank to which the candidate aspires. During these years, the candidate should begin to assume responsibilities and leadership commensurate with the aspired rank.
- 4.8.3 Faculty member/ candidate - Completes the required years of Baptist College employment, years in current rank and appropriate educational level for desired rank.
- 4.8.4 Faculty member/ candidate - Carefully reviews the "Minimum" and "Desired" Qualifications of the job description for the ranked position to which the candidate aspires. Only degrees awarded by December 31 prior to application for promotion may be used to meet qualification requirements for the desired rank.
- 4.8.5 Faculty member/ candidate - By September prior to application for promotion, the faculty candidate participates in portfolio preparation. Candidates for promotion may participate in this preparation during any of the years the candidate is building the case for promotion, though in order to be eligible to apply for promotion in rank, the candidate must show proof of having participated at the start of the academic year in which the request will be made.
- 4.8.6 Faculty member/candidate - By second week in January, the faculty candidate requests written validation of eligibility for promotion from Vice-President of Administrative Services.
- 4.8.7 Vice-President of Administrative Services - Determines candidate's eligibility to apply for promotion in rank. Prepares documentation of the candidate's educational level, years of Baptist College employment, and years in current rank. In addition, with assistance from the BUCOM Senior Associate Dean of Academic or Clinical Affairs, validates the candidate's number of years of college teaching required for the rank sought. This is completed by the first Monday in February.
- 4.8.8 Faculty member/candidate - By the second Monday in February, the faculty candidate submits a letter of intent to seek promotion along with a thorough portfolio of documentation to the Senior Associate Dean of Academic or Clinical Affairs. Applicants should submit portfolios that contain copies rather than original documents. Categories to be used will be based on teaching, scholarship, service to college and university, community service and support for Baptist's mission, and specific criteria based on selected career focus.
- 4.8.9 Beyond the basic requirements, criteria for promotion in rank include demonstration of: noteworthy achievement in: (a) teaching; (b) scholarship & professionalism; (c) service to university and department; and (d) Christian mission and community service; and (e) clinical practice. Each criterion must be thoroughly supported by documentation covering the previous three academic years and, in the case of noteworthy achievement in teaching, include scores from the most recent student evaluation of instruction as well (that is, include the term preceding the application).

Organization of the documentation should reflect the five basic criteria and provide a comprehensive analysis of each. Appropriate narrative should accompany discussion of each

criterion, highlighting significant accomplishments and calling attention to growth, development, and contribution to the organization.

The nature of the supporting documentation may vary, and may include documentation from performance management evaluations. The supporting documentation should demonstrate progressive professional development and the individual's contribution to outcomes achieved from the university and the department. Applicants should carefully document their contributions. When possible, the narrative should be supported by appropriate documentation. All documents included for review must be discussed within the narrative. Portfolios should include no orphaned artifacts. Applicants for promotion are responsible for composing a narrative that lays out a clear, definitive career path for peer reviewers. When possible, applicants should track trends or patterns (e.g. illustrating how one's later work demonstrated qualitative improvement over earlier efforts).

Applicants should select documentation carefully. Quality and impact are far more important than mere quantity. Better supporting materials show what value the applicant's efforts added to the classroom, department or university. For example, rather than documenting mere committee membership, documentation should clarify the applicant's specific contributions as a team member in accomplishing something valuable. Applicants should give special attention to documenting expectations at the appropriate level. The candidate must present clear evidence of beginning to perform at the level expected of the rank to which he or she aspires. Demonstrating that one performs well as at the current level of responsibility is inadequate justification for promotion in rank for higher ranks, coursework completed as a requirement for the appropriate degree listed under "Minimum Qualifications" on the Job Description of the desired rank may not be counted as independent evidence of the applicant's scholarship.

- 4.9 Dean - Following the deadline for portfolio submission, the Senior Associate Dean for Academic or Clinical Affairs informs the Provost of the name(s) of the faculty requesting promotion. The dean evaluates the promotion portfolio using the appropriate rubric and forwards the completed scoring rubric and a letter recommending or opposing promotion and the portfolio to the provost no later than the last Monday in February. If not recommending promotion, the dean conveys this information to the faculty and offers appropriate coaching. If the faculty member is not in agreement with such decision, the dean directs the faculty member to the Promotion in Rank Appeal Policy for further action.
- 4.10 Provost - In early March, the provost convenes a peer review committee with a minimum of three faculty members holding the rank of professor and appoints a chair. Typically one or two members of the peer review committee are responsible for close-reading de novo review of portfolios and for walking other members of the committee through each portfolio.
- 4.11 Peer Review Committee - Reviews all submitted documentation de novo and forwards recommendations to the Provost by Mar 31* (If this is a Saturday or Sunday, it will be due the following Monday). Deans are recused from voting on promotion of any faculty in his/her division.
- 4.12 Provost - In early April, the provost reviews promotion portfolio along with recommendations from the dean and Peer Review Committee.

- 4.13 Provost - In mid-April, the Provost presents recommendations and evaluation of promotion portfolio to the Academic & Enrollment Committee of the Board of Directors.
- 4.14 Academic & Enrollment Committee, Board of Directors - Reviews all recommendations and summary to assure that all criteria have been evaluated and that the policy and procedures for promotion in rank have been followed. If so, recommends promotion in rank to the Board of Directors.
- 4.15 University Board of Directors - At the summer meeting, the University Board of Directors acts on recommendation of the Academic & Enrollment Committee and directs the Provost to notify the candidate of their decision.
- 4.16 Provost & deans - The provost, along with the appropriate dean, meets with each of the candidates to inform them of the Board's decision. Each candidate is provided feedback concerning areas for improvement. If the promotion is granted, it takes effect at the start of the next academic year. If the promotion is denied, the candidate may reapply for promotion during the next applicable cycle. The candidate reviews the provost's feedback with the appropriate dean during the Performance Management process. The dean and applicant discuss areas for improvement and plan for better description and documentation of the applicant's contributions and growth. The candidate may reapply for promotion in January of the next academic year.
 - 4.16.2 If the faculty member does not agree with the Board's decision, he/she can appeal this decision to the College President (Refer to the Promotion in Rank Appeal Policy).
- 4.17 An exception related to this deadline may occur when handling an appeal.

