



**Southern College of Optometry**

**Faculty Handbook**

Last updated 8/2011  
Approved by the SCO Board of Trustees 09/26/2009

## *Mission Statement*

*The mission of Southern College of Optometry is to lead the profession by:*

- Educating the best possible healthcare providers;*
- Promoting lifelong learning and*
- Fostering a personal commitment to service.*

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## Introduction

The Faculty Handbook is a reference for all members of the faculty relative to the organization and function of Southern College of Optometry (SCO). The Faculty Handbook serves in conjunction with the College Catalog, the Student Handbook, and other administrative manuals, as well as current directives of the Board of Trustees and SCO Administration. The Faculty Handbook is not all inclusive with regard to SCO policy. Each member of the SCO faculty is to become familiar with the Faculty Handbook at their time of appointment. The President, Vice President for Academic Affairs (VPAA), and the Faculty Affairs Committee share responsibility for an annual review of the Faculty Handbook. The Chairperson of the Faculty, the President and the VPAA keep hard copies of the Faculty Handbook. The Faculty Handbook is posted on the SCO website: [www.sco.edu](http://www.sco.edu). The Faculty Handbook is to be a dynamic document and thus is subject to enhancements as initiated by the President, the VPAA and the Faculty Affairs Committee.

## Chapter 1

### Institutional Organization

The charter for Southern College of Optometry (SCO) was issued by the State of Tennessee in May, 1932 to Dr. J.J. Horton. SCO was certified in 1941 as a not-for-profit institution. SCO is accredited by the Commission on Colleges of the [Southern Association of Colleges and Schools](#), 1866 Southern Lane, Decatur, GA 30033 – 4097, to award the Doctor of Optometry degree. SCO is also accredited by the Accreditation Council on Optometric Education of the [American Optometric Association](#), 243 N. Lindberg Blvd., St. Louis, MO 63141, to award the Doctor of Optometry degree. SCO is a member of Tennessee Independent Colleges and Universities and a charter member of the [Association of Schools and Colleges of Optometry](#). Documents describing the accreditation of SCO may be viewed by contacting the Vice President for Academic Affairs (VPAA). Interested parties may also contact the accrediting bodies directly.

Built in 1970, the SCO high-rise academic facility houses state-of-the-art multimedia classrooms, a computer resource center, a library, optometry and biomedical laboratories, faculty and administrative offices, a student lounge, a dining facility, a multipurpose conference center, a mailroom and a bookstore. In 2007, SCO opened the [Hayes Center for Practice Excellence](#). The Hayes Center provides educational resources for best practice solutions and ideas on how to own and manage a private practice. [The Eye Center](#), the newest building on the SCO campus, houses a state-of-the-art vision and eye care facility designed for patient care and optometric clinical education.

Management of the affairs, property and conduct of SCO is by the Board of Trustees. The Board of Trustees has the responsibility to provide for the general welfare of SCO. The Board of Trustees may adopt policies and regulations to fulfill its responsibilities. The powers held by the Board of Trustees are those established under its charter, bylaws and the general welfare corporation laws of the State of Tennessee. The Board of Trustees is charged with the responsibility to approve the functions, direction, educational activities and academic programs as put forth by the President and Faculty of SCO. The Board of Trustees also determines the type of degrees to be awarded by SCO.

The Board of Trustees elects its officers (Chairperson, Vice Chairperson and Secretary). The Executive Committee of the Board of Trustees is comprised of the Chairperson, Vice Chairperson, Secretary and two Trustees-At Large. The Trustees-At-Large are elected by the Board of Trustees at its annual meeting. The Board of Trustees meets several times per year. Standing committees of the Board of Trustees include: Financial Affairs, Academic Affairs, Institutional Advancement, Staff and Student Affairs, Audit, and Nominating. The Chairperson of the Board of Trustees appoints members to the Standing Committees. Additional Ad hoc

committees are appointed by the Chairperson with the approval of the Board of Trustees.

The President has the responsibility for the general management and control of the business affairs of SCO. The President is responsible for execution of the policies of the Board of Trustees and is authorized to negotiate and execute all contracts, leases and indentures. The President has the authority to assign duties and determine compensation of all other employees of SCO in accordance with policies established by the Board of Trustees. The President also has the authority to employ or discharge individuals, excluding Officers of SCO. An Officer of SCO is defined as one who has the authority to perform the duties of the President in his/her absence.

Reporting directly to the President are the following administrative positions: Vice President for Academic Affairs (VPAA), Vice President for Clinical Programs (VPCP), Vice President for Finance and Administration (VPFA), Vice President for Institutional Advancement (VPIA), Vice President for Student Services (VPSS) and Vice President for Human Resources (VPHR). The aforementioned positions make up the President's Council. Council meetings are chaired by the President. Each member of the President's Council is responsible for maintaining an organizational table that is approved by the President.

Please see Appendix 1 for the SCO Table of Organization.

### **Departmentalization**

Academic departments and clinic services exist for greater clarity of authority and responsibility within areas that share specific goals, modes of teaching, and needs in terms of facilities, equipment and personnel. Two academic department chairs report to the office of the Vice President for Academic Affairs (VPAA). These are the Chair of Optometric Education and the Chair of Assessment. The Chief of Staff reports to the Vice President for Clinical Programs and is responsible for the individual clinical chiefs of service. A faculty member reports to one or more department chair(s) and/or service chief(s). Specific responsibilities of department chair(s) and/or service chief(s) are identified in areas of policy, academic performance of students, curriculum, personnel and budget.

In relation to Policy: Each department chair and/or service chief shall be responsible for conducting regular meetings as well as interpretation and implementation of existing policy as it applies to the department/service area and its faculty. Such meetings shall not only be for authoritative direction, but shall provide opportunity for all to ask questions and/or offer suggestions for improvement. Recommendations are to be made to the administration regarding the creation of new policy or changes in existing policy where need exists as related to the course(s) or service area they supervise.

In relation to academic performance of students: Each department chair and/or service chief shall be fully acquainted with the current course outline's grading procedure, make appropriate recommendations to the Student Affairs Committee through the Chairperson of the Faculty, and be available to counsel students.

In relation to curriculum: Each department chair and/or service chief shall be fully acquainted with current course outlines, actively interact with others to ensure appropriate curriculum continuity and patient care programs, and make appropriate recommendations to the Curriculum Committee through the Chairperson of the Faculty.

In relation to Personnel: Each department chair and/or service chief shall recommend priorities for personnel needs and assist in the recruitment of personnel. He/she shall annually evaluate faculty and staff members. Each department chair and/or service chief shall recommend assignments and make recommendations concerning support staff as well as interact with members of the faculty who have teaching, clinical and/or research assignments.

In relation to budget: Each department chair and/or service chief shall prepare and submit an annual, itemized budget request. He/she shall monitor and keep records of departmental expenditures and be responsible for notifying the Vice President for Finance and Administration of any change in departmental inventory or capital equipment.

Members of the faculty who hold the rank of Assistant Professor or above are eligible to serve as a department chair and/or service chief. In order to ensure an orderly and progressive implementation of SCO objectives, academic department chairs are appointed, in consultation with the President, by the VPAA. Clinical Chiefs of Service are appointed by the Chief of Staff and the Vice President for Clinical Programs in consultation with the VPAA and President. Appointment of the academic department chairs is at the discretion of the VPAA. Appointment of the clinical chiefs of service is at the discretion of the VPCP and Chief of Staff. All department chairs and service chiefs require approval by the President, whether for initial appointment or reappointment.

## Chapter 2 Faculty Defined

Faculty members are defined as those employees of SCO, both full-time and part-time, who hold an academic rank of Instructor, Assistant Professor, Associate Professor or Professor. A faculty member of SCO:

- Supports the SCO Mission and Strategic Plan.
- Strives to improve teaching effectiveness.
- Establishes and maintains a personal yet professional teacher-student relationship while providing motivation, guidance and supervision.
- Remains abreast of current literature and techniques as related to optometric teaching and practice.
- Engages in scholarship, advancing the knowledge held by Optometry.
- Remains abreast of advances in patient care.
- Teaches assigned courses that adhere to the published didactic and clinical schedules.
- Outlines the scope and content of each assigned course while revising course materials whenever necessary.
- Submits grades on the basis of academic achievement in a manner that is equitable, discriminative and that distinguishes superior from average or sub-par performance.
- Participates in the revision of the SCO curriculum as proposed by the Faculty Curriculum Committee.
- Reviews the course descriptions published in the College Catalog and Student Handbook as requested by the VPAA and/or the Vice President for Clinical Programs.
- Prepares annual budgetary requests, if needed, for review and consideration with a department chair and/or service chief.
- Assists department chair(s) and service chief(s) in coordinating shipments received with invoices and purchase orders.
- Participates in one or more faculty committees as appointed by the Chairperson of the Faculty or SCO Administration.

## Chapter 3

### Faculty Bylaws

#### Article 1 - Name

The name is the Faculty of Southern College of Optometry (SCO).

#### Article 2 - Authority

The Faculty Bylaws are established through Presidential delegation in consonance with Board of Trustee (BOT) policy.

#### Article 3 - Purpose

The Faculty Bylaws are promulgated to establish procedures that will promote the constructive exercise of Faculty influence on academic policies and on operations of SCO that affect Faculty affairs. Achievement of this purpose shall be by communications with the Administration at an early stage of decision making.

#### Article 4 - Role in Academic Policy

Faculty members are expected to participate fully in the deliberations of the Faculty and duly constituted committees. Faculty members are encouraged to deliver input on academic policies and issues regarding Faculty related affairs. Recommendations are formally proposed via a Faculty Resolution. An approved Faculty Resolution represents the Faculty's position on each issue involving academic policy. Upon approval, a Faculty Resolution shall be submitted to the Vice President of Academic Affairs (VPAA) by the Faculty Chairperson. A decision or status report on the resolution is expected at the subsequent meeting of the Faculty. Please see Appendix 2 for a sample Faculty Resolution.

#### Article 5 - Faculty Membership

- **Section 5.1 - Voting Members**

The voting membership of the Faculty shall consist of those who hold a Faculty rank and FTE of 0.55 or above and who do not hold a position at or above the level of Vice President nor an appointment to the President's Council. The VPAA provides, by July 1 of each year, a list of those who satisfy this definition. Voting members of the Faculty have the right to:

- Vote
- Participate fully in all considerations before the Faculty
- Enter motions
- Submit recommendations

- Hold a Faculty office if eligibility for candidacy is met

The rights of voting members apply to all regular and special Faculty meetings as well as Standing Committee meetings.

- **Section 5.2 - Non-Voting Members**

Non - voting Faculty members include those whose FTE is less than 0.55, Adjunct Faculty, Affiliated Faculty, and Emeritus Faculty. Non-voting members have the right to:

- Participate fully in all discussions before the Faculty in all open and special Faculty meetings as well as open Standing Committee meetings.

## Article 6 - Faculty Officers

- **Section 6.1 - Officers Named**

The officers of the Faculty shall consist of: The Chairperson, Vice-Chairperson, Secretary, [American Optometric Association](#) (AOA) Representative, [Tennessee Association of Optometric Physicians](#) (TOAP) Representative and the Southern Council of Optometrists ([SECO](#)®) Representative.

- **Section 6.2 - Officers' Duties**

**6.2 (a) - Faculty Chairperson**

The Faculty Chairperson will:

- Preside at all meetings of the Faculty with the same authority to vote on any motion as any other member. He/She will not have an additional vote to break a tie.
- Make appointments to standing and ad hoc committees.
- Be the Faculty's Representative to the BOT.
- Receive and assign agenda items to appropriate committees for consideration.
- Transmit Faculty resolutions to the Administration via the VPAA.
- For each regular meeting, arrange for a report from the President, or his/her delegate, on administrative actions concerning Faculty resolutions or any other matters affecting the Faculty.

**6.2 (b) - Vice Chairperson**

The Vice-Chairperson shall perform the duties and hold the powers of the Chairperson during the absence or disability of the Chairperson. Duties may be delegated to him/her by the Chairperson.

### **6.2 (c) - Secretary**

The Secretary shall:

- Arrange for transcription and authentication of the minutes of each Faculty meeting.
- Be the custodian of the minutes.
- Distribute authenticated minutes.
- Send notification and agenda of Faculty meetings.
- Perform duties as delegated by the Chairperson.

### **6.2 (d) - AOA Representative**

The AOA Representative shall represent SCO to the AOA Faculty Relations Committee. Any concerns of the Faculty relative to the AOA shall be voiced to the AOA Faculty Relations Committee by the AOA Representative.

