SOMA
FACULTY HANDBOOK
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This Faculty Handbook is not a contract and shall in no event be construed as such. This Faculty Handbook is a compendium of policies and procedures that govern, among other things, responsibilities, appointment, promotion, fringe benefits and grievance procedures for the faculty of A.T. Still University School of Osteopathic Medicine in Arizona (SOMA). Many of these policies and procedures contained in this Handbook are also found in the University Policies and Procedures Manual (on file in each department office). Policies and procedures governing faculty function may change from time to time, and efforts are made to include in this Handbook current and relevant policies and procedures; however, the Policies and Procedures Manual is the definitive source of all operating policies and procedures that relate to the faculty and faculty are bound by the then current Policies and Procedures Manual. This handbook will be maintained in a PDF file available on the web portal. It is anticipated that this document will be reviewed every two years through a process determined by the SOMA Faculty Council and approved by School administration and the President.

**Prohibition of Discrimination, Harassment, and Retaliation**

A.T. Still University of Health Sciences (ATSU) does not discriminate on the basis of race, color, religion, national origin, sex, gender, sexual preference, age or disability in admission or access to, or treatment or employment in its programs and activities. Any person with questions concerning ATSU’s nondiscrimination policies is directed to contact the following persons:

Employees may contact: 

**Arizona Campus:**

Tonya Fitch  
Ass’t Director Human Resources  
5850 East Still Circle  
Mesa, AZ 85206-3618  
(480) 219.6007

**Missouri Campus**

Donna Brown  
Director of Human Resources  
800 West Jefferson Street  
Kirkville, Missouri 63501  
(660) 626-2790

Students, members of the public, or beneficiaries may contact:

**Arizona Campus:**

Beth Poppre  
Ass’t Vice President of Student and Alumni Services  
5850 E. Still Circle  
Mesa, Arizona 85206-3618  
(480) 219-6026

**Missouri Campus**

Lori Haxton  
Vice President of Student and Alumni Services  
800 West Jefferson Street  
Kirkville, Missouri 63501  
(660) 626-2236

Harassment and retaliation are forms of discrimination prohibited by the University.
Anti-Harassment

Prohibited conduct includes unwelcome conduct, whether verbal, non-verbal, physical, or visual, that is based on or relates to an individual's race, color, religion, sex (including pregnancy), national origin, disability, age, or any other status protected by applicable law, and 1) has the purpose or effect of creating an intimidating, hostile or offensive environment; 2) has the purpose or effect of unreasonably interfering with an individual's work or student performance; or 3) otherwise adversely affects an individual's employment or education opportunities.

Examples of prohibited conduct include but are not limited to; jokes, epithets, slurs, insults, negative stereotyping, written or graphic material, (including emails), or any threatening or intimidating act, that denigrate or show hostility toward an individual and that relate to race, color, religion, sex (including pregnancy), national origin, disability, age, or any other status protected by applicable law.

Prohibited behavior also includes any unwelcome behavior of a sexual nature such as sexual advances and propositions, requests for sexual favors, sexual jokes, comments, suggestions, or innuendo, foul or obscene gestures or language, display of foul or obscene or offensive printed or visual material, physical contact such as patting, pinching, hugging or brushing against another individual's body; and any other unwelcome verbal, non-verbal, physical or visual conduct of a sexual nature where:

1. Submission to such conduct is an explicit or implicit condition of employment or education; or

2. Submission to or rejection of such conduct is used as a basis for employment-related or academic-related decisions such as a promotion, discharge, performance evaluation, pay adjustment, discipline, work assignment or any other condition of employment or career development or academic development; or

3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, abusive or offensive working or education environment.

This policy applies universally to all University personnel and students in their dealings with each other and to third parties in their dealings with University personnel and students. Any University personnel or student who violates this policy will be subject to corrective action up to and including dismissal or termination. A salaried exempt employee may be suspended in full-day increments without pay for violations of this policy. Any University personnel or students may be disciplined, up to and including dismissal or termination, for engaging in behavior that is disrespectful or disruptive or otherwise prohibited by this Policy, regardless of whether that behavior constitutes harassment prohibited by law.
Discrimination, Harassment, and Retaliation Grievance Procedures

Any individual who feels he/she has witnessed or experienced behavior prohibited by this Policy in connection with her/his employment or as a student with the University, or who has questions, concerns or complaints of harassment, should immediately report the circumstance(s) or incident(s) to his or her supervisor, the Vice President for Student and Alumni Services or the Human Resources Director (see designated coordinators, above). Upon receipt of a written or verbal complaint of discrimination, harassment, or retaliation, the University will conduct an impartial investigation and evaluate all relevant information and documentation relating to the complaint. If a verbal complaint is made, such complaint must be reduced to writing and signed by the complainant after the complainant has an opportunity to discuss the allegations and/or circumstances with the investigator. Such investigation shall be concluded within ten (10) business days of the receipt of the complaint by the appropriate personnel. As part of the investigation the complainant shall have the opportunity to present witnesses and provide evidence that has not yet been considered by the investigator. Written notice to the complainant describing the findings of the investigation will occur within five (5) business days of the completion of the investigation. If unsatisfied with the findings of the investigation, student complainants shall have the right to appeal the decision to the Dean of the appropriate School within five (5) business days of receiving the findings. Any other complainants shall have the right to appeal the decision to the President of the University within five (5) business days of receiving the findings. Upon receipt of a written appeal, the President or the Dean of the appropriate school shall have fifteen (15) business days to rule on the appeal.

Anti-Retaliation

The University will not retaliate against, nor permit retaliation against, any individual who opposes discrimination or harassment, makes a complaint of discrimination or harassment, and/or participates or cooperates in a discrimination or harassment investigation, proceeding or hearing.

Student Disability Accommodations

Faculty members should be aware of the process whereby students with disabilities may seek accommodations under federal law and ATSU policy. Students may find that disabilities diminish academic performance. The University can make accommodations for students with documented disabilities who are otherwise qualified. Students with disabilities are encouraged to contact the learning resources department. Requests for accommodations must be made in writing to the director-learning resources, whose contact information is as follows:

Director-Learning Resources
800 W. Jefferson Street
Kirksville, MO 63501
(660) 626-2424
learningresources@atsu.edu
The director-learning resources will confer with the student and may request documentation and may refer the student for individual assessment by qualified experts. The ATSU Technical Standards and Accommodations Committee shall review any request for accommodations. The Committee determines whether there are disabilities as protected by the Americans with Disabilities Act and/or Section 504 of the Rehabilitation Act and then decides if reasonable accommodations can be made without fundamentally altering the essential nature of the school’s program or instruction being pursued.

The Committee makes recommendations for or against accommodations to the director-learning resources who will notify the student and the appropriate faculty and staff members who have an educational need to know. Within ten (10) days of receiving the Committee’s determination from the director-learning resources a student can appeal the decision in writing to the dean of the appropriate school.
CHAPTER 1 - OVERVIEW

Introduction

This handbook is provided to the faculty of the A.T. Still University School of Osteopathic Medicine in Arizona (SOMA) as a guide to the interpretation and application of policies and procedures regarding, among other things, their appointment and continuing status. This handbook seeks to cover the essential provisions of regulations and procedures, especially in relation to subjects under faculty benefits where updates are commonplace. Reference will be made in this handbook to documents which lend clarity to topics of concern to faculty. The University reserves the right to make changes in policies and procedures as needed.

Mission and Purpose Statements

ATSU Mission Statement

A.T. Still University of Health Sciences serves as a learning-centered university dedicated to preparing highly competent professionals through innovative academic programs with a commitment to continue its osteopathic heritage and its focus on whole person healthcare, scholarship, community health, interprofessional education, diversity, and underserved populations.

SOMA Purpose Statement

PURPOSE: To prepare excellent osteopathic physicians to serve the health care needs of society

VALUES: As an osteopathic medical School devoted to excellence, we value:

- Scholarship
- Professionalism
- Learning centeredness
- Compassion
- The whole person (Body, Mind and Spirit)
- Teamwork
- Innovation

GOALS: Leadership in Community Health - SOMA will strive to accomplish goals in the areas of teaching, research and service. The faculty of SOMA will:

TEACHING
  - Use Best Evidence Medical Education (BEME) to pursue innovative approaches to learning.
  - Model the knowledge, skills and behaviors of successful osteopathic physicians.
• Be scholars in the discipline of medical education.