5 Related Information

- 5.6 SACSCOC Standard 6.1-6.3
- 5.7 Faculty Experience Worksheet
- 5.8 Promotion in Rank Rubrics (Undergraduate programs, Graduate programs, and Associate programs)
- 5.9 Definition of Faculty Policy
- 5.10 BUCOM Terms of appointment
- 5.11 COCA Standard 7.8: Faculty appointment and advancement

FACULTY RESPONSIBILITIES: BUCOM

Policy Information			
Policy# :	COMBOD.1014	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost / Vice President of Academic Affairs	President Council Approved Date:	9/22/22

1. Purpose

- 1.1. To describe responsibilities for faculty working in the Baptist University College of Medicine (BUCOM).

2. Policy

- 2.1. Supporting the BUCOM, Baptist Health Science University (BHSU) and Baptist Memorial Health Care Corporation (BMHCC) mission and vision of healing, preaching and teaching is an essential part of who we are at Baptist.
- 2.2. Primary faculty duties involve teaching, service, scholarly activity, clinical practice, and research as assigned, both within the university and through local, regional, national or international service.
- 2.3. Priorities include fair and honest evaluation of learners, peers, and colleagues, contributing to the university community, and mentoring, counseling, advising and instructing learners in BUCOM.
- 2.4. Other important goals include nurturing an environment that permits faculty to meet this mission and vision, advancing medical science, enhancing public wellbeing, and professional development. BUCOM is committed to provide both support and faculty development to help faculty succeed in these duties.
- 2.5. Delineation of faculty duties
 - 2.5.1. Each faculty member's job expectations in terms of teaching, administration, service, research, clinical practice or other activities are defined by BUCOM and communicated annually by means of an appointment letter and job description.
 - 2.5.2. Both the job description and BUCOM administration ensure that faculty are provided a clear description of these duties.
 - 2.5.3. Duties may change as needs arise with determinations made by the dean, senior associate deans or chairs when reassignments/revisions of duties are needed. Faculty members are then notified of these changes.
 - 2.5.4. The annual performance review period serves as a time to discuss individual faculty time allocations between education, service, administration, research, clinical practice and scholarly activity.
- 2.6. Participation in program review/accreditation, curriculum development/quality improvement, institutional effectiveness and strategic planning needs.
 - 2.6.1. Faculty participate in outcome evaluations of BUCOM and/or the University's educational, service, and research programs as requested. Reported outcomes are used for quality improvement process development regarding, but not limited to, curriculum, service, admission standards, and budget and resource allocation.

- 2.6.2. Each department, division, or area provides recommendations as to improving the quality of BUCOM's efforts using input from students, staff, faculty, and community partners. This analysis is forwarded annually from that department directly to the dean.
- 2.7. Participation in BUCOM/BHSU governance and decision making processes:
 - 2.7.1. Both BUCOM and BHSU have established traditions of faculty governance in relation to academic matters.
 - 2.7.2. BUCOM faculty and administration are jointly responsible for evaluating and developing curricula, academic policy, program planning, and other governance functions as appropriate.
 - 2.7.3. Faculty are expected to participate in faculty governance through active and engaged involvement in assigned committees, faculty meetings, or BUCOM Faculty Council. Faculty may also be elected to serve in the BHSU Faculty Senate or other university committees.
- 2.8. Public and community service involvement:
 - 2.8.1. Service to others is an important component of Baptist's mission. Every faculty member makes contributions to the university beyond teaching, administrative or research responsibilities.
 - 2.8.2. Contributions include a wide variety of options, including, but not limited to, participating in BUCOM/BHSU committees, student activities, inter-professional events, service projects, or events that enhance the cultural or intellectual environment of the institution. Some faculty may serve through participation in professional organizations or giving back to the community on a local, regional, national or international basis through mission trips.
 - 2.8.3. While faculty are individuals who possess political rights of citizenship, action, association and speech, these rights may not be exercised in the name of BUCOM, BHSU, BMHCC or any subsidiaries of the Baptist Memorial Healthcare system.
 - 2.8.4. This includes use of university resources such as facilities, forms, official stationary, vehicles, postage, or others.
 - 2.8.5. Faculty must avoid any activities that risk associating BUCOM or BHSU with partisan political activities or controversial topics unless expressed, advance, written permission is obtained from the Dean, Provost and University President.
- 2.9. BUCOM and BHSU committees:
 - 2.9.1. The ability for committees to exercise power is delegated by the dean and faculty. Committee actions serve as recommendations to the dean and faculty. These recommendations are not considered in effect until formally adopted by the faculty and dean.
 - 2.9.2. Committee chairs and members are appointed by the dean based on recommendations from the Faculty Council and individual faculty members. Each committee must have no fewer than three (3) voting members. The dean, senior associate deans, or their designee shall serve in an ex-officio (non-voting) role.
 - 2.9.3. Committee chairs will schedule all meetings, develop meeting agendas, and notify members of time and location. Committees should generally meet no less than twice per semester. Minutes should be kept and forwarded to the Office of the Dean.



- 2.9.4. Unless a meeting is designated as closed, any faculty member may attend to express opinions, but cannot vote unless they are a formal committee member. If a faculty member acts in a manner determined to be disruptive by the chair, the faculty member may be requested to leave the meeting by the committee chair.
- 2.9.5. Student membership on committees is appointed by the dean or senior associate deans considering recommendations from the BUCOM Student Government Association.
- 2.9.6. A list of committees and a description of their responsibilities is available in the BUCOM Faculty Handbook.
- 2.9.7. Membership in the BHSU Faculty Senate follows election rules and policies of that organization.
- 2.10. Legal representation and indemnification:
 - 2.10.1. For actions performed in the ordinary course of university business or for actions taken by a faculty member or administrator based on specific authorization from the dean, provost, president, or board from which claims or judgments arise, the university will defend and indemnify its faculty and administrators.
 - 2.10.2. Faculty must provide immediate (within 3 business days) written notice of any claims or service papers once the faculty or administrator becomes aware of them.
 - 2.10.3. Faculty members and administration agree to cooperate in BUCOM/BHSU's defense against any claim.
 - 2.10.4. Clinical care must be provided in dedicated healthcare facilities where the faculty provider is both credentialed and covered by professional liability insurance.
 - 2.10.5. BUCOM professional liability insurance also indemnifies faculty and students performing osteopathic manipulations performed in the Osteopathic Manipulative Medicine (OMM) labs or classroom educational activities where procedures or simulated patient care is performed.
 - 2.10.6. BUCOM, when indicated, will also provide professional liability coverage for faculty participating in domestic and international outreach events as long as the provider is practicing within their normal scope of practice.

