MEMORANDUM

TO: Dean of the School of Medicine and SOM Faculty, Chairs and Administrators

FROM: Steven R. Lowenstein, MD, MPH
Associate Dean for Faculty Affairs

DATE: May 6, 2016

SUBJECT: Summary of proposed changes to the Rules of the School of Medicine

This memorandum was prepared on behalf of the 2015-2016 School of Medicine Rules and Governance Committee. The names of Rules and Governance Committee members are listed at the end of this memo. The Faculty Senate reviewed and voted on all changes to the Rules of the School of Medicine on June 14, 2016, and individual votes are included below for each section.

Existing language is in *italics*; deletions are highlighted with strikethroughs; and additions are highlighted in **bold**.

PROPOSED CHANGES TO THE SCHOOL OF MEDICINE RULES

**Mission Statements**

- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

  - Makes the following changes to the SOM’s Diversity Mission Statement: *The SOM adopts a definition of diversity that embraces race, ethnicity, gender, religion, sexual orientation, gender identity, socioeconomic status, political beliefs and disability.*

  - Adds the following language to the Professionalism Mission Statement: *In all educational, research and clinical care settings, teachers and learners will welcome and respect all religious, spiritual and political beliefs and will welcome and respect patients, regardless of socioeconomic status, including those who are uninsured or non-English speaking.*

**Faculty Senate and Faculty Officers**

- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

  - In recognition of the increasing size of the SOM faculty (and as approved by the Faculty Senate on 9-14-2015), the election of Senators is changed as follows: *Each department may elect one Senator for every thirty forty faculty members with primary appointments in the department; representation will be capped at a maximum of 7 senators per department.*

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1 These changes reflect the 2015 SOM Diversity Plan, the revised Teacher-Learner Agreement, and the 2013 School of Medicine Student Climate Survey (*Student perspectives on the diversity climate at a U.S. medical school: The need for a broader definition of diversity. BMC Research Notes. 2013: 6:154).*
• The Associate Dean for Diversity and Inclusion shall serve as a voting member of the Faculty Senate.

• Proxy voting may be used. Only elected senators who are present at a meeting may vote on matters that are before the Senate.

• The Faculty Officers (President, Past-President, President-Elect and Secretary) will remain as members of the Executive Committee, except that they will no longer vote on promotion or tenure recommendations or other personnel issues discussed in executive session.2

Colorado Springs Branch Representation- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

• Faculty members or administrative leaders representing the Colorado Springs Branch campus are added to several SOM committees and governing bodies, including: Faculty Senate; Executive Committee; Curriculum Steering Committee; Student Life Steering Committee; Clinical Appointments and Promotions Committee; and Student Promotions Committee.

Department Chair Searches - Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

• Important changes are made regarding search committee membership, communication between the Dean and department faculty, and the process for approval of a finalist as the new department chair:
  ✐ After consulting with faculty in the department and with the Faculty Officers, the Dean shall appoint a committee to conduct the search for a new department chairperson. The search committee shall consist of at least six members and shall include persons from the basic science departments, the clinical departments and the clinical faculty (if appropriate). The Dean shall determine whether the search committee will include departmental representation. Where appropriate, and in a manner consistent with approved agreements between the School of Medicine and the affiliated hospitals, the search committee shall also include representation from affiliated hospitals, where the department chairperson will also serve as chief of clinical services.
  ✐ The Associate Dean for Diversity and Inclusion, or his or her designee, shall be an ad hoc member of all chair search committees.
  ✐ At appropriate times during the search process, the Dean, or his or her designee, will discuss the progress of the search with the faculty in the department concerned.
  ✐ The committee will recommend suitable candidates to the Dean, who will then recommend one of the nominations of the ad hoc committee to the Executive Committee. The Executive Committee, by a simple majority vote, will either affirm or reject the nomination. If affirmed, the nomination will be submitted to the Chancellor, make the final selection.

2 Rationale: With respect to promotions and tenure recommendations, faculty input is already gathered at the departmental and school-wide faculty promotions committees.
**Division Head Searches** - Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- The procedures for selecting a new division head are streamlined, eliminating the distinction between divisions with and without “initial board certification or residency training separate from the parent department.”

**Evaluations of the Dean** – Approved by Faculty Senate 23-0-1, with amendment below in red. Approved by Executive Committee 23-0-0

- The Rules are amended as follows: The academic and administrative performance of the Dean will be reviewed on a regular basis every five years, according to the laws and policies of the Regents. Every three to five years in accordance with University policies, with formal input from department chairs, the Faculty Senate, and the faculty at large. This will include a review of the administrative and financial organization of the Dean’s Office.