### **6.2 (e) - TAOP Representative**

The TAOP Representative shall represent SCO at all TAOP Board meetings and report to the Faculty at the subsequent Faculty meeting. Any concerns of the Faculty relative to the TAOP shall be voiced to the TAOP Board by the TAOP Representative.

### **6.2 (f) – SECO® Representative**

The SECO® Representative shall represent SCO at the annual SECO® meeting and report to the Faculty at the subsequent Faculty meeting. Any concerns of the Faculty relative to the Southern Council of Optometrists and SECO® shall be voiced to the administration of the Southern Council of Optometrists and SECO® by the SECO® Representative.

- **Section 6.3 - Eligibility for Office**

To be eligible for the office of Chairperson or Vice-Chairperson, one must have been a Faculty member for at least three consecutive calendar years prior to the election and currently have a FTE of 1.0, with at least 0.55 FTE assigned to Teaching Effectiveness and/or research.

To be eligible for the office of Secretary, AOA Representative, TAOP Representative, or SECO® Representative, one must be a Faculty member and have a FTE of 0.55 or greater, with at least 0.55 assigned to Teaching Effectiveness and/or research. No one person shall concurrently hold more than one of these offices. Faculty officers cannot serve concurrently on the President's Council.

- **Section 6.4 - Terms of Office**

The term of office for the Chairperson, Vice-Chairperson and Secretary shall be one year commencing on July 1 of the year elected. The term of office for the TAOP Representative and the SECO® Representative shall be three years commencing on July 1 of the year elected. The term of office for the AOA representative shall be three years commencing on December 31<sup>st</sup> of the year elected. The Chairperson, Vice-Chairperson and Secretary may be reelected, provided that no one serves more than three consecutive years in office. The AOA Representative, TAOP Representative, and SECO® representative cannot have immediate successive terms.

- **Section 6.5 - Officer Nomination and Election**

Election of officers shall occur during the spring term of each year. Those members who desire to be a candidate for any office shall file a written or electronic notice with the Secretary at least two weeks prior to the spring meeting of the Faculty. Nominations may also be made on any potential candidate's behalf and filed as aforementioned. If less than two eligible Faculty members file notice for a particular office, the Faculty Affairs Committee (FAC) shall nominate enough persons to have at least two candidates for each office. The FAC shall actively consult with all nominees prior to ballot construction. The election process shall be overseen by the FAC, be via secret ballot, be held during the spring term and conform to the following process:

- 6.5 (a) Each voting member shall receive one ballot listing all the requisite candidates in alphabetical order for each office along with two envelopes.
- 6.5 (b) After voting, each member shall place his/her ballot in the envelope marked "Ballot" and then seal the envelope.
- 6.5 (c) The sealed "Ballot" envelope shall then be placed inside the second larger envelope. This second envelope shall have the members name, both printed and signed, on the outside and be forwarded to the FAC by a pre-determined date.
- 6.5 (d) Upon receipt of the ballots, the FAC and Secretary of the Faculty shall verify receipt of the ballot, and separate the "Ballot" envelope from the named envelope.
- 6.5 (e) All "ballot" envelopes received by the deadline shall be randomly ordered before being opened by the FAC. The anonymous ballots shall then be tabulated by the FAC and Secretary of the Faculty.

**6.5 (f)** A runoff election between candidates obtaining the top two highest percentages of votes must take place within one week of the original deadline for submission of original ballots if a candidate for any office does not receive more than 50% of the total eligible votes.

**6.5 (g)** The candidate elected to each office will be that one receiving more than 50% of the total eligible votes. If a run-off election is required per Article 6, Section 6.5 (f), the elected candidate will be that one receiving more than 50% of the votes cast in the run-off election.

**6.5 (h)** Election results shall be announced by the Faculty Chairperson immediately following the counting of the vote.

- **Section 6.6 - Recall**

Recall of any officer before the expiration date of his/her term of office shall require a written ballot. Any voting member may initiate a recall election by submitting to the Secretary a petition with the signatures of more than two-thirds of the voting members. The recall election shall be held at the next regular Faculty meeting and shall require a two-thirds vote to carry.

- **Section 6.7 - Vacancies**

If the office of Chairperson is vacant, the Vice-Chairperson shall assume the duties of the Chairperson. If the office of Vice-Chairperson or Secretary is vacant, the Chairperson shall appoint a successor who shall serve until the next regular election of officers. If the offices of Chairperson and Vice-Chairperson are concurrently vacant, a special election, via the process outlined in Article 6, Sections 6.5 (a) – 6.5 (h), shall be held and overseen by the FAC. The Chairperson elected at a special election shall take office immediately, serving until the next regular election.

## Article 7 - Meetings

- **Section 7.1 - Regular Meetings**

The Faculty shall meet once each term, convening at a time and place to be determined by the Faculty Chairperson. The following shall be the order of business at each regular meeting of the Faculty, unless suspended at the discretion of the Chairperson:

1. Consideration of the minutes of the last regular meeting and of special meetings held subsequently and the approval or amendment of those minutes
2. President's report
3. VPAA report
4. Committee Chairpersons' report
5. Unfinished or new business
6. Adjournment

The rules contained in the latest edition of Robert's Rules of Order shall govern the Faculty meetings in all cases in which they are not inconsistent with these Bylaws or any special rules of the Faculty.

- **Section 7.2 - Notice and Agenda**

Any agenda item accompanied by a resolution will be considered. Agenda items for all regular meetings are to be filed with the Chairperson at least five working days prior to the meeting. The agenda for all meetings will be announced electronically at least three working days prior to the meeting.

- **Section 7.3 - Quorum**

The quorum for any meeting shall be greater than 50% of the voting membership and must be met before any business is transacted. Business transacted by the quorum is representative of the full membership of the Faculty.

- **Section 7.4 - Voting**

Voting on motions shall be by voice. A show of hands vote may be called by the Chairperson or any voting Faculty member. A ballot vote may be obtained by any voting Faculty member making a request to the Faculty Chairperson prior to the Faculty meeting being called to order or by any voting Faculty member, with the concurrence of any other voting Faculty member, while a Faculty meeting is in session. This ballot vote must take place during the meeting in which the motion was made. Upon announcement of any vote at a meeting of the Faculty, a Faculty member holding a minority view may request his view be made a matter of record. Such minority views shall be submitted in writing by the Secretary of the respective Standing Committee as a matter of record within the minutes of that meeting.

- **Section 7.5 - Minutes**

The Secretary of the Faculty shall transcribe the minutes of the Faculty meetings. The minutes need not be a verbatim record of a meeting but should provide adequate basis upon which actions may be taken or policies be extracted. Minutes of each regular Faculty meeting and of any special Faculty meetings shall be circulated for consideration by the Faculty members prior to the next regular meeting at which time they shall be approved as attested by the Secretary. Written minutes of each Faculty meeting shall be verified under the signature of the Chair of the Faculty and distributed electronically to the Faculty, VPAA, VPIA, the President, and SGA President.

- **Section 7.6 - Executive Session**

All Faculty meetings shall be open unless a motion is adopted to go into executive session. Such a motion is considered a privileged motion and is adopted by a majority vote. This vote may occur by ballot via the request of any Voting Faculty member present with the concurrence of any other Voting Faculty member present. An executive session is ended by motion and majority vote.

An executive session, in the case of a Faculty meeting, is a Faculty meeting that is closed to all but the Voting Faculty members. Guests may be invited into executive session upon proper motion and majority vote of those Faculty members present in the respective executive session. Business conducted during executive session is to remain confidential. Discussions taking place during executive session shall not be transcribed. However, any actions that are a result of discussions held during executive session are to be voted on at the conclusion of the called executive session. Any actions taken shall be placed in the minutes of the following open session.

- **Section 7.7 - Special Meetings**

Special meetings of the Faculty may be called by the Chairperson. These meetings may consider a specific agenda item requiring action before the next regular meeting. Requests shall state the purpose of the proposed meeting. Business transacted at all special meetings shall be limited to the specific item requiring action as stated in the call.

## Article 8 - Standing Committees

- **Section 8.1 - Purpose**

All regular meeting agenda items shall be referred to a standing or an ad hoc committee for consideration and recommendation prior to placement on the meeting agenda. Agenda items may be suggested by any person, Faculty member or non-member. Each committee is a fact finding body; intensive consideration shall be given to items assigned. Standing committees have jurisdiction to make recommendations to the Faculty by means of appropriate resolutions. Each committee shall formulate a written resolution or written recommendation on each item to be presented to the Faculty. Upon announcement of any vote at a meeting of any Standing Committee, a member holding a minority view may request his view be made a matter of record. Such minority views shall be submitted in writing by the Secretary of the respective Standing Committee as a matter of record within the minutes of that meeting.

- **Section 8.2 - Assignments and Terms**

Assignments of Faculty members to Standing Committees shall be made by the Faculty Chairperson by August 1 of each year. The term of each Standing Committee shall be from August 1 through July 31. Replacements to committee rosters will be made by the Chairperson as required.

- **Section 8.3 - Determination of Chair**

The first named member on the committee assignments will act as Chair Pro Tem. Each standing committee will elect a Committee Chairperson during the first organizational meeting, doing so via majority vote. Chairpersons of Standing Committees may not serve more than three consecutive terms.

- **Section 8.4 - Quorum for Committees**

Quorum is greater than 50% of the assigned committee members.

- **Section 8.5 - Committee Meetings and Minutes**

Standing Committee meetings are governed by the respective Committee Chairperson under procedures selected at his/her discretion. Committee meetings are open. The Committee Chair of the respective Standing Committee shall allow any person present to have input. Any person present at a Standing Committee meeting may have a written minority view attached to the recommendations of that committee meeting. All such minority views are to be presented along with the committee's majority views at the Faculty meeting, when action will be taken. A transcription of actions of each Standing Committee meeting will be made by any person designated by the respective Committee Chair. Written minutes of the respective Standing Committee meetings shall be verified under the signature of the respective Standing Committee's Chair as

accurate with distribution to the Chair of the Faculty and the respective committee members.

- **Section 8.6 - Executive Session**

All Standing Committee meetings shall be open unless a motion is adopted to go into executive session. Such a motion is considered a privileged motion and is adopted by a majority vote. This vote may occur by ballot via the request of any Voting Faculty member present with the concurrence of any other Voting Faculty member present. An executive session is ended by motion and majority vote.

An executive session, in the case of a Standing Committee meeting, is a Standing Committee meeting that is closed to all but the members of that committee. Guests may be invited into executive session upon proper motion and majority vote of those Faculty members present in the respective executive session. Business conducted during executive session is to remain confidential. Discussions taking place during executive session shall not be transcribed. However, any proposed actions that are a result of discussions held during executive session are to be voted on at the conclusion of the called executive session. Any actions taken shall be placed in the minutes of the following open session.

- **Section 8.7 - Standing Committees Listed**

- **8.7 (a) - Faculty Affairs Committee (FAC)**

- The functions of the FAC are:

- to consider employment policy and conditions of employment
      - considerations of policies relative to promotions in Faculty rank
      - to consider evaluation methods of Faculty members by administration and students
      - to hear employment grievances by Faculty members. When acting in said grievance capacity, the decision of the committee shall be the Faculty's determination of the issue.
      - to consider matters of academic freedom
      - to evaluate institutional policies as they pertain to Faculty
      - to manage the annual Burnett Award

- **8.7 (b) - Curriculum Committee**

- The functions of the Curriculum Committee are:

- to consider the content, requirements, balance and coordination of current and proposed degree programs

### **8.7 (c) - Student Affairs Committee**

The functions of the Student Affairs Committee are:

- to consider re-admissions, probations, terminations and retention of students
- to hear student grievances and student discipline When acting in its grievance capacity, the decision of the Student Affairs Committee shall be the Faculty's determination of the issue. A report of such actions shall be made to the Vice President of Student Services (VPSS) and the VPAA. Further, when and only when, acting in such a grievance capacity, a student shall be appointed by the VPSS to be a voting member of the Student Affairs Committee.

### **8.7 (d) – Tenure Committee**

Although tenure is currently not being awarded at SCO, those Faculty members who have attained tenure are expected to be a resource to the other standing committees where their years of service and historical perspective may be of use.

### **8.7 (e) – Research Committee**

The functions of the Research Committee are:

- to provide counseling on external funding sources for research
- to voluntarily review papers to be submitted for publication
- to aid in the review of all internal research proposals by Faculty members as requested by the Director of Research
- to develop long range plans for SCO with regard to research

### **Section 8.8 – Ad hoc Committees**

Ad hoc Committees may be appointed by the Chairperson for issues requiring specialized consideration or when more than one standing committee has overlapping and/or joint jurisdiction of an issue. In the latter case, the Ad - hoc Committee shall have members who are representatives of each of the involved Standing Committees. All Ad - hoc Committees automatically terminate upon completion of consideration of the issue. The Ad - hoc Committee will draft an appropriate resolution and have the Faculty vote upon it.