**Research and Scholarship**
• Engage in medical education research.
• Investigate innovative strategies for health care delivery including a focus on inter-disciplinary and inter-professional team practice.
• Collaborate with the Kirksville College of Osteopathic Medicine (KCOM) to advance knowledge in the biomedical sciences, and clinical medicine, and osteopathic principles and practices.

**Service**
• Work with all clinical affiliates to promote and provide distinctive osteopathic health care including osteopathic manipulative medicine.
• Will seek to improve health in underserved communities through its partnership with its community campuses.

**University Governance**

*Board of Trustees:* A.T. Still University is incorporated under the laws of the state of Missouri as a private, nonprofit 501(c)(3) institution. The governing body is the Board of Trustees, which holds title to the properties of the University and establishes the policies for its operation. Responsibility for the details of administration and operation is delegated to the officers and faculty.

**SOMA Governance**

*Administration:* The President of the University shall supervise all officers of SOMA and the other schools and colleges of the University. The officers of SOMA include the Dean, and others as added by the President and endorsed by the ATSU Board of Trustees.

The Dean works under the supervision of the Senior Vice President - Academic Affairs and the President in order to coordinate overall management of SOMA. The Senior Vice President - Academic Affairs, under the direction of the President, supervises and assists the Dean in recruiting, negotiating, and dealing with all prospective and present members of faculty and staff regarding their employment, compensation, benefits, job descriptions, and performance evaluations.

The Senior Vice President - Academic Affairs, under the direction of the President, reviews with the Dean his or her management and evaluation of faculty and staff, including the development, implementation, and enforcement of all policies, rules, and regulations, and all disciplinary actions.

The Senior Vice President - Academic Affairs, under the guidance of the President, will provide leadership, direction, and supervision for the educational and research activities of SOMA. The Dean, under the direction of the Senior Vice President - Academic Affairs, will have day-to-day responsibility for the management, direction, and supervision of all faculty members and
students, including the planning, development, and administration of curriculum, and co-curricular activities

The Dean delegates to the Vice Dean, Associate Dean(s) or Assistant Dean(s) as appropriate, the responsibility to oversee the academic activities of individual faculty members.
CHAPTER 2 - FACULTY APPOINTMENT AND PROMOTION

Appointment Process

The recruitment of persons for appointment to the full-time faculty shall be conducted in full compliance with ATSU’s Equal Employment Opportunity Policy, Affirmative Action Policy, and other applicable statutory laws and regulations. The Dean shall make his/her recommendation relative to faculty appointments to the Senior Vice President - Academic Affairs who then recommends to the President.

The recruitment of new faculty members is the responsibility of the Dean, Vice Dean, Associate Deans, or Assistant Deans. Recruitment of faculty shall be coordinated by the Dean’s office with assistance from the Human Resources Department. Requests for filling faculty vacancies must designate the requested rank and the salary range.

After completion of interviews, the administrator (i.e., Dean, Vice Dean, Associate Dean, or Assistant Dean) who conducted the recruitment process shall forward their nomination(s) for appointment with the proposed academic rank to the Dean.

Classifications

The Faculty shall be divided into the following classifications:
• Full faculty
• Adjunct faculty
• Preceptor faculty

FULL FACULTY

Full faculty status shall be granted only to persons who possess an academic rank and whose primary functions within the School include teaching, research/scholarly activity, and professional service. All individuals granted full faculty status shall have a letter which specifies duties and supervisor. A separate letter will be provided which deals with academic rank.

Full faculty are expected to participate significantly in all three aspects of faculty duties, namely: teaching, scholarly activity, and professional service. Teaching may include presentation of didactic material to large or small groups, development of instructional material or innovations in the educational andragogy such as new instructional methodologies. Scholarly activities may include research, publications and grant writing or other scholarly activities that promote the mission of the University. Service refers to the contributions made to the University community, professional community or to the community at large external to the University. Examples of service to the University include service on standing or ad hoc committees. External service to the community at large may be demonstrated by such participation as service on the board of directors of a community organization like the American Heart Association or board of a local hospital.
Each of the examples above are intended to be illustrative of specific modalities to fulfill requirements in each category and are not intended to be limited to the example cited. Faculty are encouraged to discuss their proposed methods to demonstrate fulfillment in each category with the appropriate Assistant or Associate Dean or Vice Dean.

The Dean, Vice Dean, Associate Dean, Assistant Dean and/or faculty member’s supervisor will determine the professional service that a faculty member shall provide. Failure to undertake professional duties which were reasonably assigned to the faculty member is grounds for loss of full faculty status or termination of employment.

Full faculty status shall not be granted to those who only incidentally contribute to instruction in the course of performing other functions. The Dean and other administrators, whose primary responsibility is oversight of the educational program, may be granted full faculty status even though their responsibilities are primarily administrative rather than instructional.

Unless otherwise agreed to in writing, full faculty members may (1) use the A.T. Still Learning Resource Center; (2) have access to the parts of the School’s computer network which are generally available for full-time faculty use for teaching, research and scholarly activities, and to those shared School facilities which are generally available to faculty for these purposes; (3) request assistance of the Office of Grants and Institutional Research and other administrative offices in the preparation of applications for, and in the administration of, teaching and research grants. Voting privileges at Faculty Meetings shall be afforded to those full faculty possessing a rank of Instructor or higher. Voting privileges in the Faculty Council are outlined in the Constitution of the Faculty Council.

**ADJUNCT FACULTY**

Adjunct faculty are those individuals who have significant ongoing responsibility in the School to either teach or conduct biomedical research. Adjunct faculty may also include those professionals who have an ongoing relationship with SOMA and who are committed to the clinical training programs off-campus. Adjunct faculty normally participate in SOMA teaching or biomedical research programs, and are not required to perform School service such as committee activities or student interviewing.

Adjunct faculty is appointed by the Dean. Adjunct faculty shall be listed on the faculty roster. Adjunct faculty appointments shall be reviewed every three years. Reappointment will be dependent on the need for that particular subject/content as part of the curriculum, and upon the quality of instruction as it is integrated into the curriculum. Each adjunct faculty member shall have an appointment which specifies responsibilities, and the duration of the appointment. Adjunct faculty may be eligible for benefits under University policy if they receive a salary. Adjuncts will be permitted to utilize the A.T. Still Learning Resource Center and may be granted access to the parts of the School’s computer network that are generally available to full faculty.
**PRECEPTOR FACULTY**

Preceptor Faculty Physicians and other health care professionals who participate in the School’s clinical training programs. They are appointed based on their academic responsibilities. Preceptors are considered a valuable component of the clinical education program. Their status is documented in the Clinical Affairs Unit. They are generally not listed in the School catalog nor hold faculty rank. Preceptor faculty members do not receive committee assignments and do not hold voting privileges. They may be granted access to the Learning Resource Center and are eligible for guest log-in pass to the Learning Management System. Preceptor Faculty appointments shall be reviewed every three years.

**Academic Rank**

Full-time and Adjunct Faculty shall be appointed to one of the following academic ranks:

**Full-time faculty**
- Professor
- Associate Professor
- Assistant Professor
- Instructor
- Assistant Instructor
- Lecturer/Facilitator

**Adjunct Faculty**
- Adjunct Professor
- Adjunct Associate Professor
- Adjunct Assistant Professor
- Adjunct Instructor
- Adjunct Assistant Instructor
- Adjunct Lecturer/Facilitator

Academic rank shall be assigned according to the criteria stated under Faculty Appointments and Promotion. All nominations for appointment to the faculty or for promotion in academic rank shall be made with the recommendation of the Dean, and the approval of the Senior Vice President - Academic Affairs and President.

**Faculty Appointments and Promotions**

Academic appointment and promotion is a process wherein candidates are judged against general, rather than specific, national standards. These guidelines are intended to broadly define the minimum performance levels associated with the academic ranks between Lecturer/Facilitator and Professor. In general, promotion in rank represents the progression though increasing levels of academic performance, scholarly achievement, service, and leadership as detailed in Appendix F.
Academic duties generally fall into three basic categories: teaching, scholarly activity, and service. Faculty are expected to fulfill specific teaching responsibilities, perform scholarly work, perform service, and perform assigned administrative duties. A record of competence in discharging these responsibilities contributes positively to a faculty member’s evaluation when making appointment and promotion decisions. Clinical Faculty often provide services to patients or the community, however the individual’s record of teaching effectiveness, scholarly achievement, and professional service most clearly marks advancement through their academic career. These three aspects of faculty responsibility may be distributed variously for each faculty member provided that they have the approval of their Vice Dean, Associate Dean, or Assistant Dean and the Dean.

