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Dear Colleague:

The GFA Tool Kit is a set of short, practical articles written to help anyone whose work involves supporting the faculty and culture of academic medical centers. The target audience is typically the faculty and staff who work in Faculty Affairs/Faculty Development offices.

Each article is intended to give the reader an overview of the topic and practical ways to move the work forward in one's home institution.

The authors are either GFA members or collaborators with the GFA who have mutual interests.

We hope you will find these articles useful.

We welcome submissions for additional articles. The criteria for the articles are very simple. A topic should be:

- Important to the life and work of faculty members
- Brief and practical
- Referenced to include the best published evidence that supports the ideas and recommendations made within the article

If you would like to submit an article, please contact Valarie Clark (vclark@aamc.org or 202 – 828 - 0586)

GFA Membership & Nominating Subcommittee

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Contents

Faculty and Faculty Administrator Recruitment

Faculty and faculty administrator recruitment is arguably the most important task that we oversee in the Office of Faculty Affairs. Wrong decisions prove to be costly in many ways and are also deleterious to morale. Good decisions "pay off" in the long run. But often Faculty Affairs and departments and centers in academic health sciences centers are left largely to their own devices to develop policies and good practices for faculty recruitment. Human Resources Management (HRM) is unfortunately often not as involved in faculty hiring in higher education than we would expect from models in private industry; however, HRM expertise should be tapped for guidance on constructing and posting advertisements, on screening and interviewing candidates, and for understanding pertinent Equal Employment Opportunity (EEO) (and Affirmative Action (AA), if relevant) policies and regulations. Finally, the basics of recruiting cannot be ignored even if a search firm or consultant is used to facilitate the process.
There are several guiding principles at the core of establishing good or best practices for faculty recruitment: preparation, process, communication, professionalism, and commitment to process improvement. In Finding Top Talent; How to Search for Leaders in Academic Medicine by Mallon, Grigsby, and Barrett (AAMC Monograph, 2009), 10 C's are outlined as necessary for conducting a quality search for faculty leaders. The same essential C's are also important in faculty recruitment. They are:

- Continuity
- Communication
- The Charge (who is really sought and what type of candidate will be considered)
- Culture
- Candidates (and their competence)
- The Chair (of the search committee)
- Composition (of the search committee)
- Conduct
- Confidentiality
- Closure.

In some medical schools all faculty recruiting is centralized and in some it is completely based in the departments; many schools have a "hybrid" process. As a new associate dean, it is important to develop a deep understanding of the process at your school and to make sure that all staff and faculty leaders involved understand the specific assignments for essential recruiting tasks.
A search cannot be successful unless the desired qualifications for employment have been defined precisely; this is the first step in preparing for the search. Also as part of the preparation phase for a search responsibility for the recruitment expenses, role of the search firm and/or consultant, type of position and funding for development or start-up package, and the transition to hire should all be determined. Regardless of how recruitment is handled, communication, professionalism, and confidentiality are key to conducting a good search.

Once the department head or dean has clearly outlined the qualities and skills sought in the candidates, the search can formally begin. The first visible step in the process is the naming of the search committee chair and the other members of the search committee. Searches require time and patience. The search committee chair, in particular, should be able to commit to the additional work; in most medical schools chairing or serving on a search committee is an add-on responsibility. But recruitment is an institutional investment, even with engagement of a facilitating search firm or consultant.

The search committee chair is usually a senior faculty member and depending on the nature of the search might be a department head or a senior faculty member in the same or related area. Search committees should not be too large, with an optimal size of 5-7 members. Larger committees are sometimes unavoidable, as multiple competing interests are at play, and it could be advisable to have everyone "at the table." However, large committees can take on a life of their own and make scheduling difficult. The committee should be defined to bring different perspectives and expertise to the deliberations, gender balance and minority interests to bear on the selection process. In some instances it might be of value to include a faculty member representative from the same department; in some schools this is not permitted for department head searches. The inclusion of a more junior faculty member on a search committee not only often brings a different perspective, but it begins preparing younger faculty members for future leadership roles in searches.

School or university policies may require specific qualities of the search committee chair and/or the search committee members. For example, an elected Faculty Assembly Delegate may be a required member of a search committee or an external expert or consultant may be a required member of a search committee for state funded imminent scholars (endowed professorships or chairs) appointments. University bylaws and policies and the campus Faculty Handbook should be consulted before naming and charging the committee. The committee members all should be aware of federal regulations pertaining to hiring and of any relevant state regulations that might be germane.

The position should be advertised broadly (not just in the local newspaper). Faculty Affairs (or HRM) might facilitate the advertisement process by establishing general standards for the content and destinations of the ads. Ideally, ads explicitly encourage diversity candidates. To impart weight to advertising departments and centers should always post in key, quality destinations for their disciplines. USCIS (US Immigration Service) regulations may bring additional posting requirements for certain candidates under consideration; on line posting might not be sufficient and hard copy advertisements and physical postings at the work site might be required. Many experts recommend personally soliciting women and minority candidates to add depth and diversity to the applicant pool.

While we strive for fair searches, we are often confronted with the "pre-selected" candidate. There are a variety of ways to deal with this circumstance (often dilemma); legitimize the search, resurrect an old, unsuccessful search, or abandon the pretext of a search if other institutional goals are satisfied. The latter is especially effective when EEO goals might be met with pre-selection. Pitfalls of "pre-selected" candidates are compromise of EEO (and AA) goals, degradation of morale or sense of legitimacy in other searches, and development of a sense of entitlement by the future incumbent.

Once we have a set of candidates the screening and interview processes commence. Review of resumes and Curricula Vitae should focus on the qualifications sought; this might require blinding of the personal data to objectify the review. (All reviewers are affected by personal bias and it is important that reviewers understand this.) Interviewing can be structured in a variety of ways, but must be consistent for all candidates for a given position. Phone or video preliminary interviews can be conducted. Some structure should be outlined for each set of interviews, with pre-set questions prepared in advance. Some behavioral questions should be posed to candidates. Interviews can be one-on-one or group, or a mix of the two.