**Executive Committee** – Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- Membership and voting privileges are clarified by adding that, in addition to the department chairs (who are voting members), The Dean may appoint additional center or program directors to serve as non-voting members of the Executive Committee. [Also], the Associate Dean for the Colorado Springs Branch, and the chief executive officers of the Denver Health and Hospital Authority, the Denver Veterans Administration Medical Center, the University of Colorado Hospital, Childrens’ Hospital Colorado, and National Jewish Health, or their designees, shall also serve as non-voting members.
- In order to clarify current practice and meet LCME requirements, the Rules will now state: Upon recommendation by the Senior Associate Dean for Education, representing the faculty and the School of Medicine’s established criteria for graduation, the Executive Committee shall also approve the list of candidates to be presented to the Regents for degrees.

**At-Will and Other Faculty Appointment Types** – Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- As recommended by the Task Force on At-Will Appointments (11-2014), and as approved by the Executive Committee and Faculty Senate, language is added that discourages routine use of at-will appointments for most faculty members. The new language states:
  - Instructors, Senior Instructors and Assistant Professors will usually receive 1-year, renewable limited appointments.
  - Associate and full Professors who are not tenured will usually receive renewable limited appointments of 1, 2 or 3 years.
  - The Dean’s Office, in collaboration with the Faculty Senate and the
Executive Committee, will develop specific guidelines for the use of limited, indeterminate and at-will appointments.3

- No changes are proposed regarding the appointment types themselves (at-will, limited, indeterminate and tenured appointments). According to state statute, some faculty are still required to hold at-will appointments (specifically, non-tenure-eligible faculty members who are not engaged in patient care at least 50% of their time).

Notice requirements before ending a faculty member’s appointment- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- In accordance with current University of Colorado Denver (UCD) policies (Administrative Policy Statement on “Standard for Notice of Non-Reappointment for Faculty”), the SOM Rules clarify that faculty members holding limited appointments are entitled to the following notice: 3 months’ notice is required for non-reappointment of faculty members in their first year of service; 6 months’ notice is required for faculty members who have 1-3 years of service; and one year’s notice is required for faculty members after three years of service.

Letters of Offer and Faculty Responsibilities- Approved by Faculty Senate 23-0-1; Approved by Executive Committee 23-0-0

- Language is added clarifying that University-employed faculty members must have a signed letter-of-offer that includes appropriate language about salary, benefits and assigned responsibilities, including the requirement that each University-employed faculty member sign a UPI Member Practice Agreement:
  - Each member of the full-time faculty who is employed by the University, shall have a signed letter-of-offer, which specifies the type and terms of his or her appointment and which includes appropriate details about the salary, benefits, privileges and responsibilities associated with the position. Under the terms of their appointments, sign contracts with the University and Faculty appointments in the School of Medicine also require that each university-employed faculty member sign a with University Physicians, Inc. (UPI) Member Practice Agreement, which provides that all fees received for professional services, with certain exceptions defined in the UPI contract—or by the School of Medicine, shall be assigned to University Physicians, Inc. School of Medicine faculty members are expected to follow all rules and policies of the University, School and UPI, as well as the rules and policies of the hospitals where they provide patient care or other services.

Information Provided to New Faculty Members: Language Clarifications- Approved by Faculty Senate 22-2-0; Approved by Executive Committee 23-0-0

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3 These guidelines have been developed: http://www.ucdenver.edu/academics/colleges/medicalschool/facultyAffairs/AppointmentsPromotions/Pages/FacultyAppointments.aspx.
• Language is added clarifying the chairs’ must provide new faculty members with information about performance expectations and the criteria for promotion:
  - At the time of a faculty member’s initial appointment, it is the responsibility of that member’s departmental chairperson to inform him or her about the performance expectations for the position. It is also the chairperson’s responsibility at the time of a faculty member’s initial appointment to provide relevant information about the criteria for promotion within the department and the School of Medicine and to provide an opportunity for the new faculty member to discuss these criteria, and the criteria for faculty promotion and appointment outlined above. If at the time of appointment there are additional factors and/or qualifications which that particular department considers important for promotion, that information must be communicated to the faculty member both verbally and in writing.

Performance Evaluations for Faculty Members: Language Clarifications- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

• Language is added clarifying that all full-time SOM faculty members, including those employed at affiliated institutions, must receive annual performance reviews, in accordance with University policy:
  - Annual performance evaluations shall be conducted for all faculty members (>50% FTE), including faculty members employed by affiliate institutions, in accordance with the University’s Standards, Processes and Procedures Document (http://www.cu.edu/regents/Laws/AppendixA.html). Annual reviews must be conducted by the department chair or designee and must be completed no later than May 1st of each year. Adhere to the schedule set forth by the University of Colorado or the affiliated institution where the faculty member is employed. On an annual basis, and in accordance with University policies, each University-employed faculty member must also receive a Performance Rating and must participate in the development or revision of a Professional Plan.

Extensions to the 7-year Promotion Timeclock- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

• No changes are proposed regarding the ability of faculty members to request an extension (up to 3 years) to their 7-year promotion timeclock. The following language is retained: The request for an extension will be granted so long as the request is submitted prior to the start of the review for promotion or tenure by the SOM Faculty Promotions Committee. New language is added to the existing policy, to comply with University policies: All requests for extensions will be forwarded to the Chancellor for approval.