3. Definitions

- 3.1. None.

4. Procedure

- 4.1. None.

5. Related Information

- 5.1. Baptist University College of Osteopathic Medicine Faculty Handbook
- 5.2. Baptist University Health Sciences Center Faculty Senate Handbook



LINE OF COMMUNICATION: BUCOM

Policy Information			
Policy# :	COMBOD.1011	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost/Vice President Academic Services	President Council Approved Date:	9/22/22

1. Purpose

- 1.1. To describe channels of communication through which information about Baptist Standards of Conduct are disseminated to faculty and employees of Baptist University College of Osteopathic Medicine (BUCOM).
- 1.2. To establish procedures for correct lines of communication and chain of command within the BUCOM.

2. Policy

- 2.1. Responsibilities of Directors and Administrators
 - 2.1.1. BUCOM Directors, Chairs, and Administrators are expected to be available in person, by telephone, or by email, so that faculty and employees have ample opportunities to ask questions, seek clarification, offer feedback, or report issues.
 - 2.1.2. BUCOM administration is responsible for ensuring all employees receive standards of conduct training and other certification on an annual basis as a condition of continued employment.
- 2.2. Ethical behavior
 - 2.2.1. In keeping with the three-fold ministry of Christ- teaching, preaching, and healing- and BUCOM's commitment to Service First and ethical practices, all faculty and employees are responsible for communicating in a manner which is consistent with Baptist's values. Professional communication is an expectation for all BUCOM employees.
- 2.3. Communication within BUCOM:
 - 2.3.1. BUCOM leadership use a variety of communication methods to communicate with faculty and employees, including but not limited to email, phone call, memo, letter, or small or large group meetings.
 - 2.3.2. Email sent to the faculty's official Baptist account is considered the official means for BUCOM communication.
 - 2.3.3. Faculty and employees are expected to respond to emails and other requests in a timely fashion, ideally within one business day unless the faculty or employee are taking vacation or leave.
 - 2.3.4. Faculty and employees are responsible for requesting time off in advance and communicating any absence to others using email automatic replies or other organizational tools. Time off must be scheduled so as not to interfere with either academic or clinical responsibilities.
 - 2.3.5. If a faculty or employee is ill, that faculty or employee must speak directly with their immediate supervisor (i.e., no texts or emails).
- 2.4. Chain of command

- 2.4.1. Faculty and employees are generally encouraged to discuss any problems or concerns directly with their immediate supervisor. If the issue cannot be resolved at that level, involving the immediate supervisor's supervisor is appropriate.
- 2.4.2. Directly engaging the dean, senior associate deans, or chairs is an option in cases of extreme or immediate risk, but this should occur rarely and ideally after other lines of discussion with immediate supervisors have failed.
- 2.4.3. In situations involving imminent danger to BUCOM faculty, employees, or students, Baptist Health Sciences University (BHSU) security should be contacted immediately.

3. Definitions

- 3.1. None.

4. Procedure

- 4.1. None.

5. Related Information

- 5.1. Baptist's Standard of Conduct
- 5.2. GEN.2078 Standards of Conduct



PRIVILEGES AND BENEFITS: BUCOM

Policy Information			
Policy# :	COMBOD.1013	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost / Vice President of Academic Affairs	President Council Approved Date:	9/22/22

1. Purpose

- 1.1. To describe the privileges and benefits available to Baptist University College of Osteopathic Medicine (BUCOM) faculty hired in a primary medical school teaching or administrative role.

2. Policy

- 2.1. Employee health and well-being are important to both BUCOM and Baptist Health Sciences University (BHSU). Baptist Memorial Health Care Corporation (BMHCC) offers an extensive benefits package which can be tailored to meet specific needs.
- 2.2. Both full and part-time faculty are eligible for benefits as detailed in the annual Baptist Memorial Hospital Benefit Guide.
- 2.3. Faculty who work with BUCOM in the “Clinical Practice” or preceptor roles are not eligible for benefits through BUCOM/BHSU, but may be eligible for BMHCC benefits as part of their full or part-time work in the Baptist Memorial Hospital clinical enterprise.
- 2.4. Faculty must enroll at specific times for benefits, including within one month of their employment date, within one month of a change in employment status, or during the annual Open Enrollment period.
- 2.5. Faculty are expected to re-enroll annually to maintain benefits.
- 2.6. The Annual Benefit guide is available via the University’s intranet, PawPrints, and is updated annually.
- 2.7. Full-time core faculty are covered by BUCOM’s occurrence-based professional liability insurance for approved activities performed as part of their employment.

3. Definitions

- 3.1. Eligible for benefits: Faculty who are hired by BUCOM and serve primarily in medical college teaching or leadership roles will be designated as Assistant, Associate, or Professors in their medical specialty (i.e. Associate Professor of Family Medicine).
- 3.2. Benefits through primary clinical appointment outside of BUCOM: Faculty who serve primarily as clinical teaching preceptors will be designated as Assistant, Associate or Professor of Clinical Medical Specialty (i.e., Associate Professor of Clinical Family Medicine).

4. Procedure

- 4.1. Availability of benefits and written materials describing them are introduced during the new employee onboarding process.



- 4.2. Faculty should sign up for a one-on-one phone consultation with a Baptist benefits specialist within the first week of employment. The benefits specialist will discuss available programs and sign up the employee/spouse/dependents.
- 4.3. Faculty will have 30 days from the date of employment to set up medical, dental and other benefits offered through BUCOM/BMHCC.
- 4.4. Faculty are encouraged to set up an appointment to discuss retirement programs through Guidestone financial group.
- 4.5. Faculty are responsible for re-enrolling for benefits annually during the open enrollment period.

5. Related Information

- 5.1. Benefits for Better Living: A guide to getting the most from your plans. Available in PawPrints under HR benefits tab.