Too often, too little effort is made in thinking through and preparing for the interview process. Obviously, most faculty members in medical schools are not taught the principles of interviewing.

Common errors in interviewing include the interviewer dominating the interview, the interview taking on the character of an informal chat, not taking notes, not preparing questions in advance, the interviewer guiding the responses, and the interviewer not questioning in sufficient depth. Even with a decentralized faculty recruiting process, Faculty Affairs can provide support to the departments in screening and selecting candidates and in preparing for candidate interviews. Faculty Affairs can assist in developing guidelines for screening CVs, standardized questions for interviews, formats for interviews and visits, and evaluation forms for interviewers.

Medical schools should always strive to seek the "right" person, who not only satisfies the requirements (bona fide occupational qualifications; according to Hochel and Wilson in their book, Hiring Right, 2007), but who also fits with the institutional core values and is complementary to existing faculty members in that department. Recruiting teams should seek candidates with true commitments to (and passion for) their future position and to the institution.

While just a brief overview, it is hoped that this summary will help a new associate dean for faculty affairs to begin to think through recruitment and hiring issues within their own medical school. Recruitment is critical to our core missions and its importance must be appreciated by all who participate in its process. Faculty Affairs can play a central role in recruitment even when much of the recruitment is departmentally based; it can help train department heads and faculty members in basic principles and develop a tool box of materials to assist in the process. Consistency and communication are keys to success, as is a commitment to continuous improvement of the process over time. Other factors must also be considered, but are beyond the scope of this introduction; they are generational issues, personal bias, dual career needs, and search firms and/or consultants.

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Principles of academic life – appointment, promotion, tenure

Most faculty affairs offices oversee the activities of appointment, promotion and tenure. It is a primary duty of the new faculty affairs dean to learn the content, principles and processes outlined in departmental, school and university documents that pertain to these activities. The faculty dean should be the most informed individual in the school about the documentation required. Your expertise will soon be seen as a valuable resource to faculty, chairs and the dean.

With respect to appointment, the interface of the Office of Faculty Affairs and that of hospital credentialing and licensure-seeking offices should be clearly understood. When faculty appointment occurs with respect to when credentialing and licensure is achieved is a critical timing issue and each institution handles this differently. Appointments at advanced rank (associate and full professor) and immediate tenure typically require a promotion committee review and delays can be a point of contention in recruiting a faculty member and a point of disturbance for chairs anxious to recruit. Processes should be streamlined and not impede recruitment.

Most medical schools have promotional tracks and being aware of the differences between the duties and expectations of faculty on different tracks and the different standards for each track is essential. The definition of what activities “count” and which ones don’t is also important. This is especially true when it comes to the institutional definition of scholarship. Be clear on what your institution finds acceptable as the coin for promotion and what it does not.

Promotion and tenure policies are written, however, attitudes are not. In order to advise faculty on their probability for success, or what remains to be achieved prior to promotional review, the faculty affairs dean should try to learn the institutional attitudes as they relate to promotion and tenure. The easiest way to do that is to sit ad hoc on promotion and tenure committee deliberations. Talking to chairs and the dean and observing trends of success and failure can also give insight into attitudes. The best faculty affairs deans will be able to “get in the heads” of the evaluators and help mentor and advise faculty.

Laura Schweitzer, Ph.D.

Human Resources Basics

Faculty Affairs deans may be charged with responsibilities that include aspects of faculty hiring, supervision, retention, discipline and separations, including retirement. These duties include procedures governed by law and by institutional policies and procedures for all employees and those that are specific to faculty personnel. Usually a Human Resources officer is designated with oversight responsibilities for “personnel” issues in four overarching categories: Staff Acquisition, including interviews, reference checking, international visa issues; new employee orientation; Staff Support, including benefits and compensation administration, performance appraisal, employee assistance programs, labor relations (if unionized), and maintaining personnel records; Staff Retention, including education and training programs, award and recognition programs, and; Staff Separation, including exit interviews, retirement counseling and separations among other things.

Although it is difficult to generalize across all medical schools you can anticipate that when faculty personnel are involved and particularly medical faculty who may also have credentialing issues as participants in your college practice group, the HR officer’s typical duties may be managed in collaboration with others or certain aspects delegated in whole or in part. It will be helpful to know what functions your institutional HR Office does and does not perform related to faculty members. In addition, while departmental business managers or administrators may handle hiring support staff for faculty members, faculty may or may not have extensive experience with staff supervision and questions may arise. In those instances you may be a resource when faculty members have personnel related questions or concerns. To familiarize you with HR issues the following suggestions are offered:

- Meet your Human Resources (HR) colleague before there is a crisis. You can count on it that there will be one sooner or later.
- Documentation always matters. Keep brief factual notes for your file on personnel related discussions with faculty or staff.
- Talk with your HR officer about the “how to” of using positive discipline and appropriate documentation for personnel matters.
- Learn about your institution's Employee Assistance Program and if there are specific supports for faculty versus staff (e.g., Faculty Assistance Program) or if faculty assistance is provided through a contractual or community referral arrangement.
- Check in with HR to understand the basic federal and state laws that affect personnel matters at your school.
- HR officers and Legal Counsel often work closely. Never hesitate to call with your questions. An ounce of prevention or early intervention may change the course of a potential lawsuit.
- Remember that you may be the first point of contact for faculty and academic administrators who have limited knowledge of personnel law. Consider keeping a file with a few key reference materials and/or working with your HR officer on a list of frequently asked questions and answers.
- When in doubt brief your HR officer on the personnel situation and ask, "What questions should I be asking you?"