## **Article 9 – Faculty Bylaws Amendment**

The Faculty Bylaws may be amended or repealed at any regular meeting by an affirmative vote of more than two-thirds of the voting members. Any proposed amendments or repeals must be submitted to the Secretary in writing or electronically at any regular or special meeting to be voted upon at the next regular meeting. Amendments or additions to these Bylaws shall be presented in such form as is suitable for direct incorporation into the existing Bylaws. Any Bylaw may be suspended at any meeting by the unanimous consent of the voting membership.

## Chapter 4

### Faculty Recruitment and Appointment

The following represents the procedures and process utilized for recruitment and initial appointment of SCO faculty members:

1. There is a demonstrated need and approved funding for a faculty position, authorized by the Vice President for Academic Affairs (VPAA) and the Vice President for Clinical Programs with approval of the President.
2. The educational and professional background necessary for the position is determined by the VPAA and/or the Vice President for Clinical Programs.
3. Advertisements may be published in appropriate media. Additionally, announcements may be mailed to Presidents and/or Deans of optometric or other relevant institutions. Interested individuals are directed to contact the VPAA. The VPAA will coordinate the recruitment process. An expression of interest, curriculum vitae and faculty application are received by the VPAA.
4. The VPAA convenes a meeting of the Faculty Search Committee. The Faculty Search Committee consists of the VPAA, the Vice President for Clinical Programs, the Chairperson of the Faculty Affairs Committee, the Chair of Assessment, the Chair of Optometric Education, the Chief of Staff, additional department chairs and/or service chiefs, if appropriate, and the Vice President for Human Resources (VPHR). The Faculty Search Committee reviews the candidate's application, contacts the candidate's references, and recommends which candidates should be invited to campus for an interview.
5. Candidates selected for interviews will typically spend one day on campus. Candidates will be formally interviewed by the Faculty Search Committee and will give a lecture-style presentation to a gathering of the faculty, administration and invited student representative(s).
6. The Faculty Search Committee makes a recommendation with regard to offering a faculty position. Based upon recommendations from the Faculty Search Committee, the VPAA consults with the President to finalize a decision regarding positions offered to any individual.
7. When a candidate is offered a position, he/she is provided with an academic rank and a salary that is based upon his/her academic degrees, academic experience and professional experience.
8. Final appointment is contingent upon review of official transcript by VPAA.

## Chapter 5

### Employment Policies

The policies of employment as a faculty member of SCO are published to serve as guidelines and are illustrative rather than exhaustive to cover all possible situations. All faculty members are expected to adhere to current SCO policies. Violation of policy may result in disciplinary action, including termination of employment for just cause.

#### General Policies

- During the first 90 days of employment, new faculty members are conditionally employed. This period of time shall be used as a review of performance by the appropriate supervisor(s). Continued employment beyond the initial period of employment is not implied or guaranteed.
- Faculty members are expected to conduct themselves in a manner consistent with ethical practice, reason, and prudence. Unethical practice of optometry, unethical research practices, and unethical teaching practices are violations of policy.
- Faculty members have professional responsibilities that are subject to interpretation by a supervisor, department chair and/or service chief, any vice president, and the President. Instruction by a supervisor as to the priorities and assignment of tasks shall be accepted by the faculty member. Refusal by a faculty member to follow the instruction of his/her supervisor is violation of policy and considered insubordination.
- A faculty member is expected to perform with levels of skill, accuracy, productivity, reliability, quality, and patience as consistent with the guidelines within the Strategic Plan. The performance of assignments at an unacceptable level of performance is subject to remediation, probation or, ultimately, termination.
- It is expected that all faculty members be respectful of colleagues, students, patients and other employees of SCO. When incompatibility affects professional effectiveness or judgment to a significant degree, a violation of policy has occurred.
- SCO must be able to rely on the faculty member's support with regard to SCO policies and programs. Statements or actions opposing or undermining SCO programs or policies is a violation of policy.

- Each faculty member is expected to maintain the highest standards of personal and professional conduct, integrity, cooperation, and efficiency in the performance of his/her assignments. Conduct or actions that are in conflict with such expectations, while representing SCO, may be deemed unacceptable. Responses such as extreme emotional stances, repeated hypercritical comments, misappropriation or unauthorized commitment of SCO funds, etc., are examples that may be considered violation of policy.
- Theft or deliberate damage to SCO property, conviction for felonies, fraud, embezzlement, etc., are violations of policy.
- No faculty member may act for personal monetary gain during the conduct of SCO business without express administrative approval.
- Solicitation on campus or SCO-affiliated clinics by charities, salespersons, faculty members, or staff is prohibited unless prior approval is obtained from the President.
- Equipment assigned to a department is available for use off campus by faculty members of that department for official business with approval by the appropriate department chair or service chief, the Vice President for Clinical Programs or the Vice President for Academic Affairs (VPAA). Use of SCO-owned equipment for off campus personal business is generally prohibited. Department chair or service chief approval is required for exceptions. Full personal liability for equipment must be assumed. In the case of laptop computers, faculty members are responsible for the care and maintenance of computers with regard to off campus use.
- Each faculty member is responsible for his/her area during operational hours. The Director of Physical Plant has overall responsibility for building security. Missing items should be reported immediately to the Security Office and then to the Vice President for Finance and Administration for inventory control and further investigation.
- There is no prohibition against a faculty member holding a secondary position so long as there is no interference with the policies of employment or the individual's assignment at SCO.

#### **Equal Opportunity Employer**

SCO does not discriminate on the basis of race, color, national origin, religion, sex, disability, veteran status or age in any of its policies, procedures or practices. It is the policy of SCO to afford equal employment opportunity to all qualified individuals without regard to race, color, national origin, religion, sex, disability, veteran status or age. This policy applies, but is not limited, to the following personnel actions:

recruitment, employment, training, upgrading, promotions, demotions, transfers, layoffs, terminations, benefits, pay, total compensation, status, other assistance and benefits programs.

Violations should be discussed with the appropriate department chair and/or service chief, the Vice President for Human Resources (VPHR) or the President. If a written complaint is filed, an investigation will be made in a timely manner. All records made or maintained as part of the investigation will remain confidential. If an investigation substantiates the allegations of discrimination, appropriate corrective action will be taken. Any attempt to penalize or retaliate against a person for filing a complaint or participating in the investigation of discrimination is violation of policy.

### **Working Conditions**

- **Alcohol and Drug Free Campus**
  - SCO is opposed to substance abuse. SCO policy prohibits the unlawful use, manufacture, possession, distribution, or dispensing of controlled substances. Entering or being on SCO property under the influence of controlled substances or alcohol is prohibited. The use of alcoholic beverages on SCO property is prohibited except on those occasions when an exemption has been granted, in writing, by the President. Faculty members may be subject to alcohol and controlled substance testing to the extent permissible by law. In cases of alcohol and controlled substance addiction, SCO may encourage a program of treatment or rehabilitation. The faculty member's position at SCO will not be jeopardized by seeking help, although in some cases where the ability to function effectively is severely impaired, the subject individual may be placed on administrative leave, temporary suspension or temporary disability pending resolution of the situation. Any faculty member addicted to controlled substances or alcohol who unreasonably rejects treatment, or who prematurely leaves a rehabilitation program, may be subject to termination. The faculty member will notify the VPAA of any criminal drug statute or alcohol-related conviction no later than five days after the conviction. In an event that a faculty member is paid by SCO from federal grants or contracts, SCO is required to inform the granting or contracting agency of any criminal drug statute violation within ten days receipt of notification to SCO. The faculty member is expected to advise his/her supervisor of pending legal action regarding controlled substance or alcohol, even if transpiring during off-duty hours. Information regarding assistance and treatment programs may be obtained from the Vice President for Human Resources (VPHR).

- Discrimination based upon age, race, religion, disability, national origin, gender or sexual orientation is prohibited. Violations should be discussed with the appropriate department chair and/or service chief, any vice-president, or the President. If a written complaint is filed, an investigation will be made in a timely manner. All records made or maintained as part of the investigation will remain confidential. If an investigation substantiates the allegations of discrimination, appropriate corrective action will be taken. Any attempt to penalize or retaliate against a person for filing a complaint or participating in the investigation of discrimination is violation of policy. Please follow the link for the [Equal Employment Opportunity Commission](#) for guidelines relating to the aforementioned areas of discrimination.
- Anti - Harassment
  - SCO promotes a work environment free from harassment, sexual or otherwise. Guidelines issued by the Equal Employment Opportunity Commission provide that sexual harassment is a violation of law. In addition, these guidelines provide that unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute sexual harassment when any of the following conditions are present:
    - Submission to such conduct is made, whether explicitly or implicitly, a term or condition of an individual's employment.
    - Submission to, or rejection of, such conduct by an individual is used as the basis for employment decisions.
    - Such conduct has the purpose or effect of substantially interfering with an individual's work performance.
    - Such conduct creates an intimidating, hostile or offensive working environment.

All faculty members are expected to refrain from acts that would constitute sexual harassment as set forth in the aforementioned guidelines. If a faculty member feels that he/she has been subjected to sexual harassment, he/she should discuss the situation with the appropriate department chair and/or service chief, the Vice-President for Human Resources (VPHR) or the President. If a written complaint is filed, an investigation will be made in a timely manner. All records made or maintained as part of the investigation will remain confidential. If an investigation substantiates the allegations of sexual harassment, appropriate corrective action will be taken. Any attempt to penalize or retaliate against a person for filing a complaint or participating in the investigation of sexual harassment is violation of policy.

- Nepotism
  - SCO prohibits nepotistic bias. Nepotistic bias is hereby defined as the act of a relative exerting influence in decisions affecting an employee. Hiring of a family member may be appropriate if nepotistic bias is not a factor.
  
- Workplace Safety
  - SCO attempts to provide safe working conditions for all faculty members. Any hazards noted should be reported to the Director of Physical Plant and to the Director of Preventive Health. For more information with regard to potential workplace hazards and the guidelines followed by SCO, please follow [EPA](#), [OSHA](#) and [TOSHA](#) links.
  
- Non-Smoking
  - SCO maintains a smoke-free environment. This extends throughout the campus, indoors and outdoors.
  
- Inclement Weather
  - SCO generally remains open during inclement weather conditions. All classes, programs and business offices are expected to operate according to regular schedule unless closing is authorized by the President or the President's representative. The announcement will occur on local news outlets, by electronic communication from SCO, or both.
  
- Parking
  - Designated faculty parking is provided. Fines for parking violations are chargeable to the faculty member's paycheck.

- Copy Machines
  - Each faculty member is issued a set of codes by Information Services for use with SCO copy machines.

### Suspensions and Terminations

- A faculty member may be suspended with pay to permit investigation or verification of a violation of policy. Such time would not be charged to the individual's leave balance. A suspension may be removed without prejudice or could be followed by disciplinary action, including termination of employment.
- A termination is the ending of the SCO–faculty member relationship.
- A resignation occurs when a faculty member does not renew employment pending proper notification. Proper notification will be considered the end of the current term or two months, whichever is greater, unless amended by the VPAA for extenuating circumstances.
- If a faculty member has failed to meet the employment policies in a satisfactory manner, the faculty member will be notified and his/her employment terminated. The faculty member may appeal via the grievance procedure. This procedure is discussed in Chapter 11, Grievance Procedures.
- A termination is finalized upon written notification, following due process.
- SCO will pay the faculty member through the date of termination. Benefits will be paid through the end of the month, or altered in accordance with federal/state statute, in which employment was terminated.
- In the case of a faculty member's death, SCO shall pay any accrued wages and benefits to the decedent's executor, administrator, or estate representative. SCO will require evidence of authority for release of benefits.

### Academic Freedom

- A faculty member is entitled to freedom in the classroom in discussing a subject. Care should be taken in introducing subject matter having no relation to the subject of discussion, subject matter of opinion, or subject matter that may be offensive.
- A faculty member is entitled to full freedom in research and in the publication of results, subject to the performance of other academic duties.
- A faculty member is a representative of SCO. When a faculty member speaks or writes, he/she is free from institutional censorship. As an educational representative, the faculty member should strive to be accurate, should exercise appropriate restraint and confidentiality, should show respect for the opinions of others, and should make every effort to indicate that his/her views are not necessarily representative of SCO.