PERFORMANCE EVALUATION AND REMEDIATION: BUCOM

Policy Information			
Policy# :	COMBOD.1012	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost / Vice President of Academic Affairs	President Council Approved Date:	9/21/22

1. Purpose

- 1.1. To provide each faculty member, staff and employee of Baptist University College of Osteopathic Medicine (BUCOM) timely feedback regarding job performance and an on-going process for communicating performance standards and job expectations.
- 1.2. To provide a mechanism for evaluating salary adjustments based upon merit/performance, placement within salary range, and employment classification.
- 1.3. To provide management with guidelines with an alternative approach for administering a final step of discipline in response to instances of unsatisfactory performance/conduct.
- 1.4. To assure that employees receive consistent and appropriate disciplinary treatment.
- 1.5. To affirm the organization's commitment to fair and consistent terms and conditions of employment without regard to an individual's age, sex, race, color, religion, national origin or physical or mental disability.

2. Policy

- 2.1. All BUCOM faculty, staff and employees are on a common performance review cycle which means all colleagues receive an annual performance appraisal in December following the conclusion of the University's fiscal/academic year.
 - 2.1.1. This process provides managers with an opportunity to discuss each employee's individual performance from the preceding 12 month performance cycle.
 - 2.1.2. Coupled with an employee's individual performance, outcome based performance indicators are used to assess team performance.
 - 2.1.3. A common review cycle is a much more effective way to promote and recognize both individual and team performance.
- 2.2. Merit increases are awarded, if applicable, based upon the performance appraisal/review overall rating which is determined by individual and team performance.
 - 2.2.1. Merit awards are then calculated based upon the employee's current base salary within his/her assigned salary range.
 - 2.2.2. Employee at the top of their salary range or who are in designated positions which fall into special pay categories/classifications are usually not eligible for an annual merit increase although they are required to receive a performance appraisal/review annually.
 - 2.2.3. Human Resources calculates performance awards and disseminates information to management for communication back to direct reports.



2.3. Performance Correction Plan (Remediation)

2.3.1. Content of a Performance Correction Plan

- 2.3.1.1. In order to assure consistency in the application of this formal disciplinary measure, the following information should be communicated to the employee (faculty) and subsequently documented in Performance Correction Plan document.
- 2.3.1.2. The employee's name, title, department and division.
- 2.3.1.3. The name and title of the member of management taking the action.
- 2.3.1.4. The duration of the focused improvement period (e.g. 30, 45, 60, or 90 days)
- 2.3.1.5. Problem area(s) or action(s) necessitating the need for improvement with associated timeliness, as well as previous coaching/counseling and/or formal disciplinary measures, if any.
- 2.3.1.6. Action steps the employee will have to improve in the specified area in order to avoid further discipline.
- 2.3.1.7. That failure to correct the problem area(s) and sustain correction will result in further disciplinary action, up to and including discharge.
- 2.3.1.8. Signature line for employee and member of management.

2.4. Record Keeping

- 2.4.1. Relevant comments made by the employee during the counseling interview and statements of any witness(s) should be attached to the original document when placed in the personnel file. Employees placed into a Performance Correction Plan may be given a copy of the document provided he/she signs the document acknowledging that the action was taken. Employees may not have copies of any supporting investigative notes or statements. Should an employee refuse to sign the document, their refusal must be noted and a management witness should be obtained who can verify that the contents of the plan were covered with the employee and he/she refused to sign it. In such cases, both the manager and the management witness, sign and date the document.

2.5. Purpose of this Policy and Request for Exceptions

- 2.5.1. The purpose of this policy is to provide basic information and general guidance regarding Performance Correction Plans. This policy cannot anticipate every situation or answer every question. Therefore, in order to retain the necessary flexibility to administer this policy, the University reserves the right to modify, change, suspend or cancel at any time, with or without written notice, any or all of this policy as circumstances may require. Exceptions to this policy must be documented and communicated in advance and be approved by the university president and the Vice President of Administrative Services or designee.

3. Definitions

- 3.1. Performance Review-annual review of the performance of all employees.
- 3.2. Performance Management Review-completion of a performance management document for full time and part time employees.
- 3.3. A Performance Correction Plan is a formal disciplinary measure which may be implemented following failure to improve with progressive disciplinary steps. Plans may additionally implemented for performance/conduct concerns arising in BUCOM administrative leadership. This action requires

advanced review and approval by the Vice President of Administrative Services or designee, and the President prior to implementation in order to assure consistency in the application of policy.

4. Procedure

4.1. Annual Performance Review process

- 4.1.1. Managers are expected to review or discuss performance appraisal ratings with the Dean, Senior Associate Deans, or appropriate Assistant Dean to ensure consensus/approval in advance particularly if there are colleagues exceeding expectations and/or failing to meet expectations.
- 4.1.2. The supervisor/manager is then responsible for scheduling and conducting a meeting with each employee to discuss his/her performance review. This meeting provides the manager/supervisor and colleague an opportunity to have a discussion regarding the past year, obtain employee feedback and begin planning for the upcoming year. The employee may also add his/her comments.
- 4.1.3. Once the manager/supervisor and the employee have met, the employee acknowledges receipt of the performance review, and it is submitted to HR. In the event that the employee declines to acknowledge the performance review, the supervisor/manager contacts Human Resources so that the review can be submitted for processing.
 - 4.1.3.1. Full-time and part-time employees including core faculty receive an annual performance review.
 - 4.1.3.1.1. Completion of performance management review document is mandatory.
- 4.2.3.2 Non-core faculty
 - 4.2.3.1.2 Non-core faculty who serve as clinical preceptors will not undergo a performance management review through BUCOM, but any who are employed through Baptist Health Care Corporation will undergo review through their primary department. This group will receive feedback from the Senior Associate Dean of Clinical Affairs regarding student evaluation of their teaching.
 - 4.1.3.1.1.1. The Senior Associate Dean of Academic Affairs or his/her designee will submit a summary table of performance reviews of any non-core clinical faculty who have taught in an in the first and second year curriculum to the office of the Provost at the end of the academic year.
- 4.1.4. If performance warrants improvement, this should be clearly documented in narrative format on the annual performance review.
 - 4.1.4.1. For full-time and part-time employees, a colleague who does not meet acceptable performance/conduct/attendance standards as sustained by the overall performance review score is typically placed in an appropriate corrective action plan in accordance with the Performance and Conduct Expectation Policy.
 - 4.1.4.1.1. In such cases, managers are expected to consult with Human Resources to discuss next steps. Such corrective action includes specific goals and timelines for correction.
 - 4.1.4.1.2. Failure to bring performance/competencies, conduct and/or attendance up to acceptable standards will lead to disciplinary action up to termination of employment.