Keep in mind that your Associate Dean for Administration or Business Affairs may be an excellent internal resource person for additional perspective about key faculty personnel issues. As a new associate dean don't hesitate to consult your dean's office colleagues for their perspectives about on-going or emerging faculty personnel issues.

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Where to find assistance

One of the interesting features of an Office for Faculty Affairs is that is often is the clearing house or triage point for a wide variety of problems or issues; while it is often easy to define what falls squarely under the purview of the office, sometimes it is not and sometimes it is obvious that it needs to be handled either solely by or in conjunction with another campus entity. This short treatise is focused on providing some guidance to Associate Deans for Faculty Affairs on “referral patterns”. It is not meant to be inclusive, but rather a bit provocative, as over time important relationships will develop that will determine how you work with your peers to solve problems, develop policies, and improve operations. Remember that one of the most important tasks that should be mastered for a new Associate Dean is an understanding of institutional policies and regulations, such as the University Bylaws, Permanent Memoranda, Faculty Handbook, etc. The mini-guide that follows must always be set into the context of institutional governing authority.

Human Resource Management

The following situations or concerns would lead an Associate Dean for Faculty Affairs to consult with or refer a matter to Human Resource Management:

- Reporting on suspicion of discrimination of any type or harassment
- Investigation of suspected discrimination or harassment
- Reporting to EEOC, etc
- Finessing difficult faculty situations (negotiating retirement, resignation, or phased retirement)
- Providing faculty employment information to assist departments in determining options (extend employment/renew contract, notice of non-reappointment, timing for advancement review, retirement/separation planning)
- Managing complex leave situations (military deployments, prolonged illnesses, FMLA)
- Assistance in developing policies for complex leave situations (leave reporting, compensation–base vs. base and supplement regardless of source, such as clinical supplement, revenue from endowed chair or professorship)
- Assistance in defining qualifications for faculty positions
- Support for faculty recruiting, especially for leadership positions

If possible, the Office for Faculty Affairs (Associate Dean and support staff) should have access directly to the personnel information system for “quick checks” on basic faculty information and to allow for internal reporting on compensation, leave, and basic employee data.

Legal Counsel

As a preface, it might be useful to advise a new Associate Dean for Faculty Affairs that your institution might have a specific policy that limits access to in-house and/or external counsel; The school or campus might have a “filtering process” in place that validates the need for a legal referral and/or seeks additional information before a legal referral is made. (In our case, for the School of Medicine, the Associate Dean for Faculty Affairs is the filter and department heads and faculty cannot “go directly” to counsel.) Matters referred to counsel for advice/ recommendations include:

- Support for faculty recruiting, especially for leadership positions
- Significant grievances/appeals not resolved by informal mediation
- Notices pertinent to Medical Review Panels or malpractice suits
- Complex inter-institutional agreements – affiliation agreements, memoranda of understanding with other universities, public and private entities and agencies, such as Conrad 30 programs, research institutes, etc.
- Assessment of potential conflicts of interests or institutional risk
- Interpretation of university policy or statute or law pertinent to a faculty circumstance
- Assistance with developing new university or campus policies or procedures
- Guidance with revision of Faculty Handbook

Campus or Employee Assistance Programs and Physician Health Programs

Suffice it to say that it probably good practice to know whenever a faculty member is referred for the employee assistance program or reported to the state physician health program. Generally the department head or section head will initiate the request for the referral, but the Dean's Office should never be caught unaware of the general circumstances. Moreover, the Associate Dean for Faculty Affairs (or other relevant Dean's Office representative) should be one of the individuals for whom the faculty member allows "release of information" or disclosure by the employee assistance program. In most instances, the campus or employee assistance program will handle the "employment contract" for the affected faculty member and any required reporting to the state physician health program. Individual states may vary, but the physician health program may manage reporting to the licensing board.

State Licensing Board

The Office for Faculty Affairs may be the school or college liaison with the state licensing board. When that is the case, you can expect to deal with the following issues:

- Validation of full time faculty status
- Validation of academic rank
- Validation of English language skills
- Clarification of visa status and institutional sponsorship
- Substantiation of institutional need for faculty candidate
- Licensing board disciplinary actions

Relating to the person you report to*

**in this example: the Vice Chancellor for Academic Affairs*

Perhaps the best advice that can be provided in dealing with this near-immediate superior is that surprise is never good. As this individual oversees faculty issues across all schools and colleges on campus, any significant matter than cannot be swiftly resolved probably needs to be mentioned at least in passing to the Vice Chancellor. Often, because of the broader purview of the Vice Chancellor there is more advantage to gain than just unilateral information sharing; parallel or concomitant concerns related to the research office (IRB, IACUCC, animal care, grants management, etc), fiscal irregularity or problems with fiscal reporting, information technology, technology transfer, etc can all come to light. Regular meetings with the Vice Chancellor (or the person you report to who has an eye on the bigger picture) at the beginning of an Associate Dean's tenure can be invaluable in transitioning into your new role.

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Conflict resolution/management skills

All Faculty Affairs Deans must be able to resolve conflict skillfully and effectively. Academic medical centers are among the most complex organizational cultures in the world and their highly competitive environments can breed tensions, jealousies, and insecurity among their talented staff and faculty. Add to this the communication difficulties resulting from well-defended silos, competition for resources, uncertain federal funding, and a general lack of training in emotional intelligence, management and leadership skills, and we have the perfect setting for conflict. Unresolved conflict can have many negative consequences including poor morale, career dissatisfaction, decreased productivity, high levels of stress, and ultimately, burnout.