Faculty Promotions Committee- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

  - In recognition of the increasing number of promotion and tenure recommendations, a proposed change permits the SOM Faculty Promotions Committee to have more than 15 members:
The FPC shall be composed of at least 15 members; approximately one-third of these will be appointed from the basic science departments. 40 of clinical departments and 5 of basic science departments. All committee members must hold the rank of Associate Professor or Professor in the regular or clinical practice series. At least seven members of the committee must be tenured or have tenure criteria. Departmental chairpersons, division heads and section heads may not be members of the FPC.

Tenure Criteria- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

Under existing rules, faculty members employed by an affiliated hospital are not eligible for university tenure. However, they may be considered for the award of “tenure criteria,” which carries no financial obligation on the part of the University. The following amendments are proposed:

- The standards for awarding tenure criteria shall be determined by the Dean in consultation with the Faculty Officers and the Executive Committee.
- Recommendations for the award of tenure criteria shall be reviewed by the Department Advisory Committee and then forwarded to the Faculty Promotions Committee, and then the Executive Committee, for consideration.

Amending the SOM Rules- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

New language is added, clarifying the steps required to amend the Rules of the School of Medicine: Any proposed amendment to the Rules of the School of Medicine shall be reviewed first by the Rules and Governance Committee, then brought to the Executive Committee, before being presented to the Faculty Senate for approval. Proposed amendments to the Rules of the School of Medicine shall then be circulated at least seven days before presentation to a regular or special meeting of the Executive Faculty for final approval.

Medical School Admissions Committee- Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- Language has been added clarifying that: a) there are three major subcommittees (the Primary Review, Interview and Background Check Subcommittees); b) the chair of the Admissions Committee must be a faculty member who is nominated by the Admissions Committee and Assistant Dean of Admissions, and who does not hold an appointment in the Dean’s office; c) the chair of the committee will be elected by the voting members of the committee for renewable two-year terms; and d) alternatively, co-chairs may be nominated and elected. The responsibilities, reporting structure and membership of each subcommittee are described.
- Consistent with longstanding SOM practice, and also consistent with LCME requirements, the following language is added:
  - The Admissions Committee has full and final authority, under the rules for admission and readmission prescribed by the Executive Faculty, to
select members of the entering class and to fill vacancies that may occur in any of the classes. The Dean of the School of Medicine does not participate in, nor seek to influence, any aspect of medical school admissions decisions.

School of Medicine Committees (General) - Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- For several committees, (for example, Curriculum Steering, Student Life Steering, Clinical Appointments and Promotions, Student Life, Admissions and others), revised language is included regarding the committee name, membership, reporting structure and overall charge.
- Several committees (for example, Clinical Affairs, Space and Planning and Fiscal Policy) have been deleted, as they are inactive or have been replaced by other committees.
- Deletes the rule that faculty members may not serve on more than three standing committees of the SOM.
- Deletes the requirement that each committee must include members from at least 3 departments.
- Deletes the specific requirements that each committee elect its own chairperson yearly, that each chairperson shall be eligible only twice for re-election, and that each committee have a secretary responsible for keeping minutes and preparing reports.
- Adds the requirement that all committees make an annual written report of their activities to the Faculty Senate (in addition to reports submitted to the Dean and Executive Committee).

Changes to the Promotion Criteria Matrix - Approved by Faculty Senate 24-0-0; Approved by Executive Committee 23-0-0

- The Promotion Criteria Matrix (Appendix I of the SOM Rules) is used to guide faculty members, department chairs, and promotion and tenure review committees in assessing how faculty meet the criteria for each rank. The Matrix provides examples of “meritorious” and “excellent” accomplishments in the areas of teaching, research, clinical activity, scholarship and service.
  
  o The existing “scholarship matrix” uses the following categories for scholarship: Clinical research; innovative procedures for delivery of health care; writing of monographs, reviews and other creative efforts; teaching scholarship; clinical scholarship; and basic sciences scholarship. As recommended when the Rules were revised in 2012, the scholarship matrix is now reorganized to ensure clarity and consistency with the four categories of scholarship defined by Boyer and adopted by the SOM in 1997 (the scholarship of discovery, teaching, application and integration).
  
  o The “Service” matrix is expanded and now provides examples of: service to the School, University, professional discipline or community; appointment to leadership positions; involvement in health care advocacy, community service or outreach; leadership of activities that address challenges in education, such as workforce diversity, professionalism,
educational technology and others; service on scientific study sections or editorial boards; and others.

**Rules and Governance Committee Members**

*Judy Regensteiner, PhD*
*Claude Selitrennikoff, PhD*
*Rebecca Braverman, MD*
*Tod Kingdom, MD*

*Steven Lowenstein and Cheryl Welch (Ad hoc members)*