### Paydays

Paydays are on the 15<sup>th</sup> and the last day of the month, except when those days fall on the weekend or there is a Monday holiday which coincides with a payday. For the latter two scenarios, payday will be on the preceding Friday. All checks are distributed by electronic funds transfer. On the 2<sup>nd</sup> January payday of each year, a W-2 is available for pickup, or it will be mailed to a home address if not secured in person. Aside from income and social security taxes, possible deductions include: the faculty member's share of group medical/dental premiums, contributions to a SRA, leave without pay, the Flex Spending Plan, United Way contributions, and contributions/gifts to SCO, and supplemental insurance.

## Chapter 6

### Faculty Assignment and Work Schedule

The SCO curriculum has regularly scheduled classes, laboratories and clinics that necessitate policies with respect to faculty campus schedules. All faculty members are to comply with the term assignments.

#### Campus Schedule

- Faculty members are scheduled to be on campus or in SCO affiliated clinics.
- Faculty members' schedules of classes, laboratories and clinic assignments are determined and published by the Vice President for Academic Affairs (VPAA) and the Vice President for Clinical Programs (VPCP). Recommendations for assignment are delivered by the Chair of the Department of Optometric Education and the Chief of Staff.
- All faculty members having an FTE of 0.55 or greater will be available on campus for student counseling if not occupied by an assignment. Faculty members are expected to post a campus schedule and make available their office hours. Faculty members create and share schedules via Microsoft Outlook®. Office hours may vary and be by appointment.
- Faculty members not in assignment or office hours will still be available on campus for professional consultation, interaction with colleagues, participation in committees, participation in departmental meetings and scholarship, service and development related activities.
- Should it be necessary for a faculty member to be off campus, approval from the appropriate department chair and/or service chief is expected.
- Faculty members are exempt from the Fair Labor Standards Act and are not eligible for overtime pay.

#### Teaching Effectiveness Load

- Full time Faculty (1.0 FTE) have an assignment that averages 40 hours per week during the fiscal year. Hours are subject to periodic change in the distribution. Formal assignments of more than 40 hours per week in one semester may be offset by assignments totaling less than 40 hours per week in other semesters.
- Assignments are generally not made for greater than 1.0 FTE. Under unusual circumstances, a faculty member may be assigned, and paid, for a formal overload.

- If more than one faculty member is assigned to the same lecture or laboratory, the course preparation time may be divided between them though the total time may exceed preparation time by one individual.
- Faculty members will not normally be assigned a yearly average of more than 34 student contact hours per week. Non-instructional time that derives from application of this rule will be designated as faculty development time.

#### **Partial Duty Assignment**

- If an individual is able to provide needed services, yet is disabled to the extent of requiring a temporary change in assignment, a partial duty assignment may be arranged upon medical certification of the disability.

Based upon the partial duty assignment, salary adjustments may be necessary. Any adjustment in salary will not be below 60% of the faculty member's current base monthly salary.

## Chapter 7

### Leave

Faculty members must make certain that all appropriate department chairs and/or service chiefs are informed and that prior approval for all leave requests is granted.

#### Paid Time Off (PTO)

All employees with a 0.55 or greater FTE are eligible for PTO. PTO may be used for vacation, personal time, illness or time from work while caring for dependents. PTO is in addition to regularly scheduled SCO holidays. PTO must be scheduled in advance except for emergency situations and/or sudden illness.

PTO accrual is based upon years of service and hours worked. Employees who work greater than .55 FTE but less than a 1.0 FTE will receive a proportion of PTO based upon their schedule. Annual PTO accrual is as follows:

CFTE (Cumulative FTE)	Paid Time Off Days Annual Accrual	Paid Time Off Hours Annual Accrual
Up to 2.99	17	136
3.00 - 7.99	22	176
8.00 - 14.99	27	216
15.00+	30	240

Employees may carry over a maximum of 45 days of PTO per year. Any time above 45 days must be taken or it will be forfeited at the end of the fiscal year.

#### Approval

PTO must be requested and approved in advance except for emergency situations and/or sudden illness. Faculty members should submit a request to their supervisor with as much notice as possible.

In the event of an unscheduled absence, employees must notify their supervisor no later than their scheduled time of arrival. If a faculty member is unable to reach his/her supervisor prior to, or by the expected start time, the faculty member may leave a message.

#### Termination

Upon termination of employment, accrued but unused PTO up to the maximum of 30 days will be paid at the employee's current rate of pay.

**Approved Leave Without Pay**

Leave without pay may be approved by the Vice President for Academic Affairs (VPAA) when the operations of SCO would not be unduly compromised and is requested in advance.

Any leave taken in excess of allowable or earned leave must be taken without pay. Holidays are not paid when leave without pay is taken the day before or after published holidays.

**Jury Duty**

Faculty required to perform jury duty may do so without charge to PTO and without loss of salary or benefits. Should a faculty member report for jury duty and be released, the faculty member will return to his/her SCO assignment. Per Diem payments for jury duty may be retained by the individual faculty member. When a faculty member receives a notice of jury duty, it is expected that the appropriate department chair and/or service chief be informed in a timely manner.

**Maternity Leave**

SCO complies with all applicable requirements of the Tennessee Maternity Leave Act. Maternity leave is provided as approved under the Short Term Disability Plan.

**Official Business**

Official business is not charged to PTO. Official business is that business related to SCO that is approved by the VPAA, the Vice President for Clinical Programs, or the President.

**Convention Leave**

Faculty members are encouraged to attend state and national optometric conventions. To that end, SCO provides convention leave that is separate from PTO. Prior approval is required for any convention leave. Appropriate forms are available from the VPAA's or Vice President for Clinical Programs' administrative assistants. One hour of convention leave is charged for each hour of missed assignment. Convention leave is calculated based as follows:

<b>Annual FTE</b>	<b>2 Years of Service or Less</b>	<b>More Than 2 Years of Service</b>
1.00	8 days	12 days
0.75 - 0.99	6	9
0.55 - 0.74	4	6
0.00 - 0.54	2	3

### **Bereavement**

SCO provides faculty members with an annual FTE of 1.0 a maximum of three working days leave with pay in the event of the death of a Faculty member's mother, father, brother, sister, spouse, child, mother-in-law, father-in-law, aunt, uncle, stepson, stepdaughter, stepmother, stepfather, son-in-law, daughter-in-law, brother-in-law, sister-in-law, niece, nephew, spouse's grandparents, grandparents, and grandchildren. As with all leave, bereavement requests should have prior approval, to the extent practical, of the appropriate department chair and/or service chief. Additional leave whether PTO or leave without pay may be requested.

### **Military Leave**

Faculty members who are involved in the National Guard or a Military Reserve unit may be granted military leave. SCO complies with all applicable laws related to military leave. Faculty members who require military leave are to provide advance written notice to the VPAA.

### **Sabbatical**

A sabbatical leave is considered to be an investment in knowledge for the benefit of the faculty member, the students of SCO, and SCO itself. A faculty member who wishes to be considered for a sabbatical leave must submit an application to the VPAA. To be included in the sabbatical leave application are:

- Statement of purpose of the leave
- Statement of study plan, including projected benefits to the faculty member, the students of SCO, and to SCO itself
- Request for a specified leave period
- Any other information relevant to the evaluation stage

Upon receipt of a sabbatical leave application, the VPAA will make recommendations concerning the application to the President who shall have the authority to approve or disapprove the application. If a sabbatical leave is approved, the VPAA will direct the process through SCO legal counsel to outline SCO's and the faculty member's obligations. As its contribution to the sabbatical leave program, SCO will:

- Grant the approved faculty member a leave of absence
- Will provide a salary to the faculty member as negotiated with the VPAA
- Will maintain the faculty member's benefits proportionate to salary during the leave period
- May pay approved travel expenses

Upon completion of the approved sabbatical leave period, the faculty member will return to SCO for a minimum term of service equal to that of the sabbatical leave. Should a faculty member not return to the institution, he/she will reimburse SCO for all compensation to include salary, benefits paid, and travel expenses that were paid by SCO. The faculty member will reimburse SCO all applicable legal and collection fees. SCO shall determine the appropriate jurisdiction.

### **Graduate Study**

Faculty members having an annual FTE of 1.0 and one full year or more of service to SCO may be eligible for assistance from SCO in obtaining a graduate degree from a local institution, via distance learning, or memorandum of understanding agreement with SCO. The faculty member must be pursuing a degree that will enhance his/her expertise and that is deemed appropriate by SCO. The degree must be completed within a reasonable time period that will be determined in advance. SCO will pay a portion of the approved faculty member's tuition for enrollment in a graduate program as approved by the VPAA prior to enrollment.

Faculty members having an annual FTE of 1.0 and two full years or more of service to SCO may be eligible for assistance from SCO in obtaining a graduate degree from a non-local institution. It is expected that the faculty member will remain at SCO one year for each year of support provided and at the same FTE, or greater, as contracted before the period of graduate enrollment. Should the faculty member not meet this condition, he/she will repay the amount of tuition paid by SCO. Faculty approved for enrollment in this program will sign a promissory note outlining the conditions of repayment prior to enrollment.

### **Family Medical Leave**

It is the policy of SCO to comply with all applicable requirements of the Family and Medical Leave Act of 1993. All leave, paid or unpaid, qualifying under the Family and Medical Leave Act will be counted as leave under the Act and should be documented as Family and Medical Leave.

FMLA entitles eligible employees to take up to 12 weeks of unpaid, job-protected leave in a 12-month period for specified family and medical reasons. To be eligible for FMLA benefits employees must have worked at least 1,250 hours over the previous 12 months. Employees taking leave under the Act are not to be employed outside of the college during this time.

Family leave may be granted for:

- For the birth and care of the newborn child of the employee;
- For placement with the employee of a son or daughter for adoption or foster care;
- To care for an immediate family member (spouse, child, or parent) with a serious health condition; or
- To take medical leave when the employee is unable to work because of a serious health condition.

Requests for a family leave should be submitted in writing with supporting medical certification to Human Resources with as much notice as possible. For further information and/or to request Family Medical Leave please see Human Resources. Family Medical Leave runs concurrently with any paid Short Term Disability leave.

## Chapter 8

### Benefits

#### Holidays

The following days are paid holidays:

- Spring Break – Thursday and Friday during the Spring term each year as announced in the College Catalog.
- Independence Day – SCO will close on Monday or Friday when July 4<sup>th</sup> falls on a weekend.
- Labor Day
- Thanksgiving – Thursday and Friday as announced in the College Catalog
- Winter Break – Two weeks between the Fall and Spring terms as announced in the College Catalog
- Memorial Day
- Martin Luther King Day

#### Insurance Programs

##### [Medical Plan](#)

All faculty members having a FTE of 0.55 or greater are eligible for group medical insurance. SCO shares the cost of the faculty member's premium and that of his/her dependent(s). Plan details may be viewed by following the group medical plan link or by appointment with Human Resources.

##### [Dental Plan](#)

All faculty members having a FTE of 0.55 or greater are eligible for some form of dental insurance. Plan details may be viewed by following the link to the dental plan or by appointment with Human Resources.

##### [Medical Care/Dependent Care Flexible Spending Plan](#)

SCO offers faculty members with 0.55 or greater FTE the opportunity to contribute to a medical flexible spending plan for medical/dental related services and products. Plan details may be viewed by following the flex spending plan link or by appointment with Human Resources.

### [Retirement Plan](#)

Faculty who have a FTE of 0.55 or greater and have one year of service to SCO are eligible for the retirement plan. The faculty member becomes fully vested after three total years of service to SCO. SCO contributes between 10% - 15% of the participant's base salary toward tax-deferred annuities. The faculty member is encouraged to make additional contributions to his/her retirement plan beginning at the time of employment. Plan details may be viewed by following the retirement plan link for TIAA-CREF listed above, by following the link to the SCO summary retirement plan description or by appointment with the Vice President for Finance and Administration (VPFA).

### [Supplemental Retirement Plan](#)

Faculty members who have a FTE of 0.55 or greater are eligible to contribute to a supplemental retirement account upon employment with the College. Plan details may be viewed by following the retirement plan link for TIAA-CREF listed above, by following the link to the SCO summary retirement plan description or by appointment with the VPFA.

### [Group Life Insurance](#)

Faculty members who have a FTE of 0.55 or greater are eligible for group life insurance coverage after one year of service to SCO. The premiums are paid by SCO. Plan details may be viewed by following the group life insurance link or by appointment with Human Resources.

### [Accidental Death and Dismemberment Plan](#)

An accidental death and dismemberment plan is provided with benefits equal to the full amount of the group life insurance. Plan details may be viewed by following the accidental death and dismemberment plan link or by appointment with Human Resources.

### [Voluntary Life Insurance](#)

Faculty members who have an FTE of .55 or greater may purchase additional voluntary life insurance. Plan details may be viewed by following the group life insurance link or by appointment with Human Resources.