There is a natural human tendency to avoid conflict; however, unmanaged conflict can spread in the workplace and cause disruption among entire teams or departments1 (Rao et al., 2008). Faculty Affairs Deans must understand the sources of conflict and be unafraid to work on resolving them. Because most new leaders do not come to their positions fully prepared to deal with difficult conflict situations, they must learn and practice the skills of conflict resolution.
There are formal and informal resources to call upon including:

- Human Resources specialists offer advice and assistance (be forewarned that faculty and staff see HR as partial to management although they can provide valuable help and in some instances, must be involved in resolving conflict).
- Employee Assistance Programs (EAP) and Faculty Assistance Programs (FAP) help with conflict arising from personal and family stress or psychological concerns arising from workplace tensions.
- Management consultants work with leaders and their teams to enhance interpersonal relationships, improve communication and team dynamics. These interventions can go a long way to clearing up old communication issues that hinder the team.
- Faculty management and leadership development programs provide the opportunity to learn skills for conflict resolution and allow new leaders to join a community of “leader learners.”
- The Ombuds Office is a new service offered in some academic medical centers. The Ombuds Office is designed to assist in all stages of problem solving and conflict. It is a confidential, neutral, independent, and “off the record” office where a faculty member can talk without worrying about legal repercussions. Faculty leaders can seek expert assistance in conflict resolution from experienced ombuds staff.
- Executive coaches are increasingly common in helping new leaders speed up the process of identifying and acquiring much needed interpersonal skills, including conflict resolution. Many of us in the AAMC Group on Faculty Affairs know of these experts and would be able to recommend coaches.

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Recruitment strategies or how to work with search committees and search firms

As a Faculty Affairs Dean you will be involved in recruiting faculty to senior leadership positions in your institution. You may be expected to shepherd the search process, providing advice and guidance to the Chair of the search committee and its members. Here are some things that you may be called upon or may consider doing to help your school's searches go smoothly.

- Make recommendations to the Dean about the composition of the search committee ensuring broad representation and diversity
- Help the Dean develop her/his charge to the committee including:
  - an accurate description of the job responsibilities and the ideal candidate for the position
  - expectations of the committee members
  - instructions related to the number and composition (e.g. women, minorities) of finalist candidates and whether the list should be in rank order
  - a statement of the absolute need for confidentiality
  - detailed instructions for garnering candidates (e.g. phone calls to selected key leaders in the field, sending letters to societies, deans, etc.)
  - timetable for the search
- Create a standardized process for search committees given the variable amount of experience with searches that the committee chair or members may have.
- Develop standardized template letters for successful and unsuccessful candidates at various stages of the application and recruitment process.
- Craft an evaluation form that can be appropriately adapted for different searches.
- Work with an experienced administrative support person who has staffed search committees in your institution and have him/her create a standardized process for staff support.

Using a search firm is not critical to the success of a search but may add credibility to the search, showing the institution and the outside world that the process will be free and open to all appropriate candidates. Search firms may also increase the diversity of the candidate pool. The decision to use a search firm may include factors such as resources available for the search, anticipated difficulty of the search, and relative importance of the search to the institution. Part of your role when using a search firm is to help ensure that the committee remains "front and center," is continually engaged and not preempted by the firm consultant.

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Managing troubled faculty

Faculty Affairs Deans are sometimes challenged with situations involving the health and well-being of individual faculty members. Typically, these individuals are identified as troubled faculty, but some may be identified as impaired faculty members. The literature on physician impairment is robust. Information about impaired faculty members (physicians, scientists, and others) is less available, but there is a wealth of literature related to dealing with troubles or impaired employees in the workplace. In fact, an industry has been built to address these issues. Many universities have Employee Assistance Programs (EAPs) or other programs designed to help faculty members with substance abuse or other personal problems. EAPs and other resources can be very helpful to deans seeking assistance for troubled or impaired faculty members. Some of the more common problems you may encounter include:

- Substance abuse
- Neuro-degenerative illness
- Major injury or illness
- Family crisis
- Personality disorder

Dealing with the troubled or impaired faculty member requires skill. If you have seen one troubled / impaired faculty member, you have seen one troubled / impaired faculty member. As every case presents its own set of idiosyncrasies and nuances, it is likely you will want to consult with others who have experience in this field. Having a professional background in mental health and experience working in a university-based EAP, I am happy to serve as a resource to others. Feel free to call or email.

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Managing troubl*ing* faculty

An equally daunting challenge faced by Faculty Affairs Deans relates to handling situations involving the health and well-being of the organization because of the troubling behavior of a faculty member. It is very possible the troubling faculty member is also troubled–and those issues should be addressed in the intervention process. However, protecting or improving the health and well-being of the organization may be contingent on reducing, managing or eliminating negative behavior on the part of a faculty member. The violent or potentially violent faculty member may come to mind. However, most of these are not violent. Some of these persons might be described as:

- Negative attitude/hypercritical
- The *prima donna*
- The under performer
- "Both feet planted firmly in the air"
- Needy/dependent
- Identifies self as a "victim"
- Abrasive/disruptive

Dealing with the *troubling* member requires skill. Every organization has its own set of idiosyncrasies and nuances. You may want to consult with others who have experience in this field. Psychologists, social workers, organizational development professionals and others on your campus may be available to assist you. Again, I have encountered many of these persons in my professional career and I am happy to serve as a resource to others. Please feel free to phone or email me.

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Navigating University administration

Trying to chart your path through university administration? Think about the organizational chart as a roadmap. The names and titles on the chart can serve as directional and milestone markers for you by helping route questions to the right office and serving as a guide for where authority rests in the decision making process. Like any good road map when you look at the organizational chart for your college/university keep in mind that there are probably different routes to a given destination and the starting point may not always be the same. However, the legal benefit of an administrative infrastructure is that decisions should be consistent when the conditions are consistent (see resources for working with your University Legal Counsel).

