

# Medical College Policies and Procedures

<b>Most Recent Approval</b>	May 5, 2020 by Faculty Council, Pending approval from University Council Pending approval from Board of Governors
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<b>Regulatory Element</b>	LCME 1.5

**“These Policies and Procedures are in conformance with the Rush University Rules for Governance and provide specifics related to Rush Medical College for some Articles and Sections in the University Rules for Governance. A complete understanding of the Policies and Procedures of Rush Medical College requires reading the relevant Articles and Sections in the Rush University Rules for Governance.”**

## ARTICLE I

Section 1. The Senior Representative Body of the faculty of Rush Medical College shall be referred to herein as the Faculty Council. (see Article I, Section 2(c) of the Rules)

## ARTICLE II

### *FACULTY ORGANIZATION*

Section 1. The Faculty of Rush Medical College

- (a) Faculty is hereby constituted for Rush Medical College.
- (b) Faculty members of Rush Medical College shall be members of the Faculty of Rush University.
- (c) Rush Medical College is responsible for the education and training of medical students.

Section 2. Faculty

- (a) Active Faculty of Rush Medical College shall be made up of duly appointed members whose titles are given below in order of seniority: (i) Professors; (ii) Associate Professors; (iii) Assistant Professors; (iv) Instructors. The active faculty rank shall have the right to cast votes in faculty elections and meetings and to serve on College and University committees.
- (b) Adjunct Faculty shall include individuals who provide instruction (or teach) on a specific topic or for a single course. They may hold academic rank titles of adjunct professor, adjunct associate professor, adjunct assistant professor, or adjunct instructor. Adjunct faculty is not an active faculty rank.
- (c) Lecturers shall include Rush employees who, through tested experience, are qualified to participate in educational programming. Lecturer is not an active faculty rank.
- (d) Visiting Faculty shall include those individuals who hold faculty appointments at another institution who are appointed for a limited term of up to one year, subject to reappointment. They may hold academic rank titles of

visiting professor, visiting associate professor, visiting assistant professor, or visiting instructor; however, visiting faculty are not active faculty.

- (e) Pending Faculty shall include individuals with a pending appointment. This designation is a temporary designation that shall be reserved only for newly recruited faculty members who are awaiting their formal appointment. Faculty with a pending appointment may not cast votes in committees or faculty wide elections.
- (f) Honorary Faculty shall include those former members of the active Faculty who have been named to either Emeritus and/or Distinguished status. Those individuals may continue to serve or be appointed to all Standing, Ad Hoc and Search Committees, without vote, in accordance with the procedures specified in the Policies and Procedures for these Committees. Honorary Faculty are not active faculty.
  - i. Emeritus Status. Associate Professors and Professors who intend to retire may request through their Department Chairperson nomination to Emeritus Status. Upon the recommendation of the Chairperson, approval of the Faculty Council and the Dean, the faculty member will be appointed to the Emeritus Faculty.
  - ii. Distinguished Professor. In limited circumstances, faculty members may be promoted to the rank of Distinguished Professor, because of outstanding service to Rush Medical College. The recommendation will begin with the Dean, and must be approved by the Faculty Council, and finally by the Provost.
- (g) All recommendations for initial appointments and for promotions to positions on a faculty as Associate Professor or Professor shall originate with the Department Chairperson with the approval of Departmental Advisory Committee, after which it is referred to the Committee on Senior Faculty Appointments and Promotions (COSFAP). Once approved by COSFAP, the recommendation is referred to the Faculty Council for a vote and then presented to the Dean with a recommendation. Following approval by the Dean all appointments, promotions, and resignations shall be forwarded to the Office of the Provost for final approval. All appointments and promotions to a senior rank shall be transmitted and handled according to the policies and procedures set forth by COSFAP.
- (h) All recommendations for active faculty appointments, re-appointments and promotions for Assistant Professors or below shall originate with the Department Chairperson and shall be presented to the Faculty Council for transmission with a recommendation to the Dean. Following approval by the Dean all active faculty appointments, re-appointments, promotions, and resignations shall be forwarded to the Office of the Provost for final approval.
- (i) Recommendations for adjunct faculty appointments, re-appointments for Adjunct Faculty shall originate with the Department Chairperson or Senior Associate Dean of Education and shall be presented to the Faculty Council for transmission with a recommendation to the Dean. Following approval by the Dean all adjunct faculty appointments, re-appointments, promotions, and resignations shall be forwarded to the Office of the Provost for final approval.
- (j) Terms and Conditions of Appointment.
  - i. For Adjunct Faculty, a statement defining the term of appointment, which shall be no greater than one (1) year, should be included in a Faculty member's initial letter of appointment. At the end of each term of appointment the Department Chairperson or Senior Associate Dean of Education, as appropriate, may choose one of the following options: (1) termination of Faculty appointment or (2) re-appointment for another term up to three (3) years. If the Department Chairperson or Senior Associate Dean does not reappoint or terminate an Adjunct Faculty in a timely manner prior to expiration of the Faculty member's initial appointment or reappointment, the Faculty member's appointment shall continue for no longer than three years from the date of the initial appointment or reappointment; provided, however, that the appointment may be terminated in accordance with Article II, section 2.i.iii. of the Rush University Rules for Governance by providing no less than one (1) month written notice to the Adjunct Faculty.
  - ii. For Instructors, a statement defining the term of appointment, which shall be no greater than two (2) years,