4.1.5. New hires

- 4.1.5.1. All employees hired during the year will receive a December review placing the new employee on the common review cycle. However, for the employee hired during the year, the merit award will be prorated the first year based on the employee's actual date of hire. For example, an employee hired in March, will receive a prorated merit award of 9/12 (April-December) during the common review cycle.
- 4.1.5.2. For new hires with less than a month of service prior to the common review, they will receive a performance review the following December.

4.2. Leave of absence

- 4.2.1. If the employee is on Medical Leave Act (FMLA) or Tennessee Maternity Leave Act (TMLA) at the time of the common review cycle, leadership will complete the performance review so that the employee receives his/her merit increase, if applicable. BUCOM leadership are expected to review such performance reviews with their employees upon their return to work.

4.3. Late reviews

- 4.3.1. Late reviews are monitored by Administration to ensure there is not an adverse impact on employees who are entitled to an annual review and merit award.
- 4.3.2. Request for Exception to Policy
 - 4.3.2.1. The purpose of this policy is to provide basic information and general guidance regarding the Performance Management Guide for University employees.
 - 4.3.2.2. This policy cannot anticipate every situation or answer every question about Performance Management Guide, therefore in order to retain the necessary flexibility to administer the policy, the University reserves the right to modify, change, suspend or cancel at any time with or without written notice any or all of this policy as circumstances may require.

5. Related Information

- 5.1. Classification of Employment and Employee Status
- 5.2. Hiring of Faculty and Initial Appointment to Rank Policy
- 5.3. Destruction and Retention of Confidential Records Policy
- 5.4. Service Bridging Policy
- 5.5. Performance and Conduct Expectation Policy
- 5.6. Performance Correction Plan Worksheet
- 5.7. SACSCOC Standards 2.11.1, 3.2.1 3.2.9, 3.2.10., 3.7.2., 3.7.3., 5.5., and 6.3.
- 5.8. COCA Standard 7.8 (Preaccreditation)

Termination

Policy Adopted for BUCOM 9/29/2022

Policy Information			
Policy# :	GEN.2083	Reviewed Date(s):	4/06; 9/07
Date Created:	September 1, 1999	Revised Date(s):	1/04; 5/13; 12/17; 5/22
Responsible University Administrator:	VP, Administrative Services	President Council Approved Date:	6/23/2022

1. Purpose

- 1.1. To provide organizational guidelines to employees separating from the University.
- 1.2. To provide a method of obtaining feedback from employees separating from the University in order to determine reasons for turnover, to communicate data as appropriate, to enhance employee satisfaction, and/or to promote a more stable workforce.
- 1.3. To assure that all organizational property issued is returned prior to the exiting employee's departure.

2. Policy

2.1. Provisions

- 2.1.1. Termination of employment, either by resignation or discharge, begins the termination process. This process is comprised of several components to include entry of termination in the Baptist One Team (BOT) system, exit interview, if appropriate, and the completion of other pertinent documentation as required in Section 2.3 Termination Clearance Process of this policy. The termination process provides guidance for the manager, the separating employee and the appropriate Baptist human resources representative so that final clearance can be completed.

2.2. Guidelines for Resignation

- 2.2.1. Employees are expected to provide their managers with a two (2) week resignation notice, which should be made either in writing or verbally.
- 2.2.2. Directors and above are expected to provide a four (4) week notice period. The University reserves the right to release any employee prior to the conclusion of his/her notification period under certain circumstances, upon appropriate review with Administrative Services.
- 2.2.3. A notification to resign employment is considered a working notice. Employees are expected to work all scheduled shifts during this notice period. Typically failure to provide appropriate notification of resignation and/or failure to work the entire notification period will result in ineligibility for rehire within the University or BMHCC.
- 2.2.4. However, there may be circumstances which preclude an employee from meeting the above criteria. In such situations, eligibility for rehire will be reviewed on a case-by-case basis with Corporate Human Resources.
- 2.2.5. Employees who do not work an entire pay period do not accrue PTO for that final pay period.

2.2.6. In addition, managers are accountable for timely completion and submission of a Request to Terminate Computer Access form to IT Site Support on the team member's last day of employment so that all systems are disabled immediately upon termination/separation of employment. Managers are also responsible for completing a Termination Clearance Form on the team member's last day of employment so that all property can be collected. The employee's file along with the required termination paperwork is submitted to Human Resources immediately upon termination. The team member's final paycheck will be direct deposited.

2.3. Exception:

2.3.1. Exceptions to policy must be documented and communicated in advance and approved by the President or Vice President and the appropriate Baptist Director of Human Resources or designee.

3. Definitions

3.1. None.

4. Procedure

4.1. Termination/Clearance Process

4.1.1. In order to provide a consistent mechanism for exiting the organization, employees must initiate the formal notice period by contacting their manager either in writing or verbally of their intent to resign; once the team member provides his/her notice, the notification period begins. Managers are expected and accountable for electronically entering all terminations into the Baptist One Team (BOT), human resources information system as soon as they are aware of the separation. The official termination date can be entered in advance of the actual separation to ensure that pay and benefits cease simultaneously with the team member's departure from the organization. Should the date change for whatever reason or should the termination be rescinded, the manager is responsible for changing the transaction in the system.

4.2.

5. Related Information

5.1. None.

Performance & Conduct Expectations for Employees

Policy Adopted for BUCOM 9/29/2022

Policy Information			
Policy# :	GEN.2055	Reviewed Date(s):	4/11
Date Created:	October 3, 2005	Revised Date(s):	12/03; 06/06; 01/08; 04/11; 09/13; 01/14; 1/19
Responsible University Administrator:	Vice President, Administrative Services	President Council Approved Date:	January 17, 2019

1. Purpose

- 1.1. To establish and communicate employee performance and conduct expectations which are necessary for promoting a safe, efficient, and positive work environment.
- 1.2. To develop a process that emphasizes the organization's commitment to meeting and/or exceeding performance and behavioral standards.
- 1.3. To provide for prompt, appropriate, and impartial disciplinary actions when needed.