The Dean and other administrators, as recommended by the Senior Vice President - Academic Affairs, shall be exempt from the criteria of these three academic performance categories and may be promoted in rank even though their primary responsibilities are administrative. The Senior Vice President - Academic Affairs shall have the discretionary power to request the promotion of other administrators. The Senior Vice President - Academic Affairs shall have the power to request and recommend promotion of the Dean to the President whose decision is final.

The following sections outline the general criteria for appointment and/or promotion at each academic rank.

Lecturer/Facilitator

Appointment to the rank of Lecturer/Facilitator generally requires an entry-level professional degree, or alternatively, a baccalaureate degree. Candidates should have the potential and qualifications to contribute to a specific academic mission of SOMA.

Assistant Instructor

Appointment or promotion to the rank of Assistant Instructor generally requires a master’s level degree, or alternatively, a baccalaureate degree with a minimum of two years experience in research and/or teaching. Candidates should have the potential and qualifications to contribute to the specific academic mission of SOMA.

Instructor

Appointment or promotion to the rank of Instructor generally requires a professional degree or alternatively, a master’s-level degree with a minimum of two years experience in research, teaching, and/or clinical practice. Candidates should be able to make an immediate contribution to a specific academic mission of the School.

Assistant Professor

Appointment or promotion to the rank of Assistant Professor generally requires a professional degree and at least two full time years’ professional experience or the equivalent. Appointment at the Assistant Professor level is reserved for candidates who have the potential
and qualifications to make a sustained contribution to the academic mission of the School, and who are capable of teaching and/or independent scholarly activity, and service. Evidence of this potential might include:

- Teaching experience and teaching effectiveness
- Publication of original scholarly work in peer-reviewed professional journals
- Record of extramural funding
- Completion of residency and/or specialty training or certification
- Experience operating an independent practice
- Administrative experience in a health care setting
- Willingness to provide service

**Associate Professor**

Candidates for the rank of Associate Professor would normally have four or more years of experience at the Assistant Professor level. Appointment or promotion to the rank of Associate Professor requires sustained performance at a level above the minimal standards established for Assistant Professor. Appointment or promotion to the rank of Associate Professor also requires a record of accomplishment in two of the three areas, (teaching, scholarly activity and service) and some strength in the third.

Examples of academic accomplishment, independent scholarly activity, and service might include:

- Teaching experience and teaching effectiveness.
- Regular publication of original scholarly work in peer-reviewed professional journals.
- Regular presentation of research/scholarly data at national meetings.
- Extramural research support from a national funding agency.
- Participation at the local and regional level in professional society affairs.
- Professional specialty board certification.
- Regular presentation at local and regional Continuing Medical Education (CME) programs.
- Novel and unique contribution to SOMA’s education programs.
- Record of service to SOMA.

**Professor**

Candidates for the rank of Professor would normally have a doctoral degree plus a minimum of five years experience at the Associate Professor level. Appointment or promotion to the rank of Professor requires sustained performance at a level above the minimal standards established for Associate Professor. Appointment or promotion to the rank of Professor also requires outstanding and extensive professional accomplishment in one of the three areas (teaching, scholarly activity and service) and significant accomplishments in the other two areas.
Examples of academic accomplishment, meritorious scholarly activity, and service might include:

- Publication of scholarly works which have made a significant impact in university-related professions.
- Participation at the state or national level in professional society affairs.
- Participation at the state or national level in research peer-review process.
- Participation at the state or national level in the formulation and administration of governmental health care policy.
- Participation at the state or national level in professional association policy formulation or institutional review processes.
- Participation as an invited speaker at national or international symposia.
- A letter(s) of support from one or more outside colleagues attesting to the significance of the scholarly and/or professional contributions made by the candidate.
- Sustained service to the University.

Honorary Appointment

_Distinguished Professor_. The title of “Distinguished Professor” may be awarded by the President and Board of Trustees to professors in recognition for outstanding academic achievement.

_Endowed professorships_. Endowed professorships may be awarded or designated in accordance with the terms agreed upon by a donor and the SOMA, and after completion of the terms as specified by the President and Board of Trustees.

_Emeritus faculty status_. Upon retirement from the full-time faculty, faculty members may be awarded the emeritus title (i.e., Emeritus Professor, Emeritus Associate Professor, etc.) with concurrence of majority of the full professors of the SOMA, Dean, Senior Vice President - Academic Affairs, President, and the Board of Trustees.

Procedures for Promotion in Academic Rank

The Faculty Promotion Committee shall consist of five faculty elected by the Faculty Council. At least two of the five members shall hold the rank of full professor. The committee shall elect a chair from among its membership. All votes shall be taken by secret ballot and tallied by the chair, and only the result shall be reported. A majority vote will prevail.

It is the responsibility of the Faculty Promotion Committee to critically review the documentation supporting a faculty member’s request for promotion to determine if the candidate meets the qualifications specified for that rank. The Committee is empowered to request that the candidate or other administrative officer(s) provide any documentation deemed necessary for its full deliberation. Failure by the candidate or other administrative officer(s) to provide such documentation may delay consideration of the promotion.
Recommendations for promotion in academic rank shall be submitted once per academic year before April 30 in response to a call for promotion by the Vice Dean.

Recommendations for promotion in academic rank for a member of the faculty shall be made by the Associate/Assistant Deans. Recommendations for promotion of Associate/Assistant Deans, and Vice Dean to higher academic rank shall be made by the Dean.

The formal process of promotion in rank shall be initiated by the faculty member seeking promotion with the support of the appropriate Associate/Assistant Dean.

Should a faculty member not be able to solicit the support of the appropriate Associate/Assistant Dean to initiate the promotion process, the faculty member may appeal directly to the Dean for support. In such a case, that Associate/Assistant Dean must explicitly detail to the candidate the reasons and deficiencies upon which their decision is based, and must detail the progress that must be realized before support can be attained. A faculty member seeking a promotion in academic rank assumes the responsibility for preparing a detailed portfolio summarizing and documenting their professional credentials, academic accomplishments, scholarly activity, and service. The completed portfolio, with a cover letter formally requesting consideration for promotion (must specify the academic rank sought), shall be submitted to the appropriate Associate/Assistant Dean for review. At a minimum, the applicant’s portfolio should include:

- A current copy of the candidate’s curriculum vitae
- A support letter from the candidate’s Assistant/Associate Dean
- Letters of support from three evaluators (including at least one external evaluator) at or above the desired rank

Applicants are invited to submit any additional materials supporting professional credentials, academic accomplishments, scholarly activity and service and any additional materials deemed critical to the promotion decision.

Following the receipt of a recommendation from an Associate/Assistant Dean the Dean shall prepare and distribute copies of all submitted materials to the members of the Faculty Promotion Committee.

The Faculty Promotion Committee shall convene and render its recommendations regarding pending applications for promotion in rank to the Dean. The Dean shall forward the committee recommendation with his/her recommendation to the Senior Vice President- Academic Affairs. If the Faculty Promotion Committee and/or the Dean do not support the recommendation for promotion in rank, the Faculty Promotion Committee and/or the Dean shall provide written justification for the decision to the candidate. If the Faculty Promotion Committee and/or the Dean recommends the promotion in rank, the Dean shall forward his/her recommendations to the Senior Vice President- Academic Affairs whose decision is final and without grievance or appeal.

The Dean shall inform the candidate in writing of the final decision of the Senior Vice President-Academic Affairs regarding promotion. If the promotion is denied, the Dean shall provide a summary response to the candidate detailing the reason(s) for denial. This notification
shall be copied to the appropriate Associate/Assistant Dean. The original and copies of the candidate’s portfolio shall be returned to the candidate.

In the circumstance where an individual is receiving initial faculty appointment to SOMA and is being considered for initial appointment at a rank higher than at the previous institution, the Dean will seek the advice of the Faculty Promotion Committee on the appropriate rank for that individual. In all other cases of initial faculty appointment rank will be determined and assigned by the Dean.

Salary Adjustment Procedure

The protocol, which culminates with the Senior Vice President - Academic Affairs adding a recommendation to the President regarding salary adjustments related to each faculty member’s annual evaluation, is described in the document Procedure for Evaluation of Faculty Performance. Salary adjustments shall become effective with a faculty member’s July paycheck.