Universities often use hierarchical organization and decision management structures. Routes for information gathering and dissemination, problem-solving, policy development and implementation may include: **administrative/business channels**; **academic channels** and the "roads less travelled" that can include key, but not day-to-day functions such as **governance and academic committees**. Each titled administrator will have specific duties, responsibilities and authority delegated to him or her through the most senior or "chief executive" officer of the institution. Standing and ad hoc governance bodies and committees should also have a specific charge, duties and designated representation. Resources for learning about these roles include your institutional policies and procedures manual, staff handbook and faculty handbook. Some of these materials may be available on-line.

In a University system the President or Chancellor is typically the most senior academic and administrative officer with his or her authority delegated by a **Board of Trustees or Regents**. The President/Chancellor typically delegates all other responsibilities to executive officers. Although all of the following officers may not be represented at your institution, typical executive officer titles at an academic institution may include:

- President
- Provost
- Senior or Executive Vice President
- Secretary of the Board (or University)
- Vice (President or Provost) for
    - Administration
    - Academic Affairs
    - Community Affairs
    - Development
    - Facilities
    - Government
    - Health Affairs
    - Information Technology
    - Public Affairs
    - Research
    - Student Affairs
- General Counsel
- College Dean

Various staff offices report the University's executive officers. Staff offices typically are involved in policy implementation and oversight while executive officers are involved with policy development and review. Institutional offices typically include: Finance and Accounting, Information Technology (or Computing Services), External or Alumni Relations, Equal Opportunity Officer, Facilities Management, Parking, Human Resources, Internal Auditing, and Student Services among others.

Institutional committees may be involved in proposing new policies, monitoring policy implementation, recommending how policy should be applied in specific situations (for example by conducting the admissions process, or grievance hearings, or reviewing research proposals for compliance issues and recommending a course of action) and/or commenting on proposed policy as a representative body (of faculty, staff or students, for example). Committees vary from one university to another but typical committees include: Admissions, Awards, Animal Care and Use, Curriculum, Human Subjects Review Board, Promotion and Tenure, Radiation, Biological and Chemical Safety, Faculty Senate, Staff Senate.

University administrators must at times walk a difficult path because their responsibilities include mediating between the academic, business and human needs and interests of the higher education organization. Understanding what routes are available to solve problems you encounter as a faculty affairs dean can help you navigate the roads ahead by conferring with appropriate University administrators.

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Strategy and planning for the future

Strategy means, in its simplest definition, the means to accomplish ends. Therefore, the discussion of strategy will be approached in terms of goals and the goals of an office of faculty affairs depend on place in time.

Establishing an office of faculty affairs

The simplest statement of the goal of a new faculty affairs office and the usual primary rationale for initiating a new office is to facilitate faculty development, including both skill acquisition and promotion to higher rank and tenure as appropriate. Strategy for establishing an office includes the following items, perhaps among others, in some similar order.

- Interview and consult with administrators of the school and academic health center to understand their goals for the office, the level of their understanding of faculty needs and their notions of faculty duties and roles. Much can be learned from these interviews to help one understand the situation at the institution.
- Unless recently done, send out a faculty satisfaction survey to assess faculty perceptions. This will provide complementary insights into the institution.
- Establish and use a faculty advisory committee for the office of faculty affairs. This may well be delayed until one has a better idea of what the situation is and who in the situation is both insightful and level-headed.
- Ask for time to report to the faculty governance body and to the administrative body of the school. This is enormously helpful for understanding the institution and how people interact. It also gives a face to the faculty affairs office.
- Use all these sources of information to develop new programs. A slow careful start is generally more effective and durable than a fast, diffuse start.

Maintaining a faculty affairs office

The goal of maintaining a faculty affairs office is to edit and enhance the services offered for faculty development. For instance, new categories may be needed in the track system for promotion as vital functions are recognized as a basis for promotion. Other programmatic improvements and enhancements will be needed as the institution and the office mature.

- Develop or adapt measures of effectiveness through assessment of success in the promotion/tenure process, annual faculty reviews, retention protocols, etc.
- Utilize exit interviews to identify areas of faculty stress or dissatisfaction. Use the exit interview as an opportunity to help the exiting faculty member leave with a good attitude toward the institution.
- Serve as an advocate for the faculty to the administration and with the faculty advisory committee as consultant on administrative initiatives.
- Foster faculty renewal particularly for mid-rank, mid-career faculty. Help faculty keep the flame of passion for the academic life burning brightly.
- Develop programs for faculty in transition from predominantly academic activities to administrative and teaching activities or retirement.

The following list contains perennial hot topics that will appear and reappear in the life of the faculty affairs office. The single most important strategy for all of these, but especially for the first four, is transparency. In all of these it is important to address each faculty member as an individual and to remember and teach that being fair is not always being just.

- Salary equity
- Gender equity
- Faculty diversity
- Promotion/tenure
- Faculty retention
- Mid-rank/mid-life transition
- Senior faculty transition

Planning for the future

Planning for the future has two aspects, planning for the future work of the office and planning for the future of the office.

Planning for the future work of the office

Planning for the future directions of the office depends greatly on what occurs within the medical school/academic health center. Change in leadership at the level of the center or the medical school will likely bring new tasks as priorities change with leadership. Often these changes in priorities are at least somewhat predictable based on what precipitates the change in leadership. An internal promotion to higher leadership role often allows prediction of new foci since, to at least some extent, the newly promoted individual is known. A recruit from the outside is less well known. Sometimes the results of an LCME or SACS accreditation site visit will adumbrate the need for new policies, records or procedures.

Planning for the future of the office

Changes may also be made by the faculty affairs office itself on recognition of unaddressed needs of the faculty. The faculty governance body may also initiate studies that result in the need for new policies, etc. These movements can be recognized by keeping in touch with the faculty. Methodologies for keeping in touch with the faculty include having regular meetings with the advisory committee for the faculty affairs office (*vide supra*). Faculty opinion surveys can also be used but the periodicity of such a survey should consider other surveys requested, efficacy of the previous surveys and the “oversurveyed burn out” factor. Inviting faculty in small numbers to a coffee in the faculty affairs office or other venues for conversation is also a way to take the pulse of the faculty. Exit interviews also help understand faculty opinion and often suggest initiatives for the office.