### [Travel Accident Insurance](#)

SCO provides faculty members with 0.55 FTE or greater travel accident insurance. Plan details may be viewed by appointment with the Vice President for Finance and Administration.

### [Short Term Disability Plan](#)

SCO provides faculty members with an annual FTE of 0.75 or greater a short term disability plan to provide income during an extended illness. Plan details may be viewed by following the short term disability plan link or by appointment with Human Resources.

[Long Term Disability Plan](#)

Faculty members having an annual FTE of 0.75 or greater and with one year of service to SCO are eligible for the long term disability insurance coverage up to age 65. Plan details may be viewed by following the long term disability plan link or by appointment with Human Resources.

**Professional Travel Cost Defrayment**

The faculty members of SCO are encouraged to attend both national and state association meetings as *active* participants. Attendance at these meetings is a means of realizing objectives in *scholarship* (i.e. paper/poster presentation at a national meeting with evidence of peer review), *service* to SCO and the profession of Optometry, *Scholarship* (i.e. ASCO programs [SIGs], FAAO, COVD) and *continuing education*. With these objectives in mind, the following policy is in place to offset travel expenses:

- a. \$800.00 per year, for a faculty member with an annual FTE of 1.0, are available for reimbursement of expenses incurred in obtaining continuing education only.
  - i. Approved continuing education expenses are reimbursed in accordance to the following scale for those faculty members with an annual FTE < 1.0:

FTE	Dollar Amount Available in a Fiscal Year
0.75 – 0.99	\$700.00
0.55 – 0.74	\$600.00
0.00 – 0.54	\$400.00

- b. Up to \$1600.00 per faculty member per fiscal year may be reimbursed, at the discretion of the VPAA, as defrayment of expenses incurred via attendance at meetings during which the faculty member is presenting a paper, poster, lecture, or workshop. This allowance could, at the discretion of the VPAA, be available for more than one presentation per year.
  - i. Special considerations and concessions may be made for unique continuing education requirements. These will be at the discretion of the VPAA.
  - ii. Additional reimbursement of incurred expenses may be made available, at the discretion of the VPAA, for travel at the request of the administration, given that such travel is not otherwise compensated.

As in any area involving disbursement of funds, there is a budget regarding the defrayment of travel expenses. Faculty members shall make reasonable attempts to travel frugally. This practice will be encouraged by the VPAA. It is expected that faculty members who are paid as speakers/presenters will reduce any associated reimbursement request by the respective dollar amount.

### **Memberships**

SCO will provide funding for membership in the [American Optometric Association](#) (AOA) and the Tennessee Association of Optometric Physicians (TAOP) for faculty members with an FTE of 1.0.

### **Licensure and DEA Registration**

Faculty members having an FTE of 0.55 or greater, and who do not practice optometry outside of SCO, and faculty members having an FTE of 1.0 will be provided funds for Tennessee optometric license renewal and DEA registration renewal.

### **Professional Privilege Tax**

SCO will provide funds for the Tennessee professional privilege tax for faculty with an FTE of 1.0, or faculty members having an FTE of 0.55 or greater, who do not practice optometry outside of SCO.

### **SCO Vision Benefit.**

SCO provides vision care to all faculty, staff, students, Board of Trustees, and respective family members. The Faculty Vision Benefit offers optometric services in The Eye Center at no charge. This provision is always secondary to other third party coverage. Please contact the Director of Clinic Operations for details of this benefit.

### **SCO Optical Material Benefit**

Faculty, staff, students and family members (mother, father, mother-in-law, father-in-law, step-parents, spouse, children, step-children, grandparents, and grandchildren), former faculty members with ten years of service and their spouses, current Board of Trustees members and former Board of Trustees members receive a fee reduction as follows:

- 40% off TEC usual and customary optical materials
- 25% off TEC usual and customary contact lens material

Other family members of faculty, staff and students receive a fee reduction as follows:

- 20% off TEC usual and customary optical and contact lens materials

### **Remission of Tuition**

SCO will annually make available up to two seats for children and/or spouses of full – time faculty members or staff whose tuition would be equal to one-half the regional tuition cost for that year. It is understood that individuals utilizing this benefit must be academically qualified and that the faculty member/staff member must continue to be full time at SCO. Eligibility for this benefit begins after one year of service to

SCO. The student's eligibility for the tuition waiver is protected in the event of the faculty member's/staff member's death, full disability, or retirement after ten years of service to SCO.

**Partial Loan Repayment Program**

SCO offers a program of partial educational loan reimbursement for faculty members at FTE of 0.55 or greater. This program is limited to faculty members who are hired within the first 10 years of repayment status and is limited to loans that were approved by the Financial Aid Office of the Faculty member's optometric educational institution. The maximum loan benefit shall be \$5,000.00 per annum for 15 years for FTE of 1.0 and is prorated according to FTE (if 0.55 - 0.99). Recipients of this benefit shall be required to sign a promissory note specifying one additional year of service to SCO. The year of service shall commence in the subsequent academic year (July 1 - June 30) after receipt of the benefit. Failure to honor the promissory note will result in the faculty member being immediately responsible for repayment of the last benefit amount. Payment shall be made by SCO to the lender/servicing agency as payee.

## Chapter 9

### Promotions

Promotion in academic rank is recognition based upon a review of a Faculty member's achievements and is earned by meritorious performance of one's responsibilities in the areas of teaching effectiveness, scholarship, and service. Only those candidates whose achievements reflect the highest quality of performance and consistency of effort will be recommended for promotion. The Promotions Committee will also consider the quality of materials submitted and the level of overall contribution to SCO, the profession of optometry, academia, and humankind.

The membership of the Promotions Committee will be selected by Faculty Ballot during the fall term. The Chairperson and Secretary of the Faculty will be responsible for the tabulation of ballots and publication of the committee membership. No members of the Promotions Committee may serve for more than one consecutive year. It is expected that all faculty will serve on this committee if requested to do so. The review for promotion in each academic rank is reflective of the faculty member's activities and achievements during the entirety of his/her current rank. All promotions in academic rank will be effective at the beginning of the next fiscal year. Faculty members not receiving a promotion in academic rank in one fiscal year are encouraged to apply for promotion in subsequent years.

In 2008, SCO introduced a new faculty evaluation format. As a result of the annual evaluation, scores (ranging from 1-7) for teaching effectiveness, scholarship, and service will be assigned. In order to be considered for promotion in academic rank, the Promotions Committee will consider the candidate's *cumulative* score in each area. The cumulative score is derived by adding the scores of each annual review. The cumulative scores reflect the minimum necessary to be considered for promotion in academic rank.

#### Teaching Effectiveness

Teaching effectiveness refers to laboratory and classroom instructional activities, instruction for special courses, and activities directly related to classroom instruction (seminars, continuing education). Teaching effectiveness also relates to the supervision of student clinical activities.

#### Scholarship

Scholarship relates to activities such as research and other scholarly activities. Research is understood to include critical patient case evaluation, reviews of the current literature, and the discovery of new knowledge and facts. Activities enhancing a faculty member's professional competence or clinical proficiency may also be considered as scholarship.

### Service

Service includes all forms of activities that are of benefit to SCO, the profession of Optometry and the community and that cannot be properly defined as teaching effectiveness or scholarship.

### **Application of the Revised Promotion Criteria**

On July 1, 2009, the promotion criteria described above will take effect for all faculty members. However, some faculty members have spent one or more years at a given academic rank prior to July 1, 2009. When these individuals are eligible and apply for promotion, the Chair of the Department of Assessment will chair a committee, the Criterion Application Committee, composed of the Chair of the Promotions Committee and one appointee from the Chair of the Faculty. The Criterion Application Committee will appropriately assign point values, by means of evaluation of the candidate's curriculum vitae and past evaluation scores, for the teaching effectiveness, scholarship, and service dimensions relative to the year(s) of activity in current academic rank prior to July 1, 2009.

Appeals regarding the application of the promotion criteria and the point assignment of the Criterion Application Committee must be submitted by the faculty member, in writing, to the Criterion Application Committee within two weeks of the faculty member's receipt of the point assignment. Upon receiving an appeal, the Criterion Application Committee will review the points assigned to the appealing faculty member and meet in consultation with the VPAA regarding the appeal. The Criterion Application Committee will submit, in writing and within two weeks of receiving the appeal, to the appealing faculty member, the joint decision of the VPAA and the committee. This appeals process applies only to those faculty members who have spent one or more years at a given academic rank prior to July 1, 2009.

Any changes to the faculty evaluation process will result in this chapter of the Faculty Handbook being reviewed by the Faculty Affairs Committee under the direction of the VPAA.

### **Faculty Rank at Initial Appointment**

Under the direction of the VPAA, the Criterion Application Committee will evaluate the matter of the faculty member's entering academic rank at SCO and will consider experience at another academic institution or experience practicing optometry outside of an academic institution. The curriculum vitae will be considered, with express reference to the teaching effectiveness, scholarship, and service dimensions of the SCO Faculty Evaluation form. The Criterion Application Committee will forward its recommendation to the VPAA within 24 hours of adjournment. The VPAA will forward the committee's recommendation and his/her assessment to the President.

## Promotion from Instructor to Assistant Professor

Promotion to Assistant Professor will reflect a conscious desire to pursue a career in optometric education and the potential for a life-long career in academia. Instructors may be considered for promotion to Assistant Professor when they have at least 3.0 cumulative full time equivalence (CFTE) at the rank of Instructor and at least one year of service at SCO. At the discretion of the Vice President for Academic Affairs (VPAA), Vice President for Clinical Programs (VPCP), and the appropriate service chief(s) and department chairperson(s), the review for promotion may be accelerated by one year. The Promotions Committee will establish that satisfactory career progress has been made in the areas of teaching effectiveness, scholarship and service. The following standards apply to the review for promotion from Instructor to Assistant Professor:

Teaching Effectiveness - The candidate for promotion to Assistant Professor must exhibit potential for becoming an outstanding teacher in the clinic, the laboratory, or the classroom. The candidate must develop a record of satisfactory involvement in teaching activities within SCO. If problems in teaching performance have been identified, there must be evidence of improvement to an acceptable level. The candidate must demonstrate dependability in preparation, meeting for classes and preparing course materials. There must be evidence that there is up to date mastery of the subject matter, evidence of teaching effectiveness and keen interest in developing as a teacher. The candidate shall attain a cumulative score of 10, from the sum of the annual teaching effectiveness scores earned during the time at the rank of Instructor, to be considered for promotion to Assistant Professor.

Scholarship - The candidate for promotion to Assistant Professor shall demonstrate progress in activities that are indicative of continuing scholarship and professional development. There must be conclusive evidence that the candidate is intellectually creative and will continue to demonstrate achievement in scholarship and professional development. No specific cumulative score from the annual evaluations is required.

Service - The candidate for promotion to Assistant Professor must have established a record of service sufficient to permit judgments concerning quality of performance. The candidate shall have developed a record of involvement in service opportunities within SCO and the greater Memphis community. The candidate shall attain a cumulative score of 10 in service during the time at the rank of Instructor to be considered for promotion to Assistant Professor.

### **Promotion from Assistant Professor to Associate Professor**

The candidate for promotion to Associate Professor may be considered for promotion when the CFTE as an *Assistant Professor* equals at least 5.0. At the discretion of the VPAA, VPCP, and the appropriate service chief(s) and department chairperson(s), the review for promotion may be accelerated by 1.0 FTE. The following standards apply to the review for promotion from Assistant Professor to Associate Professor:

#### **Teaching Effectiveness**

The candidate for promotion to Associate Professor will have a documented commitment to teaching that is learner-centered, emphasizing the encouragement of critical thinking. The candidate shall attain a cumulative score of 20 in teaching effectiveness during the time at the rank of Assistant Professor to be considered for promotion to Associate Professor.

#### **Scholarship**

The candidate for promotion to Associate Professor will have a documented record of advancing knowledge. Such status may be supported, for example, by professional achievements such as Fellowship in AAO or COVD. The candidate shall attain a cumulative score of 20 in scholarship during the time at the rank of Assistant Professor to be considered for promotion to Associate Professor.

#### **Service**

The candidate for promotion to Associate Professor will demonstrate a progressing record of involvement in service opportunities with some activities at the state, regional, or national levels. The candidate shall attain a cumulative score of 20 in service during the time at the rank of Assistant Professor to be considered for promotion to Associate Professor.