should be included in a Faculty member's initial letter of appointment. At the end of each term of appointment the Department Chairperson may choose one of the following options: (1) termination of Faculty appointment, (2) re-appointment for another term of up to two years, or (3) recommendation for promotion to a higher Faculty rank. If the Chairperson does not reappoint, terminate or promote an Instructor in a timely manner prior to expiration of the Faculty member's appointment, the Faculty member's appointment shall continue for an indefinite term; provided, however, that the appointment may be terminated in accordance with Article II, section 2.i.iii. of the Rush University Rules for Governance by providing no less than three (3) months written notice to the Instructor.

- iii. For Assistant Professors, a statement defining the term of appointment, which shall be no greater than three (3) years, should be included in a Faculty member's initial letter of appointment. At the end of each term of appointment the Department Chairperson may choose one of the following options: (1) termination of Faculty appointment, (2) re-appointment for another term of up to three (3) years, or (3) recommendation for promotion to Associate Professor or Professor. If the Chairperson does not reappoint, terminate or promote an Assistant Professor in a timely manner prior to expiration of the Faculty member's appointment, the Faculty member's appointment shall continue for an indefinite term; provided, however, that the appointment may be terminated in accordance with Article II. section 2.i.iii. of the Rush University Rules for Governance by providing no less than six (6) months written notice.
- iv. Appointment as Professor or Associate Professor shall be tenured. Among the factors to be considered for appointment or promotion to tenured ranks are teaching, research and/or scholarly activity, clinical service, and administrative service, as detailed in the COSFAP Policies and Procedures. Tenure ceases upon the termination of a faculty appointment for cause as set forth in Article II, section 2.i.ii. of the Rules for Governance. Tenure always ceases upon resignation, or retirement from the Faculty of the University, or death of a faculty member. This includes resignation from practicing medicine, teaching, research or service responsibilities on behalf of the Medical College. For example, if a tenured faculty member leaves Rush to practice and/or work at another institution, company, or practice, they will retain their faculty appointment if their Chairperson continues to assign teaching, research, administrative or service responsibilities and duties, and if the faculty member does not obtain an active faculty appointment at another academic institution. However, if a tenured faculty member leaves the Medical College and is no longer assigned such duties, they will have de facto resigned their faculty appointment and will have no right to appeal such resignation. Tenured faculty may also be promoted to emeritus and/or distinguished status upon leaving the Medical College pursuant to Article II, section 2.f of these policies and procedures.
- v. Appointments and re-appointments to the visiting Faculty of a College shall be for terms of one (1) year or less, and may be renewed.