Succession planning

It is the rare person who enthusiastically plans for the time when s/he will not be present. For institutions, however, this is vital and is a measure of institutional health and its confidence and satisfaction with what an office or group has done for the institution. The functions of and within a faculty affairs office are complex and varied, ranging from recordkeeping, to credentialing, to providing skill sets for faculty success, to managing the promotion and tenure process. Each of these functions has components of knowledge of the rules and local lore. Both aspects need to be preserved for effective succession.

The first task in succession planning is to know how the office works and why the office works. The answer to both questions lies in the people who comprise the office and their unique skill sets and personalities. While one cannot replicate personalities, one can seek to identify Compatible personalities and adjust the work assignments appropriately. Moreover, it behooves everyone to bring in potential successors early, in order to assure a seamless transition. Most corporations provide support for this process knowing how markedly the lack of a seamless transition can disrupt and penalize the corporation. Most academic health centers are less able to underwrite the cost of succession planning but are no less aware of its importance. Faced with this reality, cross-training to the point of understanding each function and knowing where to look for the files is necessary in all who staff a faculty affairs office. This requires continual communication within the office which focuses on what each person does and on the goals and issues of the office. Effective communication is an absolute necessity for the function of the office as much as it is for succession planning.

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Developing relationships with the Chairs and Dean

The faculty affairs dean walks a fine line between being a faculty advocate (mentor/advisor/ guide) and a university official. In all encounters be clear on your role both in your own mind and to others. In most cases unless you hold the title "ombudsperson" at the end of the day you are primarily an administrator and it is your responsibility to secure the Institution's well-being, even if faculty needs are not met. Fortunately, these two goals are usually mutual. You should be clear about your role and responsibilities when you advise faculty. A good example is helping faculty with promotion and tenure advice, but holding them to rigorous promotion and tenure standards in the end.

In order to be successful in your role as dean of faculty, a strong relationship with the chairs and the dean is a must. You will want to be able to call on the help of both chairs and the dean, should you need it. This is especially true when you are playing the role of faculty advocate. The chairs must feel secure in their belief that one of your primary roles is to help them (of course unless they are doing something illegal or unethical). Foster those relationships by identifying something that each chair would find valuable and helping them achieve it. Be sure that Chairs have ready access to you and your office and come to see your unit as a resource they can call on when they need help. Consciously build these relationships one at a time.

Similarly, you report to the Dean. An optimally functioning faculty affairs office is one that the Dean should learn to depend on. Make sure that you provide an early heads up in areas that will require the Dean's involvement such as recommendations for failed promotion/tenure reviews. Provide a detailed explanation of the issues – both sides –so that the Dean can judge for her/ himself. You are the expert and your job is to inform and serve as a trusted and reliable resource.

Laura Schweitzer, Ph.D.

Developing trust with faculty

A leader's ability to build trust with faculty and staff is critical to his or her success. Trust is not something that happens overnight. It has to be earned. Building trust requires developing an environment of openness and candor where individuals feel listened to and respected, and where they know they will be treated fairly and equitably.

Trust takes time to develop in a group. It requires consistent work on the part of the leader to provide opportunities for faculty and staff to openly share ideas, discuss differences of opinion in a constructive manner, freely admit their mistakes, ask for help when needed, get input and feedback from team members, and work together on a shared vision and goals.

There are many "soft" skills involved in becoming a trusted leader. Getting to know faculty and staff personally and building those relationships is one of them. Acknowledging the importance of each individual is another one. What a leader wants to do is become a skillful team leader who can create a place of work where highly competitive people who are protective of their reputations respect each other's talent and competencies, and reveal their vulnerabilities without fear of exposure or derision. In sharing experiences over time, establishing sound ground rules for team interactions, providing fair and timely feedback, encouraging open and honest communication, resolving conflict quickly before damage is done, and celebrating achievements and successes, a leader lays the groundwork for a high trust environment in which individuals enjoy their work and each other.

The integrity, honesty, truthfulness, and fairness of a leader are quickly assessed by all who report to or work with that individual. Trust is fundamental to your success.

Your colleagues in the AAMC Group on Faculty Affairs are good sources of advice and counsel on trust. Feel free to talk to me or others in the GFA.

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Understanding your role: Faculty Advocate or University Administrator

It is important that an Associate Dean for Faculty Affairs understands the scope and duties of the position. Often this begins with a review of the "Position Description" and the Table of Organization for the school or college; in some instances the scope of responsibilities for the Associate Dean for Faculty Affairs is quite limited and in others it is very broad. Regardless, as an Associate Dean for Faculty Affairs, most of us ultimately realize that we serve to represent the best interests of the university. To that end, some may view us as purely "university administrators", or rather pejoratively as "THE ADMINISTRATION". There are perhaps more nuanced perspectives to take on the matter.

In serving the best interests of the university, we also report to the Dean; we serve as an advisor to and an implementer for the Dean. Just as in other working and reporting situations, this reporting relationship can put us in conflict with our immediate supervisor, our boss, the Dean. (Just remember not everything is an emergency and not every directive needs to be implemented immediately.) Some process is dictated by strict timelines (grievance, etc) and, as a consequence, reconsideration may not be logistically feasible; those are the exceptional situations rather than the usual. There usually is time to work through disagreements on administrative directives.

In serving the best interests of the university, we also represent and advocate for the faculty. It is important that we provide access for the faculty, as we are often the messenger to the Dean or to the Vice Chancellor or Chancellor. But the Associate Dean for Faculty Affairs in most medical schools or colleges is not an Ombudsman. That is a very distinct role from a person who oversees recruitment, appointment, advancement, career development, professional evaluation, department review, etc.