Grievance Procedure

Faculty members should consult Appendices B & C of this document to appreciate the different aspects of grievances and the procedures of a Hearing Committee. Faculty members having problems should consult the organizational chart in Appendix D of this document to identify the appropriate lines of authority. All faculty members report directly to a Supervisor, Vice Dean, Associate Dean, or Assistant Dean, or the Dean.

The institution recognizes the right of faculty to express grievances and to seek solutions to problems arising from complaints, disagreements with students, colleagues or administrators or different interpretations of institutional policy. These concerns may involve procedures, policies, conduct or other concerns. In all cases faculty having specific grievances should attempt their resolution with the specific individual in charge of that area by review of a written complaint submitted to that individual. However, when resolution is not achieved by this method, grievances from the faculty may be expressed to the Faculty Council officers, in writing, for consideration. Such grievances may be transmitted in written form to the Dean, from the President of the Faculty Council, for consideration and dispensation by the Dean or his designee. No faculty member may initiate a grievance regarding the results of a past promotion final decision by the President. The grievance procedures for discrimination, harassment, and retaliation are outlined on Appendix C of this handbook in the section entitled Hearing Committee.

Academic due process is followed in internal institutional hearings and is separate and distinct from the due process of law.

For the protection of academic due process and of all concerned parties, all public statements about a case must be avoided. Any announcement of the final decision shall include a statement by the Senior Vice President - Academic Affairs or the Hearing Committee, through its chairperson, as applicable. The membership of the Hearing Committee shall be established by
Senior Vice President - Academic Affairs and shall not contain any members of previously involved committees. The Hearing Committee shall serve as the Faculty Grievance Committee for the School.
The Hearing Committee shall make its recommendations to the Senior Vice President - Academic Affairs. In turn, the Senior Vice President - Academic Affairs shall make a recommendation to the President in whose decision shall be final and without appeal.

Employment of Relatives

If two employees in the same department are family members or become related by marriage or otherwise, and one is or would be placed in the position of evaluation, rewarding, or disciplining the other, one of them must transfer to a vacancy within the institution within three months and must provide the appropriate school officer (i.e., Dean, Senior Vice President - Academic Affairs) with an acceptable written plan transferring these evaluative, rewarding, or disciplinary responsibilities to another appropriate employee, or the employee with the least seniority must resign or be terminated.

Dual Relationships

Certain kinds of dual relationships carry the potential for exploitation, loss of objectivity, or conflicts of interest, and they may undermine the optimal progress of learners and the integrity of SOMA.

Examples of dual relationships with great potential for harm include sexual relationships, business relationships, relationships that involve the exchange of money or other forms of payment, contracting as a personal therapist, or serving on the doctoral committee of a spouse, relative or job supervisor/supervisee.

Relationships may change during the course of employment and all constituents must be aware of possible compromises to themselves, the University and its community. Full disclosure and discussion of pre-existing or changed relationships will enable the Institute to take appropriate measures to safeguard SOMA and its programs.

Every employee of SOMA is prohibited from and obligated to refrain from such relationships while engaged in their respective roles as employees of SOMA.

Oral Assurances

No administrator, Dean, Vice Dean, Associate Dean, or Assistant Dean, etc., may give oral assurances of appointment, promotion, or salary. Any such assurances shall not be binding or used as the basis of grievance either within the institution or outside the institution.

No implied or de facto claims to appointment, promotion, or salary shall be construed based on custom, longevity, personal reading of bylaws, or past actions. All such claims shall be based on written documentation and policies approved by the President.
Annual Faculty Review Process

The annual faculty review process is presented in Appendix F.
CHAPTER 3 - FACULTY RESPONSIBILITY

General Responsibilities

When full-time faculty appointments are extended, it is anticipated that the faculty member will participate in the total development of SOMA. Faculty members are expected to support the goals of SOMA. Faculty members may be called upon to serve on duly-established SOMA committees, to interview student applicants, to develop the curriculum, to attend faculty meetings, and to represent SOMA in other capacities. Efforts will be made to assure that such assignments do not compromise basic responsibilities.

Faculty members shall be ready to respond in emergency situations affecting fellow employees, students, and visitors. Emergency response procedures are described in the ATSU Emergency Operations Plan. The plan addresses a variety of crisis situation involving public safety and health, and provides guidelines for dealing with possible emergency situations in several areas: crime in progress, serious injury, accidents, fire, earthquake, disruptive persons/events, water emergency, hazardous materials leaks/spills, and exposure to blood or bodily fluids. Faculty members are encouraged to become familiar with the contents of this plan.

Committees, Boards, and Councils

Committees, boards, and councils exist to facilitate the work of the faculty and SOMA. In addition to standing committees and other groups of long-term activity, ad hoc committees are sometimes established as required by special needs.

Faculty Council

The SOMA Faculty Council is a forum for informed faculty deliberation on matters pertaining to school-wide academic and faculty affairs. It serves as the voice of the collective faculty; provides comment; and acts to advise the administration, when requested, on matters under Council purview.

The membership of the Faculty Council is composed of all full-time faculty members at the level of Lecturer/Facilitator and above. The Dean, Vice Dean, Associate Dean(s), Assistant Dean(s), and the Senior Vice President - Academic Affairs will exclude themselves from attendance at the Council, unless requested to attend.

The bylaws of the SOMA Faculty Council are available for review.
**Academic Freedom**

Faculty members are free:

1) To teach and discuss in courses any aspect of a topic pertinent to the understanding of the subject of the course which they are teaching.

2) To conduct research and publish the results subject to the applicable federal, state, local, and University regulations and any contractual agreements with an industrial sponsor.

3) To act and speak in their professional capacities and as citizens without institutional censorship or discipline. Faculty should recognize that the public may judge their profession and the institution by their statements. Faculty should show respect for the opinions of others and should make every effort to indicate that they are not necessarily institutional spokespersons.

**Consultation and Teaching Outside SOMA**

Faculty members may provide their expertise to entities outside of SOMA, provided such activities do not constitute a conflict of interest, and do not interfere with the regular instructional duties of faculty/staff.

The appropriate administrator (Vice Dean, Associate Dean, or Assistant Dean, Dean or Senior Vice President - Academic Affairs) must approve the activity. Any compensation for consultation services will remain the property of the individual providing the consultation; however, the Dean has the right to proportionally reduce the salary of the faculty member when the consulting period is protracted. Tax responsibility is assumed by the individual.

**Telecommuting/Work at Home Policy**

Telecommuting and work at home will be approved on a case-by-case basis by the Vice Dean or designee.

During those times in which no classes, SOMA meetings, or other on-campus faculty responsibilities are scheduled, faculty may be allowed the opportunity of off-campus work. SOMA will authorize off-campus work where there are opportunities for improved employee performance, potential department savings, or reduced mileage to work. Administration of this procedure will be on a case-by-case basis. Off-campus work is broadly defined as telecommuting or approved professional activities.

Expectations for off-campus work include:

1) Off-campus work is secondary to on-campus responsibilities.

2) Faculty must be reachable during off-campus work by two-way communication, i.e.
phone, cell phone, pager or computer.

3) Work hours during off-campus time will be during regular campus hours, unless otherwise arranged.

4) The faculty member should post their office hours, including off-campus time, where it is readily available, including contact information.

5) During off-campus work, the faculty member should be available to faculty, staff and students.

6) Demonstration of continued productivity.

Noncompliance with this policy may result in:

1) Revocation of the faculty member’s individual privilege.

2) Charging unauthorized time against the faculty member’s vacation time.

3) Reflection in the annual performance evaluation.

It is the responsibility of the Vice Dean, Associate Dean, or Assistant Dean to ensure that service within his/her assigned faculty members is adequately provided and to see that off-campus work time is granted on a fair and equitable basis.

Copyright Policy

Faculty members are responsible for adhering to the following guidelines for copying and use of copied materials.

The fair use doctrine, as designated by Public Law 94-153, allows copying in certain instances without permission from or payment to the copyright owner. Under the law, it is fair use to reproduce copyrighted materials for purposes of criticism, comment, news reporting, teaching, scholarship, or research. Four criteria must be applied in judgment of whether or not there has been an infringement:

1) The purpose and character of the use (commercial or educational).

2) The nature of the copyrighted work (textbook, workbook, tests, poetry, novel, music).

3) The amount and substantiality of the portion used in relation to the work as a whole. (How much is being copied? How important is the copied portion to the entire work? How many copies are being made?)