### Section 3. Actions against and appeals by a faculty member

- (a) When a Chairperson intends to initiate discharge, suspension or other disciplinary action against a faculty member for cause, the Chairperson shall inform the Dean specifying cause(s) in writing prior to submission of a letter to the faculty member initiating the process, as outlined in the Rules for Governance of Rush University. Discharge or suspension of a faculty member for cause requires the concurrence of the Dean.
- (b) Faculty Grievance Procedure.
  - 1. The College establishes the following grievance procedure for faculty members.
  - 2. Subject Matter of a Grievance. A faculty member may grieve as a matter of right a Chairperson's refusal to submit a request for promotion to a tenured rank to a committee on Senior Faculty Appointments or Promotions, or a discharge or suspension for cause as specified in Article II, Section 2(i) in the Rules. Such grievance will not serve to postpone the action that is the subject of the grievance. The Faculty Council may consider other issues not specifically enumerated herein. It shall have the discretion to

dismiss a grievance prior to a full hearing in situations where the grievant is not entitled to a hearing as a matter of right. In such cases the grievant may appeal that decision to the Dean (or the President where the grievance is initiated against the Dean). The Dean (or the President) may order that a hearing be held by the Faculty Council.

For a grievance contesting a Chairperson's refusal to submit a request for promotion to a tenured rank or a discharge or suspension for cause, the Grievant's grounds for challenging the decision shall be limited to the following:

- i. his or her case for appointment or termination has been handled in an arbitrary and/or capricious manner; or
- ii. violation of academic freedom in the decision-making process; or
- iii. discrimination on a basis prohibited by law including, but not limited to, race, color, religion, national origin, race, ethnicity, gender identity, sex, sexual orientation, marital status, parental status, age, disability or veteran status.

3. Procedure. Grievances must be initiated and processed in the following manner:

- i. Step One – Initiation of a Grievance. A grievance must first be presented to the faculty member's Department Chairperson in writing within twenty (20) working days of the discovery of the events leading to the grievance. The Chairperson must consult with the Department Advisory Committee or its equivalent and must respond in writing to the grievant within twenty working days. Grievances filed by a Department Chairperson must be presented in a similar manner to the Dean.
- ii. Step Two – Informal Resolution. If a grievance is not resolved at Step One, the Dean (or the President where the grievance is initiated against the Dean) may attempt informal methods of resolving the grievance, including, but not limited to, the appointment of a mediator
- iii. Step Three – Faculty Grievance Hearing. If the matter is not resolved by informal methods, the faculty member (grievant) may request in writing a review of his/her grievance by the Faculty Council. The Faculty Council may determine if the submission of the grievance has been made in a timely manner. The Faculty Council shall conduct a hearing for the purpose of considering relevant documents, witness testimony, written statements and oral or written argument prior to making a determination as to the merits of the case. The Faculty Council shall establish rules for the conduct of such hearings, which shall be consistent with these Rules. These Rules for Hearings may be amended by the Faculty Council. The Faculty Council's written determination shall be transmitted to the faculty member (grievant) or members, the Department Chairperson, the Dean, the Provost, and the President in a timely manner as determined by the Faculty Council. If any member of the Faculty Council has a personal or professional interest in the subject being considered, he/she shall recuse him/herself from the grievance procedure and any decision.
- iv. Step Four– Appeal to University Council. Within fourteen (14) calendar days of the Faculty Council's decision, a request for review may be submitted to the University Council pursuant to Article II, Section 2(j) of the Rush University Rules for Governance.
- v. Election of Remedies. A faculty member may not proceed with concurrent or subsequent appeals before other hearing bodies within the University/Medical Center covering the same subject matter.
- vi. Employment Status. A faculty member who has entered into a written agreement that provides for loss of faculty status upon the termination of that agreement may not grieve the loss of his/her faculty status before the Rush Medical College Faculty Council.

## *ACADEMIC FUNCTIONS OF A FACULTY*

### Section 4. Expectations of Faculty

- (a) A faculty member is expected to take part in teaching, research and/or clinical, and other academic activities, including scholarly activity, and to give reasonable service on committees along with other responsibilities outlined in the Rush University Rules for Governance.
- (b) Other professional and academic activities. Academic activities of Faculty not related to Medical Center programs shall not be in conflict with the interests of the Medical Center/University and are subject to the restraints imposed by Medical Center and University policies and procedures.