### **Promotion from Associate Professor to Professor**

A Professor is a recognized leader in optometric education. The candidate for promotion to Professor may be considered for promotion when the CFTE as an Associate Professor equals at least 7.0. At the discretion of the VPAA, VPCP, and the appropriate service chief(s) and department chairperson(s), the review for promotion may be accelerated by one FTE. The following standards apply to the review for promotion from Associate Professor to Professor:

**Teaching Effectiveness** – The candidate for promotion to Professor will have a documented commitment to teaching that is learner-centered, emphasizing the encouragement of critical thinking. Some teaching activities will be performed at venues other than SCO and may include continuing education and invited lectures. The candidate shall attain a cumulative score of 30 in teaching effectiveness during the time at the rank of Associate Professor to be considered for promotion to Professor.

Scholarship– The candidate for promotion to Professor will demonstrate continuing development in the area of scholarship and professional development. A documented record of disseminating new knowledge to the profession will be encouraged for the successful candidate. Such status may be supported, for example, by peer-reviewed publications, patents, and Diplomate status. The candidate shall attain a cumulative score of 30 in scholarship during the time at the rank of Associate Professor to be considered for promotion to Professor

Service – The candidate for promotion to Professor will demonstrate documented service to the profession of optometry and/or the greater Memphis community, or beyond, at a level commensurate with the leadership opportunities expected of an expert in some area of eye and vision care. Service activities on the regional and national level will be encouraged for the successful candidate for promotion to Professor. The candidate shall attain a cumulative score of 30 in service during the time at the rank of Associate Professor to be considered for promotion to Professor.

### **Process and Procedures**

The VPAA will notify faculty members of their eligibility for promotion by November 1. Consideration for promotion will only be made with the candidate's prior approval. A list of faculty candidates for wishing to be considered for promotion will be sent to the Promotions Committee by the VPAA.

### **Candidate's Responsibility**

It will be the responsibility of each faculty member to maintain a current promotion review file in order and up to date. This file will contain all documentation since the previous promotion in academic rank. All documentation for consideration of a promotion in academic rank must be submitted no later than December 1 to the VPAA. Final documentation and recommendations for promotion must be available to the Promotions Committee no later than January 10. When deemed necessary, the committee may seek additional relevant information not currently contained in the candidate's review file. All material submitted to be reviewed by the Promotions Committee shall be treated as confidential. Examples of material that represent the categories to be considered are as follows:

- A summary of responsibilities as indicated by Faculty assignments
- A current curriculum vitae
- Teaching Effectiveness
  - A. Course outlines
  - B. Syllabi, Hand-outs
  - C. Laboratory manuals

- D. Peer evaluations
- E. Letters from graduates
- F. Letters from optometric educators
- G. Sample lectures
- H. Course examinations
- Scholarship
  - A. Copies of publications, abstracts, etc.
  - B. Copies of grant proposals submitted
  - C. List of textbooks authored
  - D. Copies of reports
  - E. Copies of research proposals
- Service
  - A. Letters from community, state, or national government leaders
  - B. Letters from committee chairpersons
  - C. Evidence of involvement in public relations projects for SCO

Promotion materials are to be inserted into individual folders on the candidate's intranet site. These folders should be labeled Scholarship, Service, and Teaching Effectiveness. The Chair of the Department of Assessment as well as members of the Promotions Committee will be granted temporary sharing privileges to these folders only during the evaluation period for promotion.

### **Promotions Committee**

The Promotions Committee will consider the candidate list supplied by the VPAA. The committee will ensure that the promotion policy is applied uniformly and fairly to all members of the faculty. The Promotions Committee will be composed of three faculty members having a FTE of 0.55 or greater, none of whom are candidates for promotion. At least two members of the committee must hold the academic rank of Associate Professor or Professor. Faculty members at the academic rank of Instructor are not eligible to serve on the Promotions Committee. In the event of a vacancy during a promotions cycle, the Faculty Chair will appoint a replacement based upon the original election results.

All deliberations and recommendations of the Promotions Committee shall be treated as confidential. The committee will forward its recommendations to the VPAA no later than February 1.

### **President**

The President is provided recommendations for his review and approval by the VPAA by February 15. For those faculty members receiving a promotion in academic rank without utilizing the appeal process in any stages of deliberation, the President will report the promotions in academic rank to the Board of Trustees at its spring meeting. For those faculty members receiving a promotion in academic rank after

exercising an appeal process, the President will report the promotions in academic rank to the Board of Trustees at its fall meeting.

### **Appeal**

An unsuccessful candidate for promotion in academic rank shall have the right of appeal. An appeal must be based only on a claim of inappropriate or improper application of the promotion policy. All appeals must be in writing and received by the VPAA within 14 calendar days after notification that a promotion was not granted. The VPAA will forward all appeals and accompanying justifications to a Promotion Appeals Committee.

The Promotion Appeals Committee will be composed of three faculty members having a FTE of 0.55 or greater, who did not serve on the Promotions Committee, and who are not candidates for promotion themselves. The membership of the committee is composed of one faculty member as appointed by the Chairperson of the Faculty, one faculty member as appointed by the VPAA, and a third faculty member as appointed by the two appointees aforementioned. At least two members must hold the academic rank of Associate Professor or Professor. It is expected that all faculty members will serve on this committee if requested to do so.

The Promotion Appeals Committee will review the candidate's folder as reviewed by the Promotions Committee and will make its recommendations to the VPAA within ten calendar days after receiving information regarding the appeal. The VPAA will forward recommendations to the President regarding these appeals. In all cases, the decision of the President shall be considered as final.

## Chapter 10

### Performance Evaluations/Merit Pay

A faculty member's performance is evaluated on an annual basis. Scores for teaching effectiveness, collaboration, and quality of work are determined by the Faculty Evaluation Committee based on input from the appropriate supervisors, as well as from student evaluations using the checklists in the Faculty Performance Evaluation. An example of the Faculty Performance Evaluation is in Appendix 6. Scores for scholarship and service are separately determined using the appropriate guidelines, also included in Appendix 6. The outcome of this performance evaluation is used to assist the faculty member in career development as well as to determine any merit – based salary increases.

#### Appeal

A faculty member is encouraged to discuss any concerns regarding the outcome of an evaluation with his/her supervisor. Following this discussion, a faculty member shall have the right to appeal the outcome of his/her performance review. An appeal must be based only on the claim of inappropriate or improper application of the Faculty Performance Review policies. All appeals must be in writing and received by the VPAA within 14 calendar days after initial notification results of the Faculty Performance Review. The Vice President for Academic Affairs will forward all legitimate appeals received within the 14 day period to a Faculty Grievance Committee.

## Chapter 11

### Grievance Procedures

Procedures for redress of grievances are available to any faculty member. It is expected that most grievances will be resolved in an informal manner. However, to be considered by the Faculty Grievance Committee, a grievance is defined as a claim of inappropriate or improper application of policy.

#### Guidelines

1. The aggrieved faculty member shall arrange an appointment with his/her department chair and/or service chief to seek resolution.
2. Should the grievant not be satisfied with the solution proposed by the department chair and/or service chief, an appointment for consultation should be arranged with the appropriate supervisor at the next level (i.e. Chief of Staff, Vice President for Clinical Programs, Vice President for Academic Affairs (VPAA)).
3. If the grievant is not satisfied with the solution proposed by the Chief of Staff, Vice President for Clinical Programs, or the VPAA, then the VPAA will submit a written grievance to the Faculty Grievance Committee on behalf of the aggrieved faculty member.
4. The Faculty Grievance Committee will request that the grievant appear before the committee to present all relevant documentation and facts of the matter. Should the grievant not appear, the matter is considered closed.
5. The Faculty Grievance Committee may extend an invitation to other individuals deemed appropriate to provide information, documentation, etc., believed relevant to the resolution of the grievance.
6. The Faculty Grievance Committee will provide a written recommendation to the President.
7. The President may accept, reject, or modify the recommendation by the Faculty Grievance Committee. The decision of the President will be considered as final.
8. Neither the aggrieved nor SCO may have legal representation present at the meeting of the Faculty Grievance Committee. The due process procedure of SCO is intended to be an avenue for redress of grievances and should not be conducted with the formality of a court of law.

The Faculty Grievance Committee is comprised of three faculty members and is appointed, with one member selected by the Faculty Chairperson, one member selected by the VPAA, and the third member selected by the Vice President for Clinical Programs. Any member of the SCO faculty will be excused from serving on the Faculty Grievance Committee if they were a principal in the incident initiating the grievance or if they believe they can not consider the grievance impartially.

A Faculty Grievance Committee will be appointed as an ad hoc committee. This committee will meet in executive session and elect a chairperson. Complete minutes of due process proceedings will be taken and maintained in the office of Human Resources. All proceedings of the committee will be confidential to ensure a fair and equitable process.

## Chapter 12

### Inventions

SCO supports faculty members' interests and activities in discovery and inventing. For this reason, SCO has an interest in the patenting of inventions to ensure that the inventions will be properly licensed and developed to the point of availability.

#### **Inventions Resulting from Independent Research**

Inventions resulting from independent research, materials, time and personnel use are the exclusive property of the inventor. Such efforts do not involve an SCO administered program nor do they involve any contribution of time, space, funds, subjects or materials contributed by SCO. The faculty member must document that the efforts related to the particular invention are independent of SCO, occurring outside of SCO and at times of no assignment to SCO. Invention(s) resulting from independent research do not involve the mandatory sharing of income derived from the invention(s).

#### **Inventions Resulting from SCO Sponsored Research**

Inventions of faculty members that make use of any SCO administered program and/or the contribution of time, space, funds, subjects or materials contributed by SCO, and for which a patent is desired, will be reported to the Vice President for Academic Affairs (VPAA), who then officially forwards a patent request to the Research Committee. If the Research Committee decides that a patent should be sought, a recommendation will be made to the President. If the President agrees that a patent should be sought, expenses associated in obtaining a patent will be paid by SCO. Fifty percent of the net annual income generated by the invention will be paid to the faculty member inventor, fifty percent being retained by SCO. If the President decides that SCO should not seek a patent, the exclusive right to do so will revert to the faculty member inventor and the invention is considered as resulting from independent research.

1. The VPAA will formulate and forward the official patent request to the Research Committee within one calendar week from the faculty member's report.
2. The Research Committee will deliver recommendations to the President within 1 month of receipt of the official patent request from the VPAA.
3. The President will decide to either pursue a patent at the expense of SCO or not within 1 month of receipt of the Research Committee's recommendation.

4. Should the President's decision be to pursue a patent, he or his designee will submit the invention to a patent attorney within three months of receiving the President's decision.
5. If SCO does not submit the invention to a patent attorney within three months of the inventor's report to the VPAA, all rights relative to the invention will revert to the faculty member inventor. The invention will then be considered as resulting from independent research.
6. If SCO obtains a patent and fails to initiate action to secure grant licenses relative to the patent within a period of one year from the date of patent issue, the faculty member inventor will have the right to license the patent without involvement of, or obligation to, SCO.
7. The entire process documenting Inventions resulting from SCO sponsored research will be maintained per case by the Vice President for Finance and Administration.
8. The inventor shall have an *ex officio* seat on the Research Committee when selection of the patent attorney or licensing procedures is discussed.

## Chapter 13

### Professor Emeritus

SCO has established the title of Professor Emeritus to recognize retiring faculty members for their distinguished performance.

#### Eligibility

- Candidates must have served on a faculty body for a minimum cumulative full time equivalence of ten years.
- Candidates must have attained the faculty rank of Professor.
- Candidates must have retired in good standing while in active service at SCO.