4) The effect of the use on the value of or potential market for the work. (Will the owner
suffer unreasonable financial loss?)

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of the required conditions for producing the photocopy or reproduction prohibits the “use for any purpose other than private study, scholarship, or research.” If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of “fair use,” that user may be liable for copyright infringement. ATSU’s Libraries reserve the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law. The library shall retain a record of all materials requested for a period of five years. All departments requesting and obtaining copyright permission shall retain a record of all requests and responses.

The ATSU Libraries observe the Fair Use Guidelines for the Educational Use of Copyrighted Materials. The Library will place copyrighted material on E-Reserve (Electronic Reserve) for one semester. To use the same material in subsequent semesters, written permission from the copyright holder must be obtained if the material does not fall within the Fair Use Guidelines. The ATSU libraries generally recommend that copyright permission be sought when:

- The material is NOT owned by the ATSU libraries and is being used by the same instructor for the same course for more than one semester.

- The amount of material used from a book or single journal issue exceeds what is deemed to be within Fair Use.

It is the instructor's responsibility to obtain permission but the ATSU Libraries will assist the faculty if needed. All copyrighted material is password-protected to ensure that it is restricted to class members only. Materials placed on electronic reserves should not be used to create, or to replace or substitute for anthologies, compilations or collective works.

ATSU employees utilize the ATSU copyright guidelines which give specific information regarding the copying of classroom materials, photocopying of library materials, computer program copying, obtaining permission to use copyrighted materials, recording broadcast programs, duplication of commercial videotapes, duplication of slides from printed material, and duplication of commercial slides.

Philosophy Statement on Diversity

The faculty, staff and administration of SOMA believe that diversity is an integral component of the academic experience and that we have an ethical responsibility to prepare our faculty, staff, and graduates to live and work in a culturally diverse society. We recognize the unique contribution of every student, faculty or staff member and are committed to creating a congenial and collegial environment that values and fosters diversity.

SOMA’s mission on diversity is to foster an atmosphere of awareness and acceptance that embraces diverse backgrounds, philosophies and lifestyles including under-represented groups. SOMA will create and support a campus community that educates health care professionals who
value and appreciate the importance of and have a unique perspective and outlook on diversity. We will seek to improve the quality of life of our faculty, staff, and students by developing and implementing policies and programs that support the SOMA philosophy on diversity. We hope to help our students learn about the different cultures in society, understand that diversity, and actively seek to work with clients and patients from varied cultures and backgrounds. We believe that this diversity-rich experience at SOMA will add value to our campus community.

Dress Code

Faculty members are asked to act as role models for students by exhibiting a professional appearance while representing SOMA. A professional practitioner’s appearance is often equated with the practitioner’s level of skill. Therefore, faculty members are expected to dress in a manner befitting the profession of osteopathic medicine and thus are expected to maintain high standards of hygiene and professional appearance at all times. Further, from a safety standpoint, and to comply with state and federal regulations, when in lab or clinical situations, faculty members are expected to comply with the following:

- Wear closed toed footwear in good condition and socks that cover exposed skin when seated
- Maintain neat and clean nails that do not interfere with laboratory or clinical activities or cause patient or student discomfort (no acrylic/fake nails or painted nails)
- Limit jewelry to simple earrings, wedding bands, and watches that do not interfere with laboratory or clinical activities
- Maintain hair that does not interfere with laboratory or clinical activities, including facial hair that does not interfere with Personal Protective Equipment (PPE)
- Avoid use of scented products when working with patients or students
- Have name tags visible at all times.

Use of Buildings and Facilities

The following applies to the utilization of all ATSU facilities for meetings, parties, or other special or social events.

1) Utilization of ATSU facilities shall be ASHS /ASDOH/SOMA departments, ASHS /ASDOH/SOMA recognized groups and organizations, and other ASHS/ASDOH/SOMA determined eligible organizations only. Eligible organizations include those with charitable and education/health care missions consistent with the mission of the School.

2) ATSU reserves the right to exclude any individual or group from usage of its facilities.

3) Food and nonalcoholic beverages may be consumed only in the lobby area, conference rooms, student lounge, and classrooms after reservations and arrangements have been
made. Food and beverages are prohibited in the Anatomy Laboratory and the Learning Resource Center.

4) The use of tobacco or tobacco products on the ATSU campus is prohibited. Use of alcoholic beverages may only be used at approved school events with the approval of the Senior Vice President - Academic Affairs.

5) Food and beverage privileges may be revoked at any time there is abuse of such privileges or violation of this policy.
CHAPTER 4 - FACULTY BENEFITS

The Human Resources Department maintains current policies on faculty benefits. To obtain the most accurate information on matters pertaining to faculty benefits, please contact the Human Resources Department.
As an institution of higher learning one of whose principal missions is the education of health science students, SOMA and all its faculty members must promote and adhere to ethical standards of social and academic conduct. The following ethical codes are extrapolated from the Statement of Professional Ethics of the American Association of University Professors and are intended to give guidance to faculty members as they proceed with the academic activities outlined above.

**Ethical Code of Faculty Activity**

Faculty shall assure that a principal proportion of their professional effort shall be devoted to accomplishing the mission of SOMA. Faculty shall seek to be effective teachers and scholars and help SOMA professionally with committees and course or research/scholarly improvements. While some faculty may engage in significant professional activities outside SOMA, each shall commit to the effort required to capably and completely perform their assigned duties within SOMA.

The proper behavior that reflects commitment to this underlying ethic is as follows:

- The faculty member shall make every effort to accomplish the goals that have been set by the appropriate Vice Dean, Associate Dean, or Assistant Dean and/or the Dean; and
- The faculty member shall scrupulously avoid activities that conflict with their professional duties within SOMA, and shall declare such activities to the Dean if a potential conflict of interest may exist.

Examples of behaviors that violate the ethical code of faculty activity are:

- Failure to meet the responsibilities of instruction, research/scholarly activity, or professional services;
- Refusal to perform reasonable academic or professional duties for which the faculty member is qualified;
- Demonstrated incompetence;
- Seriously unethical conduct towards students, faculty, or administration;
- Unauthorized, excessive time away from campus;
- Engaging in activities that provide a conflict of interest with their SOMA functions and/or
- Use of professional authority to exploit others.

Faculty who engage in these or similar activities shall have violated the code of professional ethics and may be terminated or otherwise disciplined.
Ethical Standards of Intellectual Honesty

All faculty shall be guided by a deep conviction of the worth and dignity of the advancement of knowledge. Faculty shall recognize the special responsibility placed upon them to seek and state the truth as they know it. Faculty shall devote their energies to developing and improving their scholarly and teaching competence and exercising intellectual honesty in using, extending and transmitting knowledge.

Based on this general standard of intellectual honesty, faculty shall have the rights and responsibilities for the following:

- the opportunity for free inquiry and the free exchange of ideas in their subject areas;
- the privilege to present controversial material relevant to a course of instruction for which they have responsibility;
- the responsibility to indicate uncertainties or limitations in teachings;
- the responsibility to conduct valid research and publish or distribute genuine results.

Also based on the general standard of intellectual honesty, faculty shall not engage in the following:

- plagiarism;
- falsifying or misrepresenting research data;
- misrepresenting one’s contribution to teaching, research or professional service;
- falsifying, withholding or destroying documents related to inquiries, grievance procedures or hearing committees associated with the SOMA or the faculty member’s academic or professional activities; and
- conducting and/or publishing research that is misleading or violates federal, state, local or University regulations.

The behaviors listed above are only representative and not intended to be complete description of activities that harm the ethic of intellectual honesty. These activities or any other activities that contradict the intellectual ethic shall be considered instances of faculty misconduct and may result in termination or other discipline to the offending faculty member.

Standards of Ethics Governing Student-Faculty Interactions

Students are a vital component of the academic setting at SOMA. Faculty is encouraged to develop and maintain professional, collegial relationships with students. As teachers, faculty encourages the free pursuit of learning in the students. The faculty should hold before the students the best scholarly standards of their disciplines. The faculty shall demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors.

Based on this ethic of faculty-student interaction, each faculty member is encouraged to engage in the following behaviors:
• Faculty shall objectively evaluate each student solely on the basis of criteria related to the student’s academic and professional accomplishments;
• Faculty shall make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflects each student’s true merit;
• Faculty shall respect the confidential nature of the evaluation and grading of students;
• Faculty shall acknowledge any significant academic or scholarly assistance from the students; and
• Faculty shall protect the academic freedom of the students.