## *A COLLEGE DEPARTMENT*

### Section 5.

- (a) The Department is established to carry on programs of instruction and research, and/or provide patient care in a particular field of knowledge. The Faculty of a Department includes persons of all ranks who, on the nomination of its Chairperson, are appointed or assigned to it.
- (b) A Department may be created, abolished, or merged with another Department(s) as detailed in the Rush University Rules for Governance Article I, section 3(b).
- (c) Each Department shall have an Advisory Committee or its equivalent. The Advisory Committee shall serve as the Department Appointments and Promotions Committee. At least half of the Advisory Committee shall be elected by the Department Faculty for terms of three (3) years; other members may be appointed by the Department Chairperson. Meetings of the Department Advisory Committee may be called by the Chairperson and by any member of the Committee. The Chairperson shall be a member of the Department Advisory Committee, without a vote. The membership of the Advisory Committee shall be representative of the Department faculty.
- (d) Departments may be organized into Divisions, Sections and Programs. These Divisions, Sections and Programs may be established or abolished upon recommendation of the Department Chairperson, approval by the Faculty Council and approval by the Dean.
- (e) The Medical College Departments are established, and are organized as Basic Sciences, Medical Sciences, and Surgical Sciences for administrative purposes.
- (f) Department/program/division/section will be reviewed at least every five (5) years, which shall include evaluation of the quality of the department's/program's/division's/section's activities. The periodic review should consist of at least three components: a review of
  - a. department/program/division/section objectives,
  - b. department/program/division/section activities, and
  - c. department/program/division/section chairperson/director, including evaluation by active faculty in the department.
  - d. The Dean shall initiate these reviews and nominate the individual(s) conducting such reviews. The Dean shall receive a report of the review and the Faculty Council shall also receive a copy of the report.

## Section 6.

- (a) The Chairperson of a Department shall be appointed by the Governing Body upon nomination by the President, after recommendation of the Search Committee and the Dean. The Chairperson of a Department shall serve at the pleasure of the Dean.
- (b) A nomination for appointment as a Chairperson of a Department in the College shall originate in a Search Committee representing the faculty, house staff, students and the Medical Staff. This Search Committee is to be appointed by the Dean after consultations with the President of the Medical Staff and the Chairperson of the Faculty Council. Each Search Committee shall consist of twelve members, and be constituted as follows:
- i. Members from other Departments
    - Two Department Chairpersons.
    - Three Faculty at large.
    - Two non-physician Faculty.
    - One member of the House Staff from the department if a department has a Graduate Medical Education program.
    - One member from another Department shall serve as Chair of the Committee, as appointed by the Dean.
  - ii. Two members from the Department concerned (neither shall be the incumbent, previous, or acting Chairperson).
  - iii. The President of the Medical Staff or the immediate past President of the Medical Staff.
  - iv. One student from the Medical College.
  - v. The Dean may appoint other ex officio members without vote to the Search Committee. One of the ex officio members shall be an appropriate representative of the Office of Faculty Affairs to ensure diversity of the committee and the pool of the applicants.
    - a. The Dean shall be a member ex officio without vote. For Departments represented in two or more colleges, the Deans of the other respective colleges shall be members ex officio without vote.
- (c) The report of the Search Committee, signed by each member, shall be reviewed by the Office of the Dean. The Dean will inform the Faculty Council of the choice for Chairperson. If within reasonable time the Search Committee has not made recommendations concerning candidates, the Dean may reconstitute the Search Committee.
- (d) Term of Office. A Chairperson's initial administrative term shall be agreed upon by the Dean and the incoming Chairperson. The Chairperson's performance shall be reviewed and evaluated on an annual basis by the Dean. This shall include a written evaluation as well as an in-person meeting. Additionally, during any year of the Chairperson's term, the Dean may appoint an Ad Hoc Committee of not less than three members, one of whom shall be recommended by the Chairperson, to conduct a review of the Chairperson and the Department and make recommendations to the Dean. The recommendations may include: a) continuation of appointment for another term; b) a comprehensive review by an Ad Hoc Committee as described above; or c) an external review. Following the review, the Dean and the Chairperson may arrive at a subsequent term in office or the Dean may remove the Chairperson from his/her administrative role. If a Chairperson does not continue in his/her administrative role, he/she may continue to retain his/her rank and tenure as a member of the Faculty. In the event the Dean decides to appoint an Ad Hoc Committee to review a Chairperson and Department, the Dean may also qualify such review as fulfilling the mandatory five-year review under Section 5 above.