2. Policy

2.1. Performance and Conduct Expectations

- 2.1.1. As members of a distinguished team, employees of the Baptist University are expected to conduct themselves in a manner which is in the best interest of Baptist patients, students, guests, the community, co-workers and their profession. Where performance and conduct expectations are not met, corrective action will be taken depending upon the frequency, seriousness and circumstances of the offense or combination of different offenses.

2.2. Progressive Disciplinary Process for Full-Time and Part-Time Team Members

- 2.2.1. The goal of a progressive disciplinary process is to help employees identify and take personal ownership of performance, conduct, and/or attendance concerns and develop corrective steps to ensure satisfactory improvement. When initial concerns arise, it is the responsibility of supervisors and/or managers to coach employees verbally in a prompt fashion so that they are aware of any issues negatively impacting their performance, behavior/conduct, and/or attendance so that improvements can be made. However, if sufficient and sustained corrections do not occur, any additional performance, behavioral/conduct, and/or attendance issues typically result in the issuance of written warning(s) or other progressive disciplinary action to further address the conduct or performance concern(s).
- 2.2.2. Progressive discipline means that, generally, the following steps will be followed when verbal coaching and counseling have failed to achieve the needed changes.
 - 2.2.2.1. A written warning
 - 2.2.2.2. A final written warning
 - 2.2.2.3. Termination of employment

- 2.2.3. There may be circumstances when one or more of these steps are bypassed. In fact, certain infractions or circumstances may be deemed serious enough to justify immediate termination of employment. See Section 2.7 below for examples of the types of issues that usually result in immediate termination of employment. There also may be circumstances when a step will be repeated depending on the amount of time between disciplinary actions. See Section III below for an explanation of the time period normally considered when applying the progressive disciplinary steps.
- 2.2.4. If an employee fails to meet appropriate performance, behavior/conduct, and/or attendance standards, the employee is typically discharged at the 3rd disciplinary step regardless of whether the three infractions/issues are related. However, the University reserves the right to consider any mitigating circumstances or the option of some other discipline including disciplinary suspension without pay.

2.3. Progressive Disciplinary Process for PRN Team Member

- 2.3.1. Team Members working in a PRN classification are also accountable for meeting performance, conduct, and/or attendance standards. Since PRN team members work as needed, the progressive disciplinary process is typically composed of up to 2 steps depending upon the policy violation/infraction. If a PRN employee received a verbal coaching and counseling and fails to achieve the needed changes, the following summarizes the formal disciplinary steps:

- 2.3.1.1. A written warning
- 2.3.1.2. Termination of Employment

2.4. Infractions Normally Resulting in Progressive Disciplinary Action

- 2.4.1. While it is impossible to list every type of behavior that may be subject to disciplinary action, the following includes but is not limited to infractions normally resulting in progressive disciplinary action:
 - 2.4.1.1. Unsatisfactory job performance
 - 2.4.1.2. Continued discipline under the Attendance Standards Policy
 - 2.4.1.3. Violations of entity/department Service First standards, Standards of Performance, and/or Behavioral Competencies
 - 2.4.1.4. Violations of Appearance Standards Policy
 - 2.4.1.5. Creating or contributing to unsanitary conditions
 - 2.4.1.6. Parking violations
 - 2.4.1.7. Failing to badge in and/or out and/or failing to report missed or interrupted meal periods
 - 2.4.1.8. Excessive personal telephone/cellular calls
 - 2.4.1.9. Excessive time accessing the internet and/or use of personal social media
 - 2.4.1.10. Use of tobacco products on any Baptist property including without limitation all buildings/entities rented, leased, or owned, parking lots, parking garages, vehicles on Baptist property
 - 2.4.1.11. Absence from assigned work area without management approval
 - 2.4.1.12. Violation of safety rules or other safety practices
 - 2.4.1.13. Use of profanity not within earshot of a patient/guest
 - 2.4.1.14. Horseplay or irresponsible behavior
 - 2.4.1.15. Provoking/intimidating co-workers (without credible threats or violence)

2.4.1.16. Disruptive Behavior as outlined in the Code of Conduct for a Safe and Productive Workplace

2.5. Performance Correction Agreements

2.5.1. In certain circumstances, managers may place an employee in a Performance Correction Agreement to outline serious performance deficiencies and specific timelines for sustained correction. If a manager elects to place an employee in a Performance Correction Agreement, this step is done typically in conjunction with a final written warning. Timelines set for improvement in a Performance Correction Agreement do not change the at-will nature of the employment relationship or otherwise guarantee that employment will not be terminated prior to the end of the correction period if circumstances warrant.

2.6. Disciplinary Schedule

2.6.1. While disciplinary actions remain a permanent part of an employee's record, a written warning will remain "active" for a 12 month floating period. If another infraction occurs during a 12 month floating year period, the employee will normally progress to the next step of discipline which is a final written warning. If the employee continues to experience issues with performance, behavior/conduct, and/or attendance within the 12 month floating year period, he/she will typically be terminated from employment regardless of whether the various infractions are related. Conversely, disciplinary actions more than 24 months old are typically not considered in determining the next appropriate step in the disciplinary process. Thus, if an employee receives a written warning and thereafter commits another infraction 13 months later (with no other intervening discipline), the likely result would be a second written warning. Nevertheless, the University reserves the right to consider each employee's entire disciplinary history and the seriousness of the performance, behavior/conduct, and/or attendance issue in making decisions about appropriate discipline for each infraction.