Specific tips that might be helpful:

- Know the content of the Position Description
- Understand the Table of Organization
- Review your duties with the Dean
- Undertake annual review yourself
- Modify the Position Description over time, if needed

While serving as Associate Dean for Faculty you should serve the best interests of the university and support the academic traditions of your school or college. In doing so, you will not only be an effective advisor and aid to the Dean (an "administrator" if you will), but you will also serve as a faculty advocate.

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GDI LGBT Resources

GDI Fact Sheet 1: How to create a welcoming and supportive climate for Lesbian, Gay, Bisexual, and Transgender (LGBT) faculty

As Academic Medical Centers have begun to recognize the potential for achieving excellence through embracing diversity, they have launched initiatives to attract, develop and retain faculty underrepresented in medicine and biomedical sciences, including LGBT faculty. LGBT faculty and leaders bring great benefits to a School of Medicine including serving as positive role models for LGBT students, residents and staff; creating a positive shift in institutional views of LGBT personnel and patients; supporting research on LGBT health disparities; and adding to the sense of acceptance, respect, and equity of the institutional environment. Creating a welcoming, respectful climate for LGBT faculty and leaders will help retain them, help them be successful and take a role among the champions for fair treatment for all diverse trainees, staff and faculty.

What can an Associate Dean of Faculty Affairs do to improve the climate and make it safe for LGBT faculty and leaders to function at their full potential?

- Facilitate communication by leaders including the Dean that LGBT faculty, residents, and students are welcome and embraced by the School. Assure that the welcoming nature of the School is communicated on all appropriate web-sites and in written material. Develop an LGBT speaker's bureau to allow LGBT faculty and their allies to directly participate in the communication effort.

- Include the presence of LGBT persons and health concerns in the diversity mission. When the Faculty Affairs Dean or the administrative designee discusses persons previously not welcome as providers in medicine, or the health disparities of disenfranchised people, it is simple yet powerful to include LGBT persons.

- Establish an LGBT Task Force or Committee with faculty, resident and student representatives to oversee LGBT recruitment, admission/hiring, retention and climate concerns.

- Survey the LGBT faculty every 3 to 5 years (perhaps using Faculty Forward with LGBT self-identification) to assess issues and concerns, allowing for benchmarking efforts and also remain in a position to define best practice models within and outside the institution.

- Partner with the Diversity Dean or comparable administrator to provide events that will allow LGBT persons and their allies to get to know one another. One of the most painful aspects for a LGBT faculty is to "be in the closet", hiding their personal life from their work colleagues. Events such as potlucks, dinners, celebrations of "national coming out day", and educational events, allow for a safe sense of camaraderie among LGBT faculty, residents, students and their allies. For examples, see http://lgbt.ucsf.edu/

- Support LGBT students. Knowing that LGBT students are safe and well-supported will add to the welcoming climate for all LGBT faculty members who will feel responsible for their well-being. An LGBT faculty member may wish the opportunity to mentor an LGBT student or resident. See https://www.aamc.org/download/157460/data/institutional_programs_and_educational_activities_to_address_th.pdf

- Work with the Associate Deans of Faculty Development, GME, and the Office of Student Affairs to assure that faculty, residents, and students are educated about LGBT health disparities and health care issues.

- Assure that a strong mistreatment policy in place that is well advertised; LGBT faculty should feel free to use the mistreatment reporting process without fear of recrimination or "outing". Attached are some examples: http://hsc.unm.edu/som/oss/includes/PDF_Uploads/Student%20Mistreatment%20Policy%20-%208.12.09.pdf

  http://smhs.gwumc.edu/mdprograms/currentstudents/policies/studentmistreatmentpolicy

- If an LGBT faculty member's work involves conducting clinical care, teaching, mentorship and/or research with a particular focus on the LGBT community, make sure that he/she enjoys the same institutional exposure and academic credit afforded any other investigators. LGBT faculty should not fear being penalized in the promotion and tenure process because those areas of investigation may be undervalued or disrespected.

GDI Fact Sheet 2: Reforming the Human Resources processes to promote the recruitment of qualified Lesbian, Gay, Bisexual and Transgender (LGBT) faculty

Associate Deans of Faculty Affairs, or comparable administrators, with the primary responsibility for faculty recruitment, have a major influence on the recruitment of LGBT faculty. In general, procedures that facilitate diversity in the recruitment of faculty potentially work for LGBT faculty. The differences will be that many potential LGBT faculty will not be identified as such and that there is no way in most schools to acquire data on the success of recruitment efforts since LGBT status is not recorded. Suggestions include:

- The Dean should charge a diverse search committee requiring that a full search should be performed with special attention at recruiting underrepresented groups in medicine and biomedical sciences (UGMBS) including racial/ethnic minorities, women, and LGBT among others.

- The pool of candidates for the position should be as diverse as possible. The main effort should be in widening the pool of candidates for a position. Fast-tracking "inside candidates" without a full search should be avoided. Diversity language and appropriate placement of advertisements are critically important in communicating the welcoming environment that awaits the applicant. Existing LGBT faculty, AAMC GDI, medical specialties/scientific societies that have an LGBT caucus, and national LGBT health-related organizations can provide guidance in the identification of appropriate sites or organizations with which to post advertisements. Consider placing strategic calls to colleagues and ask "Do you know any women, underrepresented minorities, or LGBT persons who would be qualified and interested in our position?" A University or School of Medicine LGBT faculty group should be made aware of the School's open positions in case they know of a good LGBT candidate.

- Consider cluster hires around research in LGBT cultural competency and health disparities. LGBT faculty are much more likely to be experts or be interested in research efforts in these fields.