Also based on the general ethic of faculty-student interaction, faculty is prohibited from the following actions or behaviors:
• Faculty shall not discriminate on the basis of race, color, religion, national origin, disability, sex, age, sexual orientation or marital status, and;
• Faculty shall not use their status to coerce students politically, socially, religiously, financially, or academically; and
• Faculty shall not create nor further a sexual or hostile environment and shall have no amorous or sexual relationship with a student even when the amorous or sexual relationship is consensual.

The School may terminate or otherwise discipline faculty who engage in these or any similar behavior.

Ethical Standard of Conduct Toward Colleagues and School Administration

Faculty has obligations toward their colleagues that derive from common membership in the community of scholars. In the open exchange of criticism and ideas, faculty shall show respect for the opinions of others, and they shall respect and defend the free inquiry of colleagues. Faculty should acknowledge the academic debt they owe to their colleagues, and strive to be objective in their professional judgment of their fellow faculty members. Faculty should also demonstrate similar respect to members of the administration, at all times, especially in the presence of students, alumni, and members of the local community. Each faculty member shall conduct themselves within the School in a manner that is conducive to respectful social and academic interaction between students, faculty, staff and administration. Proper academic behavior is founded on the same principles of civility that govern general social interactions. In virtually all settings, calm, non-judgmental, objective interaction is most appropriate.

The following are examples of proper behavior exhibited toward colleagues based on these ethical premises:
• Faculty should support the legitimate expression of academic freedom of their colleagues, even if they do not agree with the position taken by a colleague;
• Faculty should resolve disputes concerning personal or administrative issues with colleagues in only as large a setting as is necessary to settle the dispute;
• Faculty shall maintain objectivity in evaluating the competence and productivity of colleagues;
• Faculty should bring School-wide academic issues to the attention of the Faculty Council; and
• Faculty shall make every attempt to work productively with SOMA and University administration.

The following behaviors violate the ethical standards of behavior:
• Faculty members shall not discriminate against colleagues or administrators on the basis of race, color, age, national origin, religion, disability, marital status, gender or sexual orientation;
• Faculty members shall not use their status to coerce colleagues politically, socially, religiously, financially or academically;
• Faculty shall not evaluate the professional competence or accomplishment of a colleague by criteria not directly related to academic enterprise;
• Faculty members shall cooperate with School administration in connection with any suspension.
• Faculty members shall not create or further a sexual nor hostile environment and shall not have sexual relations with a faculty colleague whom they evaluate or direct;
• Faculty members shall not engage students in disputes they have with other faculty or with SOMA administration except as individual students are members of duly constituted School committees, boards or associations;
• Faculty shall not disparage a faculty colleague or member of the administration to students or to the public, including but not limited to, defamatory remarks about members of the faculty, staff, and administration; and
• Contumacious behavior that is obstinate, disobedient, insubordinate and openly disrespectful toward students, faculty colleagues and/or School and University administration shall not be tolerated.

As these and similar behaviors violate the ethical code of behavior, they may result in termination or otherwise bring disciplinary action upon the offending faculty.
Ethical Standards of Community Conduct

Faculty has the same rights and responsibilities as all U.S. citizens and faculty are expected to uphold and obey local, state and federal laws. They are free to express their views and to participate in the political and social processes of the community. However, when they speak or act in their capacity as private citizens, faculty should avoid creating the impression that they speak for or represent SOMA or University. Faculty should also be aware that constitutionally guaranteed freedom of expression does not contravene the right of SOMA to discipline a faculty member when what they say, do or write violates the ethical standards outlined above.

The following are examples of violation of this statement of ethical principal:
- Intentional misrepresentation of personal views as a statement of position of the School;
- Commission of a criminal act as determined by a court of law;
- Performing seriously unethical actions in the community.

As these and similar behaviors violate the ethical code of community conduct, they may result in termination or otherwise bring discipline upon the offending faculty.

For Physician Faculty, 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 healthcare 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. The physician shall divulge information only 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 who she/he will serve. However, the physician should not refuse to accept patients because of the patient’s race, creed, color, sex, national origin 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: An osteopathic 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 physician 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 osteopathic 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 a 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.

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 the 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.
APPENDIX B

Misconduct

(Investigation, Finding and Discipline of Faculty for Unethical Behavior)

Any student, staff, faculty or administrator of SOMA may accuse a School faculty member of violation of the code of ethical standards. Such accusation shall be presented to the Dean in writing along with appropriate documentation supporting the accusation. (If the accused is a Dean, the accusation shall be made in writing to the Senior Vice President- Academic Affairs. In such case, the Senior Vice President – Academic Affairs shall serve the role hereinafter described for the Dean.) All complaints of discrimination, harassment, and/or retaliation should be made and investigated as described in Appendix C of this handbook in the section entitled,” Hearing Committee.” The Dean shall inform the accused faculty member in writing of the allegation while maintaining the confidentiality of the accuser if possible. The accused faculty member has 15 calendar days from the time the Dean has informed him/her of the accusation to either agree or deny in writing that a violation of the code has occurred. If the accused faculty member agrees that he/she has violated the code of ethics as alleged, the Dean shall impose one or more forms of faculty discipline.

The accused faculty member may deny the allegation of a violation of the code of ethics. In such case, the Dean or his/her designee shall investigate the accusation using whatever interviews, resources or research he/she deems necessary and shall render a decision within a reasonable time after receipt of the written denial from the accused faculty member. If the Dean finds no violation of the code of ethics, he/she shall inform in writing the person making the accusation and the faculty member about whom the allegation was made.

If the Dean finds substantial, credible evidence that a violation of the code of ethics may have occurred, he/she shall refer to the Senior Vice President-Academic Affairs who will convene a Hearing Committee as noted in appendix C. The Dean shall forward to the Hearing Committee all the information he/she has collected relevant to the accusation, and the Dean shall send a complete copy of such information to the accused.
Academic due process is the principle guiding the conduct of a hearing under these procedures. Academic due process with respect to a hearing means that a faculty member being disciplined or dismissed is assured of an opportunity for a hearing before their peers; for the right to present evidence and to cross-examine; and to receive written documentation of the record of the hearing. Academic due process requires an adequate statement of charges, a reasonable time to prepare a defense, and the right of the faculty member to appeal the Hearing Committee's judgment to the President.

Procedure for the Hearing

1) The Senior Vice President – Academic Affairs shall designate a faculty member or administrator to serve as the chairperson and be in full charge of the hearing. If a conflict exists, the Senior Vice President – Academic Affairs shall designate another chairperson. The Chairperson shall appoint a Secretary of the Committee.

2) The secretary of the Hearing Committee shall read the specifications of the charges against the faculty member.

3) The chairperson of the Hearing Committee shall request the faculty member's response to the charges.

4) The Chairperson or his/her designated representative and the administrator bringing the charges (and his/her counsel) shall present testimony to support the charges. The affected faculty member shall have the right to cross-examine all witnesses. The Hearing Committee shall withhold questions until both the above processes are completed.

5) The affected faculty member shall present testimony to refute the charges. The Senior Vice President – Academic Affairs or his/her designated representative and the unit administrator or his/her counsel shall have the right to cross-examine all witnesses. The Hearing Committee shall withhold questions until both the above processes are completed.

6) The Chairperson and the administrator shall summarize the case.

7) The affected faculty member shall summarize the case.

8) The chairperson of the Hearing Committee shall dismiss all persons except those members of the Hearing Committee.