2.7. Serious Conduct Violations

2.7.1. There are certain types of expressly forbidden conduct, which will not be tolerated. Normally, absent mitigating circumstances, these offenses result in immediate termination of employment, forgoing the progressive steps of discipline described above. Some examples include, but are not limited to:

- 2.7.1.1. Intentionally defacing, damaging, or destroying University equipment or property
- 2.7.1.2. Unauthorized access, disclosure, misuse, and/or removal of confidential information/data, computer records, etc.
- 2.7.1.3. Violations of the University's Drug and Alcohol Free Workplace Policy
- 2.7.1.4. Intentionally sleeping while on duty (does not include momentarily dozing off in a meeting)
- 2.7.1.5. Harassment by violence: includes stalking, robbery, terrorism, assault, fighting, and/or similar threatening behavior
- 2.7.1.6. Unlawful harassment of others in the workplace, e.g., sexual, racial, religious, ethnic, etc.
- 2.7.1.7. Soliciting and/or accepting gratuities or gifts from patients or guests (Unless acceptance of gift is approved in advance by the President); also excludes flowers, candy, and/or thank you cards sent to the department/division.
- 2.7.1.8. Felony Conviction (see Felony Convictions Policy)

- 2.7.1.9. Insubordination (Refusal to respond/perform a reasonable request or assignment/shift made by management)
 - 2.7.1.10. Job abandonment: leaving the University/clinical area premises during scheduled shift without management authorization
 - 2.7.1.11. Physical abuse or neglect of a patient
 - 2.7.1.12. Possession of illegal firearms/weapons of any kind or dangerous materials on Baptist property- Firearms or weapons of any kind are not allowed in any Baptist building (except for armed security personnel authorized by administration)
 - 2.7.1.13. Theft (including "identify theft")
 - 2.7.1.14. Serious violations/demonstration of Disruptive Behavior as outlines in the Code of Conduct for a Safe and Productive Workplace
 - 2.7.1.15. Serious violations as outlined in the Standards of Conduct
 - 2.7.1.16. Misrepresentation of any documentation/time record, includes fraudulent acts such as signing in before parking vehicle; being signed in/out by someone other than yourself; clocking in/out for someone other than yourself
 - 2.7.1.17. Use of profanity within earshot of a patient or guests
- 2.8. Suspension Pending Investigation and Review**
- 2.8.1. Employees believed to have engaged in conduct warranting termination of employment are typically placed on suspension pending investigation and review. The investigative suspension affords management a period of time to investigate an alleged infraction and review with the appropriate University leader and Human Resources Director or designee, prior to taking disciplinary action. If after full consideration of the matter, disciplinary action is not taken, the employee will typically be returned to work without loss of pay due to the investigative suspension.
- 2.9. Employee in Multiple Positions**
- 2.9.1. In some cases, employees may have multiple/alternate position(s) apart from their primary positions either in another department and/or with another Baptist entity. If an employee experiences performance, behavior/conduct, and/or attendance issues in one or more positions, the employee's disciplinary record will carry over to his/her other positions. In other words, employees will typically not be allowed more than 3 disciplinary actions even if the corrective actions are split between positions (i.e., an employee receives a written warning in his/her primary position and then experiences a problem in an alternate position which also warrants corrective action. In this situation, the employee would be issued a final written warning.) Managers who have an employee in multiple/alternate positions should consult Human Resources prior to issuing any disciplinary action to ensure that previous corrective actions are counted, if appropriate, toward the next step in the disciplinary process.
- 2.10. Performance, Conduct, and/or Attendance during the Initial 90 Day Introductory Period**
- 2.10.1. The first (90) calendar days of employment is considered an Introductory Period, which is designed to give the employee time to decide if he/she is satisfied with the position and to give management time to determine if the employee has the knowledge, ability and attitude to perform the work required. This period may be extended at the option of University management working in conjunction with Human Resources. Employees in this status who commit minor infractions as described above in Section 2.4 will typically receive a written



warning. Further violations/performance deficiencies, behavior/conduct violations, and/or attendance violations usually result in immediate termination of employment. More serious infractions as outlined in Sections 2.7 above usually result in immediate termination of employment.

3. Definitions

3.1. None.

4. Procedure

4.1. None.

5. Related Information

5.1. None.

Due Process/Promotion in Rank Appeal

Policy Adopted for BUCOM 9/29/2022

Policy Information			
Policy# :	BOD.1012	Reviewed Date(s):	
Date Created:	May 19, 2014	Revised Date(s):	4/16; 1/2021
Responsible University Administrator:	President	Approved by Board of Directors:	March 9, 2021

1. Purpose

- 1.1. To provide the faculty the opportunity to appeal decisions regarding promotion in rank.

2. Policy

- 2.1. A full-time faculty member has the right to request administrative review of the decision of the Academic Dean, Provost or Board of Directors, if a recommendation for promotion in rank has been denied. Each faculty member has the right to a fair and equitable evaluation of the evidence in the portfolio.
- 2.2. If the Peer Review Committee makes a recommendation to the Provost to deny the promotion in rank, and if this decision is upheld by both the Provost and the Board of Directors, the faculty member has the right to appeal to the University President.
- 2.3. The University President will review all documentation related to the denial of promotion; the decision rendered will be affirmed by the Board of Directors and considered final, and the faculty member will have no further recourse for an appeal.
- 2.4. Faculty can expect consistent application of the criteria across similar cases.

3. Definitions

- 3.1. None.

4. Procedure

- 4.1. Excluded from this procedure are appeals alleging discrimination, harassment or retaliation. If the faculty member believes he or she is a victim of discrimination, harassment or retaliation, the faculty should contact the Vice-President of Administrative Services as outlined in the Equal Opportunity Employer Policy.
- 4.2. If a faculty member is not recommended for promotion in rank, he or she may request a meeting with his/her Academic Dean to discuss the rationale for the decision. The faculty must initiate this review process within three (3) regularly scheduled work days for full-time faculty (hereafter "work days") after receiving notification from the Dean. In most circumstances, the discussion between the faculty member and the Dean should result in resolution.
- 4.3. If the faculty member concerns are not resolved following the discussion with the Academic Dean, the faculty may proceed with the review process by submitting a written request to the University Provost within three work days. The request for further review by the Provost must outline specifically why the faculty member feels the decision by the Academic Dean warrants additional evaluation.