#### Desired Characteristics

- A full professor who has achieved national or international recognition
- A full professor who has provided outstanding, sustained service to the optometric profession and/or to a nationally renowned service organization
- A full professor who has substantial high quality publications

#### Process

- Nominations may come from within faculty or from an external source affiliated with the institution
- The nominations will be made to the faculty affairs committee
- Faculty affairs committee will meet to approve eligible candidates
- Pending faculty affairs approval the entire faculty will vote on the nominee
- The nomination will be presented to the Board of Trustees by the president
- Candidates must be approved by the Board of Trustees who has the final decision.
- The title, Professor Emeritus, shall be bestowed by the President during commencement or convocation

#### Privileges

- A plaque or certificate of recognition designating the title of Professor Emeritus presented at SCO commencement
- SCO library privileges
- Encouragement to continue optometric research with facilities provided by SCO should a grant be awarded to the Professor Emeritus
- Standing invitation to: guest lecture at SCO, attend SCO social events, participate in convocation and commencement exercises, attend faculty meetings as a non-voting member
- SCO continuing education at no charge
- Continued receipt of SCO mailings

- Access to the SCO Activity Center equivalent to active faculty

## Chapter 14

### Budget/5 Year Plan Process

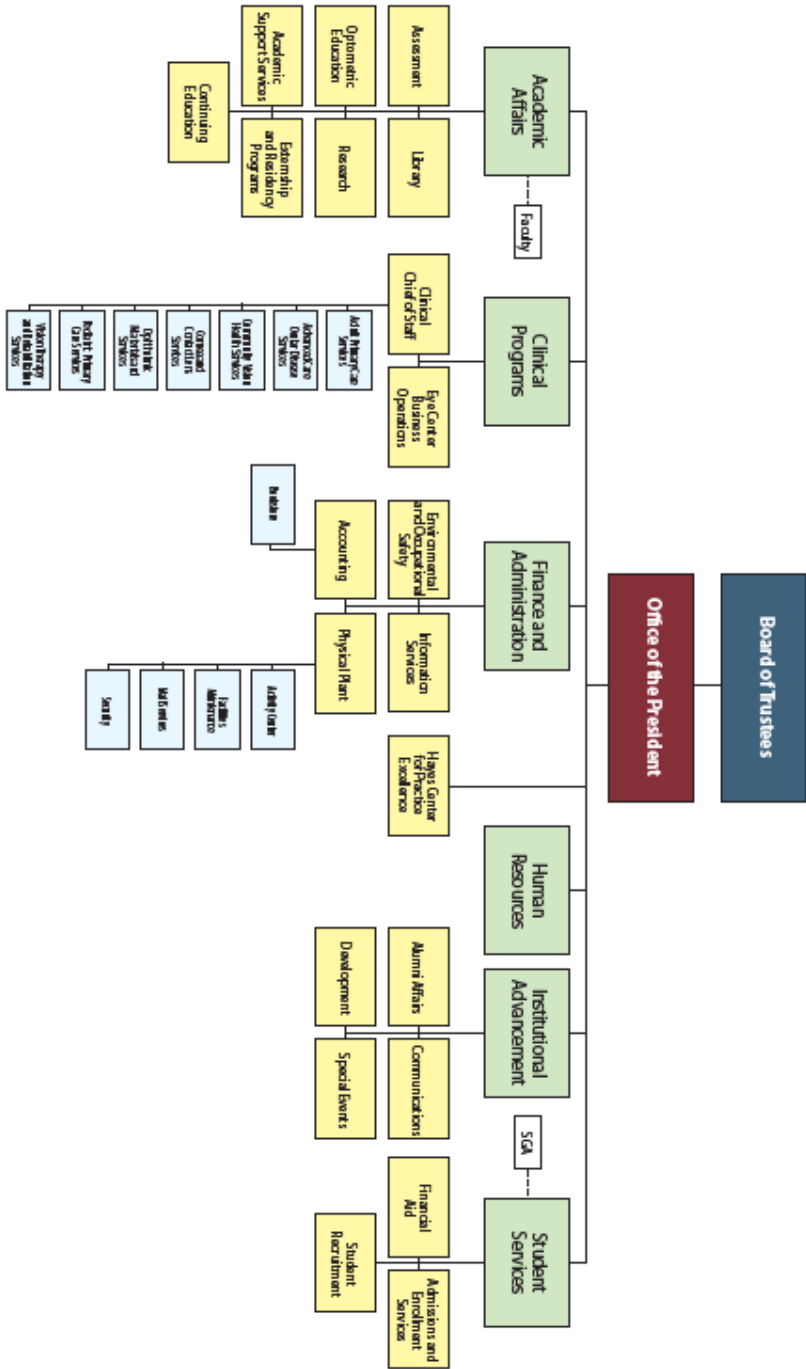
In preparation for the annual operating budget, the Vice President for Finance and Administration (VPFA) forwards to each of the Department Heads information regarding the previous and current year budgets. This is done in December. Information is requested with regard to the formulation of the budget for the next fiscal year. Additionally, projections for the four following fiscal years are expected.

The Vice President for Academic Affairs (VPAA), Vice President for Clinical Programs, Chief of Staff, department chairs, and service chiefs are each provided with this information from the VPFA. The department chairs and/or service chiefs solicit requests from all respective members of the department with regard to projected needs and budgetary recommendations. The department chairs and/or service chiefs subsequently combine faculty requests into specific line item categories. It is incumbent upon faculty to comprehensively and accurately project needs for the next academic year. Budget requests authored by department chairs and/or service chiefs are forwarded to the VPFA via the VPAA, Vice President for Clinical Programs, and Chief of Staff for incorporation into a trial budget/5 year plan.

The President and VPFA review the trial budget/5 year plan. Budget review meetings are scheduled with each department chair, service chief, and vice president. These meetings provide an opportunity to address questions regarding budget proposals as well as opportunities to discuss equipment items requested.

The budget is presented to the Board of Trustees at the spring meeting for approval. This budget then becomes effective July 1 and continues through June 30 of the following calendar year. Exceptions to the budget that exceed \$500.00 must be authorized by the department chairs and/or service chiefs, the VPAA, the Vice President for Clinical Programs, the Chief of Staff, and the President. Approved budget amounts may be reallocated to a different month within the fiscal year or a different account with authorization by the same parties.

The General Public, the Profession of Optometry,  
Governmental Agencies, Alumni



## Appendix 2

### Sample

#### FACULTY RESOLUTION

Whereas the Curriculum Committee has voted to approve and forward to the full Faculty for consideration the proposed changes to the curriculum as discussed at the Faculty Meeting, and

Whereas the majority of the proposed changes mostly change the term in which the courses are taught within the curriculum, and

Whereas the changes will make the current curriculum more efficient and provide additional study time for students preparing for Part I of the NBEO during the 3<sup>rd</sup> Year of training, and

Whereas the changes will allow students examining patients in The Eye Center to be better prepared for more complex patients earlier in their optometric training, and

Whereas the changes will be tuition neutral and not affect the full-time status of students during any term as far as financial aid is concerned,

Be it therefore resolved that should the Faculty vote for and approve the proposed curriculum changes, Academic Affairs will begin to phase in the curriculum changes insuring as little disruption of the program as possible.

## Appendix 3

### APPROVAL OF RESEARCH GRANT APPLICATIONS

All applications for research projects involving funding from sources other than SCO, including student research projects, must go through the Offices of the Director of Research and the Vice President for Academic Affairs (VPAA). No application is to be submitted directly to any outside funding source by any member of the Administration, Faculty, or student body without the approval of the Director of Research and the VPAA. Applications should be submitted to the Director of Research at least fourteen 14 days prior to the mailing date.

1. The proposal may be submitted to the Director of Research or other Faculty members for evaluation of its scientific merits. At this stage of development, the proposal should be complete and accurate but not necessarily in the final form to be submitted for funding consideration. Members of the Faculty Research Committee, the Director of Research, Chair of the Institutional Review Board (IRB) and Department Chairpersons may serve as reviewers. The purpose is to obtain advice and counsel on the proposal, not "approval" or "rejection."
2. The original proposal submitted to the Director of Research and the VPAA should include a budget estimate. Details such as release time, appropriate expense charges, use of equipment and space will be determined by the VPAA. The final budget must be approved by the VPAA.
3. All proposals involving human subjects must be approved by the SCO IRB and be in compliance with the federal guidelines for the use of human subjects, with documentation of this approval provided to the VPAA.
4. All funds from granting agencies are to be paid directly to SCO. Funds will be distributed by the Vice President for Financial Affairs in accordance with the project budget and SCO policies, including payments to personnel and for all expenses and equipment.

This policy also applies to solicitation of equipment and supplies for research, funds for personnel and expenses, and proposals by companies or agencies made to SCO. No individual is to make any commitment to any company or agency without going through the process outlined above.

## Appendix 4

### THE PROTECTION OF HUMAN SUBJECTS

Safeguarding the rights and welfare of human subjects in research activities is the responsibility of SCO. In order to provide for the adequate discharge of this responsibility, it is policy that no facility research activity involving human subjects shall be undertaken unless the SCO IRB has reviewed and approved such research activity. This review shall determine whether human subjects will be placed at risk. Additionally, the review shall determine whether:

1. The risks to human subjects is outweighed by the sum of the benefits to the subjects and the importance of the knowledge to be gained as to enable a decision to allow human subjects to accept these risks.
2. The rights and welfare of subjects have been adequately protected.
3. Legally effective informed consent has been obtained as described in the Human Research Protocols.
4. The protocol follows the current [Federal Guidelines for Protection of Human Subjects](#) which can be obtained from the Chairperson of the IRB or the Director of Research.

When the SCO IRB finds risk is involved, it shall review the conduct of the research activity at timely intervals.

#### **Exclusion**

This policy does not apply to educational activities in regularly scheduled SCO laboratories and clinics, internal or external, where students and others might be involved as subjects in specified laboratory or clinic Teaching Effectiveness assignments.

#### **Records and Confidentiality**

Copies of all documents presented or required for review by the IRB such as IRB meeting minutes, records of consent, transmittals on actions, instructions and conditions resulting from IRB deliberations addressed to the principal investigator, shall be retained by SCO. Except as otherwise provided by law, information in the records that refers to, or can be identified with, a particular human subject may not be disclosed, except with the consent of the subject or his/her legally authorized representative.

## Appendix 5

### MISCONDUCT IN RESEARCH

It is with the intent of formally defining SCO's support for integrity in research and service and defining the appropriate procedures for addressing allegations of misconduct in research and service that this statement of Policy on Misconduct in Research and Service has been adopted. This policy applies to the research and service activity of the Faculty and students of SCO. With respect to students, however, this policy does not apply to activities carried out in credit courses unless the research or service activities involve external funding.

#### Allegations of Misconduct

Any individual who believes that he or she has knowledge of an act of misconduct by any SCO Faculty member or student, within the meaning of this policy, is responsible for communicating this information to a supervisor or appropriate administrator. The supervisor or administrator will refer the allegation to the Vice President for Academic Affairs (VPAA). SCO will protect, to the maximum legal extent possible, the confidentiality of those who in good faith report apparent misconduct. SCO will protect these same individuals from any retaliation and reprisal arising from their report of misconduct. However, allegations that are later shown to have been brought maliciously and falsely may lead to appropriate disciplinary action.

1. Inquiry - When an allegation or evidence of misconduct is referred to the VPAA, that office, in conjunction with Chairperson of the Faculty, will immediately initiate an inquiry. The purpose of the inquiry is to determine if sufficient grounds exist for conducting an investigation. The VPAA and Chairperson of the Faculty will determine on a case by case basis how the inquiry will be conducted, and shall appoint an Ad Hoc Inquiry/Investigation Committee to ensure that necessary and appropriate expertise is obtained to carry out a thorough and authoritative evaluation of the relevant evidence. An inquiry must be completed within 60 calendar days of its initiation unless circumstances clearly warrant a longer period. The record of the inquiry should include documentation of the reasons for exceeding the 60 day period. SCO will retain, in a secure manner and for a minimum of three years, a sufficiently detailed report of inquiries. A report of the inquiry shall be made to the VPAA and to the President.

The written report shall include a statement of the evidence reviewed, a summary of relevant interviews, and the conclusions of the inquiry. The individual against whom the allegations were made shall be given a copy of the report of the inquiry. If the individual comments on the report, the comments will be made a part of the record. Sponsoring agency officials will be informed within twenty-four hours if, after consultation with SCO legal counsel, an inquiry indicates possible criminal violation.

2. Investigation - If sufficient grounds exist for further investigation, the Ad Hoc Inquiry/Investigation Committee will initiate a full investigation within thirty days and will notify the sponsor(s) and the individual(s) against whom the allegation has been made in writing on or before the date the investigation begins. The purpose of the investigation is to examine and evaluate relevant facts to determine whether misconduct has taken place. The investigation may also include: a review of files, reports, and other documents at SCO or in the public domain; a review of procedures or methods and inspection of laboratories, laboratory materials, specimens, and records of the subject(s) of the investigation; interviews with witnesses; a review of any documents or other evidence provided by or properly obtainable from parties, witnesses, or other sources; and a review of records maintained by and properly obtainable from relevant funding agencies. Whenever possible, interviews should be conducted of all individuals involved, either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations. Complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file.

The Ad Hoc Inquiry/Investigation Committee will be composed of at least five full-time SCO employees. The committee will include a minimum of three Faculty members having expertise in the area of research under investigation. Additional members may be appointed to provide expertise according to the nature of the specific allegations or evidence in the case. If necessary, Faculty members with required expertise may be drawn from academic institutions other than SCO. SCO will take careful precautions against conflicts of interest on the part of those involved in the inquiry or investigation. The Committee will examine the final report of the inquiry, along with a full statement of allegations that shall be prepared by the IRB Chairperson.