9) The Hearing Committee shall deliberate to determine its recommendation to the Senior Vice President – Academic Affairs whose decision shall be final and without appeal; however, alleged procedural failures may be appealed to the President whose decision in that regard shall be final.
APPENDIX D
Table of Organization

Board of Trustees

Assistant to the President,
Secretary to the Board

Senior Vice
President –
Academic Affairs

President

Vice President &
General Counsel

Dean

Administrative
Support Staff

Assoc Dean
for Finance &
Resources

Vice Dean

Director of Post
Graduate
Education

Associate Dean
for Community
Campuses

Faculty:
Basic Science & Clinical
Mesa & Community Campus

Assistant Dean
for Curriculum

Clinical
Affairs
Unit

Didactic
Support Staff
Appendix E

A.T.Still University of Health Sciences
Board of Trustees

Clyde H. Evans, PhD, Chair, Needham, MA
Robert W. Uhl, Vice Chair, Phoenix, AZ
James D. Cannon, DHA, PA-C, MS, ’97, Secretary, Chesapeake, VA
Manuel C. Bedoya, DMD, Tucson, AZ
Daniel L. Biery, DO, FACOI, FACG, ’72, Phelps, NY
Reid W. Butler, JD, Phoenix, AZ
Chester W. Douglass, DMD, PhD, MPH, Waban, MA
G. Scott Drew, DO, FAOCD, ’87, Marion, OH
Stanley E. Grogg, DO, FACOP, FAAP, ’71, Tulsa, OK
Robert L. King, JD, Frankfort, KY
Paul A. Lines, DDS, MS, Tempe, AZ
Dorothy M. Munch, DO, ’85, Poplar Bluff, MO
Isaac R. Navarro, DMD, ’08, Visalia, CA
Ronald W. Winkler, Kirksville, MO
Appendix F: Guidelines for the Annual Review Process
(The Faculty Evaluation Process may be altered by the Dean as needed.)

Faculty/Staff Assessment Process
Elements and Timeline

Goals

1. Provide the Dean with accurate and comprehensive information concerning the accomplishments of the faculty to be used in retention and promotion decisions
2. Assure a platform to spur continuing improvement
3. Comply with both University and COCA requirements for ongoing evaluation to meet the mission and objectives of SOMA

Elements

1. Self evaluation - filled out by each employee using the same form the Dean or Vice Dean will use to evaluate performance
   • For faculty (SOMA periodic evaluation of faculty performance, faculty portfolio)
   • For Administrative staff (AT Still University Salaried Staff Performance Evaluation)
2. Classroom Evaluation and other data.
3. Dean, Vice Dean or Supervisor evaluation- will be performed using the appropriate documents described above in #1

Timeline

1. By the end of April of the evaluation year, faculty and staff will complete self evaluation using appropriate forms and submit to Dean’s office (faculty) or supervisor (salaried staff)
2. Between the end of April and the second Friday in May, make appointment to meet with either Deans or Supervisor as appropriate to review evaluations.
3. By the end of June, all evaluations are completed.
Overview of Faculty Evaluation Plan

Suggested Schemes for Evaluation of Teaching Effectiveness

- Periodic Evaluation of Performance
- Administrative Ratings
- Employer Ratings
- Learning Outcomes
- Video/Digital Recordings
- Peer Rating of Presentation
- Peer ratings
- Student Learning Assessment
- Student Evaluations
- Self Evaluation
- Alumni Ratings
- Alumni Surveys
- Faculty Portfolio Guidance
- Instructor Self-Evaluation of Course and Teaching Performance
- Course Evaluations
- Instructor Evaluations
Faculty Portfolio

Part I: Professional Development
A. Memberships
B. Conferences attended
C. Workshops attended
D. Clinical service
E. Awards

Part II: Continuing/Graduate Education
A. Internal
B. External

Part III: Academic activities
A. Teaching
   1. Courses/sessions taught
   2. Development of Instructional Materials
      Syllabi
      Course/session development
   3. Innovations
      New courses/sessions
      Instructional methodology
      Evaluation systems
      Other
B. Research
   1. Grant proposals written/funded
   2. Journal articles/Textbooks published
   3. Innovations
      New courses/sessions
      Instructional methodology
      Evaluation systems
      Other

Part IV: Service
A. Service to the University
   1. Committee service
   2. Admissions activities
   3. Special projects
B. Service to SOMA
   1. Committee service
   2. Admissions activities
   3. Special projects
C. Service to the External Community
# Large Group Presentation – Dean’s Evaluation

Faculty being rated:  
Date of Rating:  

<table>
<thead>
<tr>
<th>I. PRESENTATION ORGANIZATION &amp; QUALITY</th>
<th>Poor ---------------------- Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Appropriately constructed learning objectives were discussed at the beginning of the presentation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>2. Presentation content was derived from the learning objectives</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>3. Presentation content was linked to &amp; taught in the context of the appropriate clinical (scheme) presentation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>4. For scheme presentations, branch points were effectively explained and the premise behind each one was emphasized</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>5. Emphasis was given to highly important concepts during the presentation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>6. The amount and depth of content was appropriate for the topic and for the time allotted</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>7. Appropriately constructed examination items were tied to the presentation content and learning objectives</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>8. Overall, the presentation was logically organized and easily followed by the learners</td>
<td>1 2 3 4 5 N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II. TEACHING STRATEGY</th>
<th>Poor ---------------------- Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Learners were engaged to think critically during the presentation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>10. Interactive techniques, tools or media were utilized to promote active participation of the learners</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>11. Relevant clinical illustrations and basic science principles were integrated during the presentation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>12. Overall, the teaching strategy enhanced the learners ability to meet the learning objectives</td>
<td>1 2 3 4 5 N/A</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>III. COMMUNICATION</th>
<th>Poor ---------------------- Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>13. Appropriate and knowledgeable feedback was provided in response to learner’s questions</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>14. Learner’s questions were repeated for all learners to hear</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>15. The instructor spoke with expression &amp; clarity and interacted professionally with learners</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>16. Questions were encouraged by the instructor from the learners</td>
<td>1 2 3 4 5 N/A</td>
</tr>
</tbody>
</table>
Evidence of strengths, innovative educational strategies

________________________________________________________________________

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Suggestions for consideration

________________________________________________________________________

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Evaluator: __________________________
Small Group Session – Dean’s Evaluation

Session author _______________________________ Date __________________

<table>
<thead>
<tr>
<th>SESSION ORGANIZATION &amp; QUALITY</th>
<th>Poor &lt;------------------------&gt;Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>17. Appropriately constructed learning objectives were provided</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>18. Session content was derived from the learning objectives</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>19. Session content integrated basic and clinical sciences</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>20. Session was structured in a way that encouraged student participation</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>21. Multiple different branch points were utilized during the session</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>22. Emphasis was given to highly important concepts during the session</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>23. The amount and depth of content was appropriate for the topic and for the time allotted</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>24. Overall, the session was logically organized and easily followed by the learners</td>
<td>1 2 3 4 5 N/A</td>
</tr>
<tr>
<td>25. Appropriately constructed examination items were tied to the session content and learning objectives</td>
<td>1 2 3 4 5 N/A</td>
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</table>

Evidence of session strengths, innovative educational strategies
________________________________________________________________________________________
________________________________________________________________________________________
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Suggestions for consideration
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________

Evaluator: _______________________________
# Small Group Facilitator – Dean’s Evaluation

**Facilitator** ________________________________  **Date** ________________

## I. TEACHING STRATEGY

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</thead>
<tbody>
<tr>
<td>1. Learning objectives were discussed at the beginning of the session</td>
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<td>2</td>
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<td>5</td>
</tr>
<tr>
<td>2. All learners were engaged to think critically and participate during the session</td>
<td>1</td>
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<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>3. The instructor matched the pace of the session with the learners’ needs and understanding</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>4. Relevant clinical illustrations and basic science principles were illustrated during the presentation</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>5. The teaching strategy enabled all learners to actively participate throughout the session.</td>
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<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>6. Overall, the teaching strategy enhanced the learners ability to meet the learning objectives</td>
<td>1</td>
<td>2</td>
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## II. COMMUNICATION

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<tbody>
<tr>
<td>7. Appropriate and knowledgeable feedback was provided in response to learner’s questions</td>
<td>1</td>
<td>2</td>
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<td>4</td>
<td>5</td>
</tr>
<tr>
<td>8. The instructor spoke with expression &amp; clarity and interacted professionally with learners</td>
<td>1</td>
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<td>5</td>
</tr>
<tr>
<td>9. Questions were encouraged by the instructor from the learners</td>
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**Evidence of FACILITATOR strengths, innovative educational strategies**

________________________________________________________________________
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**Suggestions for consideration**

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Evaluator: __________________________
Instructor Self-Evaluation of Course and Teaching Performance

Name: ________________________ Content area: ________________________

Evaluation period (circle one): Fall  Spring  Summer  Year: __________

1. How satisfied were you with the way your sessions performed this semester?
   __ Very dissatisfied  __ Dissatisfied  __ Satisfied  __ Very satisfied

   Please comment on the reasons for the above answer:
   _____________________________________________________________________
   _____________________________________________________________________
   _____________________________________________________________________
   _____________________________________________________________________
   _____________________________________________________________________