- 4.4. The Provost will meet with the faculty member within three (3) work days of receiving the written appeal to discuss and/or substantiate reasons for disagreement with the Academic Dean's denial for promotion in rank decision. Upon thorough and independent review of the faculty member's portfolio, the Provost will render a decision within three (3) work days of the meeting. The decision will be forwarded via certified mail to the faculty member's mailing address.
- 4.5. The Provost determines whether further examination is warranted by the Peer Review Committee. The decision for Peer Review rests solely with the Provost after thorough investigation of the matter. In cases where the Peer Review Committee is asked to convene for review the promotion in rank decision, the faculty member's portfolio is submitted to the Committee, and the procedure to follow can be found on the University Intranet, Paw Prints.
- 4.6. If the Peer Review Committee makes a recommendation to the Provost to deny the promotion in rank, and if this decision is upheld by both the Provost and the Board of Directors, the faculty member has the right to appeal to the University President. The faculty member will have three (3) work days from receiving notification of denied promotion in rank, to submit a written appeal to the University President.

5. Related Information

- 5.1. None.

Due Process/Problem Solving Procedure

Policy Adopted for BUCOM 9/29/2022

Policy Information			
Policy# :	GEN.2059	Reviewed Date(s):	4/01; 10/03; 9/07; 1/13
Date Created:	July 1, 2005	Revised Date(s):	2/06; 9/19
Responsible University Administrator:	VP, Administrative Services	President Council Approved Date:	January 9, 2020

1. Purpose

- 1.1. To affirm the University's commitment to continuous problem solving among its employees and management which is not only permissible, but is expected and encouraged.
- 1.2. To provide all eligible employees an accessible method of expressing concerns, in an impartial and timely manner.
- 1.3. To contribute in a positive way toward mutual respect and trust through the constructive resolution of conflicts between the University and its employees.
- 1.4. To affirm the organization's commitment to fair and consistent terms and conditions of employment without regard to an individual's age, sex, race, color, religion, national origin, or physical or mental disability.

2. Policy

2.1. Open Door Policy & Chain of Command Process

- 2.1.1. When an employee has a work-related problem or concern, he/she is expected to pursue timely resolution through his/her immediate supervisor. If the employee is not satisfied with this step or is uncomfortable talking with his/her supervisor, then he/she is encouraged to proceed to the next level in the chain of command and/or discuss with Administrative Services.

2.2. Formal Appeal of Discharge

- 2.2.1. The University is committed to ensuring that every employee, regardless of position, be treated with respect and in a fair and just manner at all times. Regular employees (full or part time) who disagree with a discharge may initiate the formal Problem Solving Procedure (PSP) providing they have completed their Initial Ninety (90) Day Introductory Period. In such cases, if an employee elects to pursue the PSP, he/she must do so by contacting the Administrative Services no later than seven (7) consecutive calendar days from their knowledge of the corrective action. This process includes steps culminating with a review by the President.

2.3. Alleged Workplace Discrimination or Harassment

- 2.3.1. The University is committed to creating and fostering a positive and productive work environment for all of its employees. In keeping with this commitment, the University has strict policies against workplace discrimination and harassment against any individual on the basis of race, color, religion, sex/gender, national origin, age, or mental or physical disability.

2.3.2. The University strongly encourages all employees who have experienced, witnessed, or have knowledge of any form of discrimination and/or harassment to report it immediately to their immediate supervisor, a member of the management team, or Administrative Services. Once an alleged violation is reported, whether it is reported to the employee's immediate supervisor, another member of the management team, or Administrative Services, Administrative Services is responsible for conducting a prompt internal investigation and formal review in keeping with University policy.

2.4. Retaliation/Discrimination

2.4.1. No employee is to suffer retaliation or discrimination in response to the use of or participation in Problem Solving Procedure. Employees are expected to contact the Vice President, Administrative Services to report any alleged retaliatory or discriminatory acts so that these concerns can be properly addressed.

2.5. Request for Exceptions

2.5.1. Policy is to provide basic information and general guidance regarding Problem Solving Procedure for University employees. This policy cannot anticipate every situation or answer every question about the Problem Solving Procedure. Therefore, to retain the necessary flexibility to administer this policy, the University reserves the right to modify, change, suspend or cancel at any time with or without written notice, any or all of this policy as circumstances may require. Requests for exceptions to this policy must be submitted in writing, reviewed by the Vice President, Administrative Services, and approved by the President at the time the request is made.

3. Definitions

3.1. None.

4. Procedure

4.1. None.

5. Related Information

5.1. Faculty and Staff Due Process



POLICY ON PRACTICE EARNINGS: BUCOM

Policy Information			
Policy# :	COMBOD.1014	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost / Vice President of Academic Affairs	President Council Approved Date:	9/22/22

1. Purpose

- 1.1. To establish the guidelines on practice remuneration for Baptist Health Science University College of Osteopathic Medicine (BUCOM) faculty working in the Baptist Memorial Health Care (BMHCC) clinical setting.

2. Policy

- 2.1. Core faculty in the BUCOM may provide medical care within specified BMHCC or Baptist Medical Group (BMG) facilities as part of their routine clinical duties.
- 2.2. Remuneration for these services will be paid from BMHCC or BMG directly to BUCOM to offset the percentage time for which the faculty is working in that practice/clinical setting.
- 2.3. In cases where physician revenue exceeds that budgeted in terms of percent effort for the medical school, the faculty member may receive merit pay based on superior clinical production.
- 2.4. Non-core (community preceptors or faculty not directly employed through BUCOM) are not eligible for either merit pay for exceeding clinical production nor BUCOM salary or merit pay.

3. Definitions

- 3.1. Core faculty: physician faculty employed with BUCOM who may have a percent time designated for clinical activities within the Baptist Healthcare System.
- 3.2. Non-core (clinical) faculty: faculty who are not employed by or paid by BUCOM who serve as clinical preceptors but receive remuneration from their clinical practices.

4. Procedure

- 4.1. The Dean of BUCOM will negotiate annually with the BMG Chief Executive Officer or their designee.
- 4.2. The BUCOM Dean will provide information regarding the percent effort for each core physician faculty who is working within the BMHCC or BMG setting.
- 4.3. BMHCC administration will negotiate with the BUCOM dean regarding compensation for each physician's percent effort, including RVU and other necessary benchmarks for productivity.
- 4.4. Productivity benchmarks will be shared with each faculty at their annual performance review.
- 4.5. Physicians who exceed their expected production basis will be compensated for their efforts in excess of their established benchmark.

5. Related Information

- 5.1. None.