- Conduct an initial assessment to determine your school's successes and challenges in recruiting LGBT faculty. Such an assessment can consider – Who are the LGBT faculty at your institution? What were their experiences with the recruitment process at your institution and at other institutions? Current LGBT faculty can serve as a resource in reforming your HR process and your successes can be shared with potential applicants.

- Teach all search committees about unconscious bias. References include the AAMC Analysis in Brief monograph "Unconscious Bias in Faculty and Leadership Recruitment: A Literature Review", (http://www.aamc.org/data/aib/aibissues/aibvol9_no2.pdf), and video "What you don't know, the science of unconscious bias" (https://surveys.aamc.org/se.ashx?s=7C7E87CB561EC358). This will need supplementation about conscious bias that some search committee members may have. It is important to provide a strong message to search committee members that such conscious bias is not acceptable. Consider having local in-person training sessions about avoiding unconscious bias in search committee training and making this type of education a requirement for search committee members.

- Set criteria for the search in advance and as broadly as possible. Include "The ability to work in a diverse environment" as one of the criteria to be considered. Compare candidates according to those criteria.

- Consider including LGBT status in with data already collected on gender, race and ethnicity during the recruitment process. As with the other attributes, LGBT status should be self-identified and voluntary. This will allow you to assess the success of your efforts in this area.

- If an LGBT person comes for an interview, do not mention their status unless they bring it up. If they note on their application or CV their involvement with LGBT-related groups or research, that may serve as an opportunity to discuss how they may be able to bring a new and enriching perspective to your school. If they are interested in meeting other LGBT faculty and students to discuss School and regional climate, arrange for such a meeting. The candidate's partner/spouse should be invited to recruitment dinners as would any spouse. Policies on Non-Discrimination and Affirmative Action (http://www.hr.fsu.edu/PDF/Publications/diversity/EEO_Statement.pdf) and on benefits for partners/spouses and children should be presented and discussed. It should be made clear if the school's Non-Discrimination policy includes sexual orientation and gender identity. An accepting personal statement from a Dean or Chair to the candidate is also very powerful.

GDI Fact Sheet 3: Institutional policies to ensure equitable services to Lesbian, Gay, Bisexual and Transgender (LGBT) faculty

Developing AMCs to their fullest capacity requires maximizing diversity, minimizing unconscious bias, and creating an atmosphere of appreciation for all. Part of the task of any Academic Affairs Dean is to insure that their institution's employment policies and benefits reflect this vision by offering full equity and inclusion. If these are not in place, members of groups that have historically faced discrimination may be underrepresented and marginalized, unable to contribute fully to institutions which could significantly benefit from their skills, experiences, and perspectives.

Lesbian, gay, bisexual, and transgender (LGBT) faculty are among those groups who seek out and greatly appreciate institutional policies and benefits that are equitable and inclusive. These policies and benefits are a public statement of the values of the institution, signaling to LGBT individuals that they are seen and valued. The presence or absence of the policies and benefits listed below will communicate to potential and current LGBT faculty, trainees and patients the atmosphere that they can expect at your institution.

POLICIES

- Does your school (and any affiliated hospital) include “sexual orientation” and “gender identity and gender expression” in its nondiscrimination policy?(http://www.hr.fsu.edu/PDF/Publications/diversity/EEO_Statement.pdf). The inclusion of these terms will be a requirement for accreditation by the Joint Commission beginning January 1, 2011, and a number of states prohibit discrimination based on sexual orientation and/or gender identity.
- If your institution has a mistreatment policy, does it prohibit insults or demeaning language related to both sexual orientation and gender identity and expression?
- Does your institution clearly communicate its nondiscrimination policy (and mistreatment policy, if any) to employees, trainees, staff, and patients?
- Are faculty, trainees, staff, and patients regularly informed of procedures for making complaints or inquiries about policy violations? Do they utilize these procedures? Are they comfortable utilizing these procedures?
- Are remediation processes in place for those who violate nondiscrimination and mistreatment policies?
- Does your institution regularly track and review complaints under these policies?
- Does your institution have policies and procedures in place to respond to employees' gender transitions swiftly and respectfully?

BENEFITS

- If your institution provides health, dental, vision, life, ADD, or other insurance benefits to the opposite-sex spouses of employees and/or trainees, does it also extend all of these benefits to the same-sex partners of employees and/or trainees?
- If same-sex domestic partner (DP) benefits are made available, are they publicized to affected employees and trainees? Are benefits staff well-versed in these benefits, and do they discuss them clearly and without bias?

- Do your institution's retirement benefits treat opposite-sex spouses and same-sex domestic partners identically? For example, are all benefits provided to surviving spouses made equally available to surviving DPs? If so, is this equal treatment clearly communicated in retirement materials and presentations?
- Are other institutional benefits made available to opposite-sex spouses (e.g., educational fee waivers, discounts, memberships, loans) made equally available to same-sex DPs?
- Is any housing provided by your institution made equally available to opposite-sex spouses and same-sex DPs?
- If your institution permits the use of sick leave for care of an opposite-sex spouse, does it also allow use of this leave for care of a same-sex DP?
- Does your institution permit eligible employees to utilize Family Medical Leave Act (FMLA) for the care of a same-sex DP, as well as an opposite-sex spouse? (Although federal and state law do not require employers to extend FMLA to care of same-sex DPs, an employer may voluntarily make FLMA leave available for this purpose.)
- Are opposite-sex spouses and same-sex DPs treated identically in faculty recruitment efforts? For example, are DPs of faculty invited to "second look visits" on the same basis as opposite-sex spouses? Are DPs eligible for "partner opportunity programs" that offer help in finding a position or fiscal support in a new position?
- Do your institution's parenting policies and benefits acknowledge and support employees who become parents by adoption, fostering, or surrogacy?
- Has your institution considered expanding its health insurance coverage to include medically necessary sex reassignment procedures, including surgeries and hormone therapy? A growing number of employers and insurers provide this much-needed coverage.

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