2. How would you rate your teaching effectiveness?
   __ Below average  __ Average  __ Very good  __ Excellent

   Please comment on the reasons for the above rating:
   _____________________________________________________________________
   _____________________________________________________________________
   _____________________________________________________________________
   _____________________________________________________________________

3. How did the following elements of your sessions perform?

   Satisfactory <---------------------------|> Unsatisfactory

<table>
<thead>
<tr>
<th>Elements</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objectives</td>
<td></td>
<td></td>
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<tr>
<td>Textbook/materials</td>
<td></td>
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<tr>
<td>Content organization</td>
<td></td>
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<tr>
<td>Class activities</td>
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<tr>
<td>Tests/quizzes</td>
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</table>

45
Comments on the above elements:

___________________________________________________________________
___________________________________________________________________
___________________________________________________________________

4. What new things were tried in the sessions this semester? How did they work?

___________________________________________________________________
___________________________________________________________________
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___________________________________________________________________

5. What changes do you plan to make the next time similar sessions are offered?

___________________________________________________________________
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___________________________________________________________________
Peer Rating of Presentation

Faculty being rated_________________________ Date of Rating________________

Based on my observation of the presentation, the faculty member

<table>
<thead>
<tr>
<th></th>
<th>Poor &lt;---------------------&gt;Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Discussed the learning objectives</td>
</tr>
<tr>
<td>2.</td>
<td>Spent the majority of presentation time on material that related to the objectives</td>
</tr>
<tr>
<td>3.</td>
<td>Provided emphasis to important concepts</td>
</tr>
<tr>
<td>4.</td>
<td>Was interactive in their approach</td>
</tr>
<tr>
<td>5.</td>
<td>Challenged students to critically think during the presentation</td>
</tr>
<tr>
<td>6.</td>
<td>Used relevant clinical illustrations</td>
</tr>
<tr>
<td>7.</td>
<td>Provided knowledgeable feedback on learner’s questions</td>
</tr>
<tr>
<td>8.</td>
<td>Repeated learner’s questions so that everyone could hear</td>
</tr>
<tr>
<td>9.</td>
<td>Spoke with expression</td>
</tr>
<tr>
<td>10.</td>
<td>Effectively used media to enhance the presentation</td>
</tr>
<tr>
<td>11.</td>
<td>Used presentation time effectively</td>
</tr>
<tr>
<td>12.</td>
<td>Asked for questions from the learners</td>
</tr>
</tbody>
</table>
Evidence of strengths, innovative educational strategies

_________________________________________________________________
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_________________________________________________________________

Suggestions for consideration

_________________________________________________________________
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Evaluator: ___________________________
**Instruction:** This form will be filled out by the Dean or Vice Dean and reviewed with the faculty member annually as a culmination of the evaluation process for the academic year. The Dean may determine that more frequent reviews are necessary on a particular faculty member. Circle the number on the rating scale that corresponds to the faculty member’s performance level.

### 1. Teaching Effectiveness: Serving teaching responsibilities in an effective manner

**A. As a course director (___ check here if not applicable)**

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
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</thead>
<tbody>
<tr>
<td>• Course is not organized well</td>
<td></td>
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<tr>
<td>• Course material is not appropriate</td>
<td></td>
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<tr>
<td>• Does not communicate with students or faculty effectively</td>
<td></td>
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<tr>
<td>• Course organization facilitates student learning</td>
<td></td>
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<tr>
<td>• Content coverage is consistent with SOMA curriculum and board exam coverage</td>
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<tr>
<td>• Effective communications with students and faculty</td>
<td></td>
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</table>

**B. As an instructor in the classroom or online (___ check here if not applicable)**

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<tr>
<th>1</th>
<th>2</th>
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</thead>
<tbody>
<tr>
<td>• Content coverage is not appropriate</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• Teaching method is not effective</td>
<td></td>
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<tr>
<td>• Habitual late submission of presentations and/or exam questions</td>
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<tr>
<td>• Content coverage is consistent with SOMA curriculum and board exam coverage</td>
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</tr>
<tr>
<td>• Teaching method facilitates student learning</td>
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<tr>
<td>• Timely submission of presentations and exam questions.</td>
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</table>

**C. As a SG facilitator in a didactic course (___ check here if not applicable)**

<table>
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<tr>
<th>1</th>
<th>2</th>
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<th>4</th>
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</thead>
<tbody>
<tr>
<td>• Does not or seldom incorporates schemes into class discussions</td>
<td></td>
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<tr>
<td>• Dominates discussion or hampers group problem solving</td>
<td></td>
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</tr>
<tr>
<td>• Feedback is not appropriate or not practical to students</td>
<td></td>
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</tr>
<tr>
<td>• Consistently incorporates schemes into class discussions</td>
<td></td>
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<tr>
<td>• Allows students to work through problem solving</td>
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<tr>
<td>• Provides balanced feedback to students about performance</td>
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</table>

**D. As a facilitator in OPP or Medical Skills (___ check here if not applicable)**

<table>
<thead>
<tr>
<th>1</th>
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<th>4</th>
<th>5</th>
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</thead>
<tbody>
<tr>
<td>• Does not demonstrate skills for students</td>
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<tr>
<td>• Uses own techniques that are different from course content despite guidance from course directors</td>
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<tr>
<td>• Little or no observation of student performance with no appropriate feedback to students</td>
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<tr>
<td>• Demonstrates skills for the students</td>
<td></td>
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</tr>
<tr>
<td>• Uses skills endorsed by course directors</td>
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</tr>
<tr>
<td>• Observes student performance directly and provides balanced corrective feedback</td>
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</table>

**E. As an academic advisor (___ check here if not applicable)**

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<tbody>
<tr>
<td>• Does not meet with students as required by SOMA</td>
<td></td>
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<tr>
<td>• Not available for additional meeting as requested by students</td>
<td></td>
<td></td>
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<tr>
<td>• Does not or seldom documents encounters</td>
<td></td>
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<tr>
<td>• Does not submit documentation to SOMA administration</td>
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<tr>
<td>• Meets with students as required by SOMA</td>
<td></td>
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<tr>
<td>• Available to meet with students on as needed basis</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Documents encounters</td>
<td></td>
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<tr>
<td>• Provide documentation to SOMA administration</td>
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<tr>
<td>• Assists students in developing self appraisal skills</td>
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</table>

### 2. Professionalism: Presenting themselves and the school in a professional manner
### 3. Adaptability: Effectively responding to necessary changes

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<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Inappropriate attire/demeanor</td>
<td>• Being proactive about the needs of students and the broader SOMA community</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Unavailable for students, faculty, and other SOMA community members</td>
<td>• Availability to students and other SOMA community members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Poor communication skills and/or being insensitive to colleagues or students</td>
<td>• Model of professional behavior in communication, dress, and presentation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• No or low attendance in SOMA meetings</td>
<td>• Active participation in SOMA meeting and other collaborative sessions with faculty and administration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• No or low attendance in collaborative sessions such as exam question review sessions</td>
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### 4. Commitment: Meeting the needs and mission of all entities of SOMA

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<tr>
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<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Locked into existing schedules and methods</td>
<td>• Flexible in responding to changing situations</td>
<td></td>
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<tr>
<td>• No attempt in using evaluation data to improve performance</td>
<td>• Active participation in continuous improvement and innovation of the SOMA program</td>
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### 5. Dependability

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<tr>
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<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Failure to meet deadlines for tasks</td>
<td>• Consistently striving to meet deadlines</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Inconsistency in quality of work</td>
<td>• Minimal number of missed work days</td>
<td></td>
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<tr>
<td>• Frequent absences</td>
<td>• Consistently high level of quality in work</td>
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### 6. Innovation/Vision: Understanding and working toward the realization of the SOMA vision

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<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Little direction shown in work</td>
<td>• Helping to create vision</td>
<td></td>
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<tr>
<td>• No attempt at solving problems with innovative ideas</td>
<td>• Helping to create opportunities</td>
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### OVERALL RATING (total number of points)

| 24 or less | 25 - 29 | 30 - 39 | 40 - 44 | 45 or above |
| Unacceptable | Below Average | Average | Above Average | Outstanding |

### GOALS AND OBJECTIVES FOR NEXT YEAR:

### FACULTY MEMBER’S COMMENTS:

### Dean’s Signature Date Faculty Member’s Signature Date

___________________________ __________ ___________________________ __________

* My signature signifies my review, not necessarily my agreement with this evaluation.

May 10, 2010