- (e) In the event that a Department is without a Chairperson, an Acting Chairperson shall be appointed by the Dean with the Faculty Council being informed. The Acting Chairperson shall serve until a new incumbent shall be appointed in the manner described above. An Acting Chairperson shall not be appointed for more than two years, but can be reappointed by the Dean with the Faculty Council being informed.
- (f) In each Department, the Chairperson shall have responsibility for the general direction of the professional and academic work of the Department. In regard to Departmental policies, the Chairperson shall consult regularly with the Departmental Advisory Committee. The Department Advisory Committee shall be representative of the faculty of the Department. The Chairperson of the Department shall regularly call meetings of the Department Faculty for explanation and discussion of policies, educational procedures, and research. He/she shall be responsible for the organization of the work of the Department, including patient care as applicable, for the quality and efficient progress of that work, and for the execution of the University and College policies insofar as they concern the Department. The Chairperson shall prepare Departmental budgets, and be responsible for the distribution and expenditure of Departmental funds and for the care of Departmental property. The Chairperson shall have general responsibility for the education and training of Medical Students and Graduate Medical Education House Staff as applicable in the disciplines appropriate to the Department, and coordination of Medical College teaching programs with the relevant Medical College Committees.

### *MEETINGS*

#### Section 7.

- (a) The Dean shall preside at all meetings of the Faculty. In the absence of the Dean, or if he/she is unable to preside, an appropriate senior faculty member shall preside.
- (b) There shall be at least two (2) regular Faculty meetings annually. The Dean shall determine the dates and times of these meetings. The Dean shall determine the meeting's agenda, including provisions for new business that shall be made available to all Faculty at least ten (10) days before the meeting. Special meetings of the Faculty may be called at any time by the President or the Dean. A special meeting of the Faculty may also be convened upon petition by fifty (50) Faculty members. Such petition shall be delivered to the Dean, who may schedule a special meeting not later than ten (10) calendar days after receipt of the petition unless the petition designates a later date; later dates shall be negotiated with the Dean. Notice of a special meeting with an agenda shall be made available to all Faculty members no less than five (5) days before the meeting. Only subjects specifically listed on the agenda of a special meeting may be considered at that meeting.

### *COMMITTEES*

#### Section 8.

Faculty Council. The Senior Representative Body for Rush Medical College shall be the Faculty Council.

- (a) The Faculty shall elect the Faculty Council for the next academic year prior to the final regularly scheduled meeting of the academic year.
- (b) Composition. The Faculty Council shall consist of nine (9) Professors members, three Associate Professors members, three (3) Assistant Professors members, three (3) Instructors and/or Assistants members; and up to four (4) medical students.
- (c) Election for Faculty Council. The Professors shall elect nine (9) members from among themselves, three (3) each from the Departments within the Office of Basic Sciences, the Office of Medical Sciences, and the Office of Surgical Sciences, for three (3) year terms of office with one-third being elected each year. The Associate Professors shall elect three (3) members from among themselves, one (1) each from the Departments within the

Office of Basic Sciences, the Office of Medical Sciences, and the Office of Surgical Sciences, for three (3) year terms of office with one-third being elected each year. The Assistant Professors shall elect three (3) members, one (1) from each of the above Offices for three (3) year terms of office with one-third being elected each year. The Instructors and/or Assistants shall elect three (3) members, one (1) from each of the above Offices for a one (1) year term. The Medical Students may also elect up to four (4) members, one (1) from each Medical College class, for one (1) year term.