The investigation must be completed within 120 days of initiation. This includes conducting the investigation, preparing the report of findings, and obtaining comments from the subject(s) of the investigation. If SCO determines that it will not be able to complete the investigation within 120 days, it must closely adhere to any applicable sponsoring agency regulations regarding the submission of interim reports, requests for extensions, and any other regulations. Documentation will be maintained throughout the investigation to substantiate the findings. This documentation is to be made available to appropriate sponsoring agencies after completion of the investigation.

Upon completing the investigation, the Ad Hoc Inquiry/Investigation Committee shall prepare a written statement of its findings and provide a copy of those findings to the individual accused of misconduct. The individual shall have an opportunity to comment on the findings before the Committee prepares its final report. Comments from the affected individuals will remain a part of the record.

The Committee shall submit a final report to the VPAA and the President. The final report will contain an assessment of whether or not the allegation has been substantiated, describe the procedures under which the investigation was conducted, and include the actual text or an accurate summary of the comments of any individuals found to have engaged in misconduct.

SCO will strictly adhere to all requirements of sponsoring agencies, including filing of interim progress reports and keeping all agencies apprised of any developments that may affect current or potential funding. Interim administrative actions will be taken to protect involved sponsoring agency funds and ensure that the purposes of the funding are carried out. SCO shall notify each sponsoring agency as soon as it ascertains that any of the following conditions exist: (1) there is an immediate health hazard; (2) there is an immediate need to protect agency funds or equipment; (3) there is an immediate need to protect human or animal subjects of the research or service work; (4) there is an immediate need to protect the interests of the person (s) making the allegations or of the subject(s) or co-investigator(s) and associate(s) of the subject(s) of the allegations;(5) it is probable that the alleged incident is going to be reported publicly. Sponsoring agency officials will be informed within 24 hours if, after consultation with College legal counsel, an inquiry or investigation indicates possible criminal violations. Sponsoring agencies will be notified of the final outcome of any investigation including any sanctions taken against an individual.

### **Safeguarding Reputations**

SCO, through the VPAA, will undertake diligent efforts to safeguard the reputation(s) of person(s) alleged to have engaged in misconduct when allegations are not confirmed. Everyone who has participated in the investigative process will be informed in writing of the conclusions reached if the allegations have not been substantiated.

### **Sanctions**

If an allegation of misconduct is substantiated, the VPAA shall initiate the applicable Faculty or student disciplinary procedure, and sanctions, if appropriate, will be imposed under those procedures.

## Appendix 6

### Southern College of Optometry Faculty Performance Evaluation

**Faculty Member's Name:**

**Faculty Email Address:**

**Date of Evaluation:**

**Manager/Supervisor Name:  
Address:**

**Manager/Supervisor Email**

**Teaching Effectiveness – Teaching applies to any manner in which information is imparted so that students and interns may learn.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
1. Demonstrates effectiveness in developing and presenting course content.	O	O	O	O	O	O	O	O
2. Engages students and motivates them to learn and excel.	O	O	O	O	O	O	O	O
3. Strives to improve teaching, incorporates new theories and technologies in instruction.	O	O	O	O	O	O	O	O
4. Consistently provides learning opportunities for students whenever possible.	O	O	O	O	O	O	O	O
5. Utilizes course survey data to improve teaching effectiveness.	O	O	O	O	O	O	O	O
6. Appropriately acknowledges positive student performance.	O	O	O	O	O	O	O	O
7. Recognizes the need for intervention, providing timely and constructive feedback.	O	O	O	O	O	O	O	O
8. Assessments are timely, consistent, and fair.	O	O	O	O	O	O	O	O

**Teaching Effectiveness Comments:**

**Collaboration - Appreciates, encourages and respects the diversity of ideas, knowledge, and cultural background within the College community.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
1. Supports other faculty members.	O	O	O	O	O	O	O	O
2. Supports and encourages others to support College events and priorities.	O	O	O	O	O	O	O	O
3. Collaborates with others to resolve problems and reach decisions.	O	O	O	O	O	O	O	O
4. Maintains effective interpersonal relationships with students.	O	O	O	O	O	O	O	O
5. Maintains effective interpersonal relationships with staff.	O	O	O	O	O	O	O	O
6. Maintains effective interpersonal relationships with other	O	O	O	O	O	O	O	O

members of faculty.								
7. Maintains effective interpersonal relationships with patients and the general public.	O	O	O	O	O	O	O	O

**Collaboration Comments:**

**Customer Service - Customer service applies to professional behavior towards students, patients, and other constituencies inside and outside the College, recognizing that respectful behavior models quality patient interactions.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
1. Works to serve the needs of students.	O	O	O	O	O	O	O	O
2. Works to serve the needs of patients.	O	O	O	O	O	O	O	O
3. Is appropriately available to actively advise students.	O	O	O	O	O	O	O	O
4. Engages patients in the care process.	O	O	O	O	O	O	O	O
5. Engages students in the learning process.	O	O	O	O	O	O	O	O
6. Seeks to optimize patient care through the full application of optometric knowledge and skill.	O	O	O	O	O	O	O	O
7. Consistently demonstrates the highest regard for professionalism.	O	O	O	O	O	O	O	O

**Customer Service Comments:**

**Quality of Work - Consistently achieves results relative to accuracy, timeliness, thoroughness and dependability.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
1. Work produced is fully acceptable.	O	O	O	O	O	O	O	O
2. Consistently meets deadlines.	O	O	O	O	O	O	O	O
3. Looks for ways to improve methods and procedures.	O	O	O	O	O	O	O	O
4. Self-motivated and demonstrates initiative.	O	O	O	O	O	O	O	O
5. Consistently available for assigned professional responsibilities.	O	O	O	O	O	O	O	O

**Quality of Work Comments:**

**Scholarship - Engages in activities that will enhance professional knowledge, skills and capabilities, e.g. the presentation of workshops, posters, papers and lectures at professional meetings. Attends major conferences to obtain the most up-to-date information in the field. Seeks new information relevant to his/her area of service. Active in writing articles and papers for professional journals.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
Criterion Score	O	O	O	O	O	O	O	O

**Scholarship Comments and Hyperlinks:**

**Service - Effectively performs non-teaching assignments/responsibilities on faculty standing and ad-hoc committees. Serves the profession through active membership**

**and leadership in organizations outside the College. represents the College in a positive manner to outside organizations.**

	(7)	(6)	(5)	(4)	(3)	(2)	(1)	(0)
Criterion Score	O	O	O	O	O	O	O	O

**Service Comments and Hyperlinks:**

**Faculty Performance Strengths:**

**Faculty Potential Areas for Development:**

**Manager's/Supervisor's Comments Regarding Evaluation:**

**Faculty Comments Regarding Evaluation:**

**Employee signature:**

**Manager Supervisor:**

## Guidelines for Evaluation of Scholarship

The following are examples of activities that will earn a 7, with appropriate documentation:

- Sole author of the first edition of a critically recognized book in the fields of optometry or education;
- Successful application for a grant by some federal agency (e.g. NIH or DoD);
- Editor of a peer-reviewed journal listed on *PubMed*.

The following are examples of activities that will earn a 6, with appropriate documentation:

- First editor of a book or author of one or more new chapters in a critically recognized book in a relevant field;
- Successful application for a grant that was subject to a documented, national peer-review process
- New diplomate in a section of AAO;
- Editor of any optometric or higher education publication with a high circulation or that is respected but not listed on *PubMed*;

The following are examples of activities that will earn a 5, with appropriate documentation:

- Corresponding\* author in a peer-reviewed optometric or medical journal listed on *PubMed* or education journal listed on ERIC;
- New Fellow of AAO or COVD;
- Successful application for a corporate grant;

The following are examples of activities that will earn a 4, with appropriate documentation:

- Corresponding\* author of a paper or poster at AAO or ARVO;
- Author (non-corresponding) of an article in a journal listed on *PubMed* or on ERIC;
- Corresponding\* author of an article in any optometric publication that is well-read or that is respected but not listed on *PubMed*;
- Successful application for a grant that was subject to a documented, regional or local peer-review process
- New primary instructor of a course;
- Present a new COPE-approved continuing education lecture or workshop.

The following are examples of activities that will earn a 3, with appropriate documentation:

- Author (non-corresponding) of a poster or paper at AAO or ARVO;
- Corresponding\* author of a poster or non-compensated presentation at any meeting other than AAO or ARVO;
- Published book review;
- New primary instructor of a laboratory;
- New secondary instructor of a course;
- Present a new continuing education lecture (non-COPE approved) or an established COPE-approved lecture;
- Author (not lead author) of one or more articles in any optometric publication not listed on *PubMed*;
- Develop courseware or some other educational software that is shared with and adapted by others in academic optometry.

The following are examples of activities that will earn a 2, with appropriate documentation:

- Author (not lead author) of one poster or other non-compensated presentation (not at AAO or ARVO);
- Successful non-competitive renewal of a grant from a non-profit or corporation;
- Submission of any number of unaccepted grant applications or abstracts for a poster, paper, or article.

**Important notes:**

*These guidelines are intended as the most common examples of activities that will garner credit under scholarship, but they are not intended as an exclusive list. Many other activities may qualify for Scholarship credit, with the approval of the VPAA.*

Two activities at one level are credited as one activity at the next higher level. For example, if a member of faculty were the lead author of an electronic poster at SECO and a poster at AOA in the same year, those two level 3 activities would count as a level 4 activity. Professors and Associate Professors may only use accumulated activities to move up one level. Assistant Professors and Instructors may use accumulated activities to move up two levels.

Members of the faculty who have assigned research time above the standard six hours per week will have each of their activities pro-rated in the following manner, at the discretion of the Evaluation Team and the VPAA: >15 hours will decrease 1 point per activity, 7.5 to 15 points (inclusive) will decrease 0.5 points per activity. Exceptional activities will be given exceptional consideration.

Documentation for articles should be a photocopy of the first page of the article. For posters, papers, or presentations, documentation should be a photocopy from the event program or the relevant page from the abstract edition of the corresponding journal (e.g. *Optometry & Vision Science* for AAO or *Investigative Ophthalmology & Vision Science* for ARVO). For books or book chapters, documentation should be a photocopy of the publication page or table of contents.

\* Typically the lead author but, if a student is given credit to be the lead author, the faculty should be listed as the corresponding author to obtain this level of credit.

## Guidelines for Evaluation of Service

The following is an example of an activity that will earn a 7, with appropriate documentation:

- Chair, president, or other position of highest leadership in a national optometric, volunteer, or charity organization;

The following is an example of an activity that will earn a 6, with appropriate documentation:

- Chair, president, or other position of highest leadership in a state-wide optometric, volunteer, or charity organization;
- Member of an executive board of a national optometric, volunteer, or charity organization.

The following are examples of activities that will earn a 5, with appropriate documentation:

- Position of highest leadership in a local optometric, volunteer, or charity organization;
- Member of an executive board in a state-wide optometric, volunteer, or charity organization;
- NBEO Council member (Part I, II, or III) or Chief Examiner (CSE);

The following are examples of activities that will earn a 4, with appropriate documentation:

- Member of an executive board in a local optometric, volunteer, or charity organization;
- Volunteer on a SVOSH, FCO, or other multiday mission trip;
- Faculty officer;

The following are examples of activities that will earn a 3, with appropriate documentation:

- Chair an SCO committee;
- Faculty liaison or advisor for an on-campus student organization;
- Member of a committee for a national organization;
- Member of a peer-review committee for a national eye care or education publication;
- Clinical examiner for NBEO;
- Site coordinator for NBEO;
- Mentor a member of faculty through the VPAA's office;

The following are examples of activities that will earn a 2, with appropriate documentation:

- Participate in some off-campus event that generated good will for SCO, including community visual screenings (each occurrence counts as an element, not necessarily an optometric activity);
- Active participant on an SCO committee;
- Active faculty advisor for DASS;
- Help during "clinical check-outs" or other on-campus activities that benefited the curriculum but were not part of a formal assignment.

### **Important notes:**

*These guidelines are intended as the most common examples of activities that will garner credit under service, but they are not intended as an exclusive list. Many other activities may qualify for service credit, with the approval of the VPAA.*

Two activities at one level are credited as one activity at the next higher level. For example, if a member of faculty were a clinical examiner for the NBEO CSE and the faculty liaison for SGA in the same year, those two level 3 activities would count as a level 4 activity.

Members of the faculty who have assigned service time above the standard six hours per week will have each of their activities pro-rated in the following manner, at the discretion of the Evaluation Team and the VPAA: >15 hours will be pro-rated approximately 1 point per activity, those with 7.5 to 15 hours (inclusive) 0.5 points per activity. Exceptional activities will be given exceptional consideration.

Documentation should be photocopies of a letter or other form of acknowledgement, with the exception of campus-based activities, in which case the Chair of the Department of Assessment will obtain appropriate documentation.