- (d) The Faculty Council will elect a chair to serve for one (1) year from among the membership of the Faculty Council. The Dean shall be an ex officio member, but may vote in case of a tie. The Chair of the Faculty Council, in consultation with the Dean or his/her designate, shall convene the Faculty Council within the first two weeks of the academic year and monthly thereafter.
- (e) In the event that a member of the Faculty Council whose term of office is more than one (1) year is unable to serve, a new member of appropriate rank shall be elected to fill the unexpired term at the next election. The Dean may appoint a new member of appropriate rank to fill the vacant positions until the end of the academic year. Any member of the Faculty Council is eligible to be reelected.
- (f) The annual election shall take place by anonymous vote. The duties of the members shall begin on the following July 1st.
- (g) Standing Committees. The Standing Committees of Rush Medical College are the:
  - i. Faculty Council. Members of this committee represent the faculty of the medical college. They review work by all of the other standing committees, serve as the grievance committee, approve faculty appointments and promotions of faculty to senior ranking. The Faculty Council will review and make recommendations for the Policies and Procedures of each Standing Committee and will be responsible for slating candidates for election of membership of RMC standing committees.
  - ii. Committee on Admissions (COA) (LCME required). Members of this committee are responsible for reviewing and interviewing applicants for admission to Rush Medical College. The Admissions Selection Committee, a subset of the larger Committee, has the final authority for selection of candidates for admission.
  - iii. Committee on Curriculum and Evaluation (CCE) (LCME required). Members of this committee are responsible for the overall design, management, integration, evaluation, and enhancement of a coherent and coordinated medical curriculum.
  - iv. Committee on Student Evaluation and Promotion (COSEP) (LCME required). Members of this committee will develop policies concerning student status, evaluation and promotion, review academic performance of medical students, and make recommendations to the Dean concerning promotion and graduation, remedial actions, and dismissal of students.
  - v. Committee on Senior Faculty Promotions (COSFAP) (LCME required). Members of this committee will review recommendations for appointments/promotion of faculty members to academic ranks to Rush Medical College and prepare faculty files for presentation to the Faculty Council.
- (h) The minimum number of members of each of the Standing Committees shall be determined by the Faculty Council as approved by the Dean. The number of medical students from each year, to be elected by the Medical Students, to serve on each of the standing committee shall be determined by the Faculty Council in accordance with the Policies and Procedures of each of the standing committees.
- (i) Committee meetings are open to all faculty to attend for information purposes. Ex officio members attend



meetings and provide information when needed. All business requiring a vote shall be held in Executive Session for discussion and voting by elected voting members of the committee.

- (j) Students from the medical college may be elected to standing committees. Students will not have a vote during their first year on a committee, but may vote upon completion of one year on the committee. Students will not have a vote on faculty promotions (re: COSFAP).
- (k) Changes to the Standing Committees may be made by recommendation of the Faculty Council and approved by the Dean. A Manual of Policies and Procedures of each Committee shall be reviewed and approved by the Faculty Council.
- (l) Standing Committee members will be elected terms as provided for in each committee's policies and procedures.
- (m) Members of the Dean's Office (assistant and associate deans) may be nominated for membership on Standing Committees, but appointment will only be granted if Faculty Council determines no significant conflict of interest exists. Upon appointment to the Office of the Dean, faculty members may continue to serve on Standing Committees only with approval from the Faculty Council. Such determinations and approvals require a majority of those voting faculty members present at the relevant Faculty Council meeting. Members of the Dean's Office that serve on Faculty Council shall recuse themselves from such votes.
- (n) Interim Committee vacancies can be filled for that academic year with appointees selected by Faculty Council.
- (o) Each Standing Committee shall maintain written Policies and Procedures that shall be reviewed when necessary to maintain in accordance with standards of Rush University. Changes in the Policies and Procedures shall be submitted for review and approval to the Faculty Council.
- (p) Each Standing Committee shall include as a requirement in its Policies and Procedures that a portion of each meeting be held in executive session with only committee members present.

## ***UNIVERSITY COUNCIL***

Section 9. At the first or second meeting of the academic year, the Faculty Council shall elect four (4) of its members to be on the University Council for one (1) four-year term of office.

## **ARTICLE III**

### ***AMENDMENTS***

Section 1. Amendment Procedures for Rush Medical College

The Faculty Council shall appoint an Ad Hoc Committee that will work on amendments and revisions to these Policies and Procedures. The Ad Hoc Committee shall report directly to the Faculty Council. The following process shall be carried out in a timely manner. Proposed amendments shall be submitted to the Faculty Council for their approval; reasons for any non-approval shall be stated in writing with recommendations for revision. If approved, the amendments shall be submitted to the Faculty of Rush Medical College for vote at any regularly or specifically called faculty meeting or secret ballot using available and current technology. Upon approval by the Faculty, the amendments shall be submitted to the University Council for review of consistency with the Rush University Rules for Governance. Upon approval by the University Council the proposed amendments shall be transmitted to the Provost, the President and the Board of Governors for final approval.