



HANDBOOK FOR FACULTY

Adopted by the Faculty on April 27, 2016

OFFICE OF ACADEMIC AFFAIRS

KUMC version 1980

Revised February 1983

Revised July 1987

Revised January 1990

Revised January 1997

Revised October 1997

Revised February 1998

Revised August 1999

Revised May 2001

Revised August 2001

Revised December 2003

Redrafted and Revised October 2005

Revised March 2006

Revised July 2008

Revised October 2011

Revised September 2014

Revised April 2016

Table of Contents

Table of Contents	2
PREFACE	5
I. Overview	7
A. The Board of Regents	7
B. University of Kansas	7
C. University of Kansas Medical Center	7
D. Organization and Administration of the Schools, Office of Academic Affairs, and Division of Student Services	8
E. Educational Programs	8
II. UNIVERSITY GOVERNANCE	11
A. Charter of the Governmental Bodies of the University	11
B. Organization of the Faculty Assembly	11
C. Bylaws of the Faculty Assembly	11
III. PERSONNEL	19
Part 1. Recruitment, Selection, and Appointment of Faculty and Administrators	19
A. General Guidelines for Recruitment and Selection	19
B. Faculty Selection and Appointments	19
C. Administrator Selection and Appointments	26
Part 2. Faculty Rights and Responsibilities	28
A. Rights	28
B. Responsibilities	30
Part 3. Faculty Conduct	32
A. Teaching – Research – Clinical	32
B. Potential Conflicting Relationships	34
C. Misconduct	36
Part 4. Conflict of Time, Conflict of Interest, Consulting and Other Employment	39
A. Kansas Board of Regents Policy on Conflict of Time, Conflict of Interest, Consulting and Other Employment	39
B. University of Kansas Medical Center Conflict of Interest and Reporting Requirements	42
Part 5. Review and Evaluation of Faculty and Administrators	43
A. Faculty	43
B. Administrators	55
C. Directors	57
Part 6. End of Appointment	57
A. Resignations	57
B. Retirement	58
C. Dismissal	58
D. Non-Reappointment	59
E. Expiration of Appointment	60
IV. COMPENSATION AND BENEFITS	61
A. Compensation	61

B.	Benefits – Insurance and Health Programs	63
C.	Retirement Benefits	63
D.	Additional Benefits	65
V.	LEAVE POLICIES	67
A.	Sabbatical Leave	67
B.	Vacation Leave.....	69
C.	Sick Leave.....	69
D.	Military Leave	69
E.	Bereavement Leave	69
F.	Shared Leave.....	69
G.	The Family and Medical Leave Act	70
H.	Other Leave With Pay	70
I.	Leave Without Pay	70
VI.	ACADEMIC RULES AND REGULATIONS	71
A.	Academic Calendar	71
B.	Admission, Registration and Enrollment.....	71
C.	Student Attendance	71
D.	Tests, Examinations and Final Examinations.....	71
E.	Grades.....	72
F.	Personnel and Academic Records	72
G.	Confidentiality of Student Records	72
H.	Misconduct by a Student	73
I.	Accommodations for Students with Disabilities.....	73
J.	KUMC Childbirth Accommodation Policy	73
VII.	RESEARCH ADMINISTRATION and INTELLECTUAL PROPERTY	74
A.	Overview.....	74
B.	University of Kansas Medical Center Research Institute, Inc.....	74
C.	University of Kansas Medical Center Compliance Services	78
D.	Intellectual Property	78
VIII.	GRIEVANCES AND APPEALS	80
A.	Introduction	80
B.	Definitions	80
C.	Types of Issues	82
D.	General Provisions	84
E.	Peer Review Committees	85
F.	Process to Resolve Allegations, Complaints, Grievances Complaint Procedure	85
G.	Infringement of Academic Freedom Complaint Procedure	90
H.	Improper Use of Social Media Procedure.....	94
I.	Promotion and Tenure Appeal Procedure.....	95
J.	Procedure for Appeal of Dismissal (Financial Exigency) and Infringement of Reinstatement Rights during Emergence of Financial Exigency.....	98
K.	Procedure for Appeal of Dismissal (Program Discontinuance)	98
L.	Procedure for Appeal of Suspension without Pay or Dismissal (Failure to Meet Academic Responsibilities, Personal or Professional Misconduct, Improper Use of Social Media, Discrimination, or Research Misconduct).....	98
M.	Flow Charts	100

IX. GENERAL POLICIES AND PROCEDURES	105
A. Equal Opportunity/Affirmative Action/Nondiscrimination – Policies and Procedures.....	105
B. Financial Exigency	109
C. Program Reviews	116
D. Program Discontinuance	117
E. Campus Speakers	121
F. Workplace Health and Safety.....	122
G. Interaction with Legislature	124
H. Other University Policies and Procedures	124
I. Methods for Amending this Handbook	124

PREFACE

Dear Colleagues:

This document constitutes the Handbook for Faculty at the University of Kansas City Medical Center (Kansas City, Salina, and Wichita). The Handbook includes policies, procedures, and regulations, with reference to information and other relevant policies concerning employment and professional activities at the University of Kansas Medical Center. All appointments to the faculty are governed by the policies and procedures in this Handbook, as well as other applicable policies and procedures, and published rules and regulations of the University of Kansas Medical Center (KUMC) and the Kansas Board of Regents.

- [Kansas Board of Regents Policies and Procedures](#)

Faculty engaged in the patient care setting are also governed by the bylaws and rules and regulations of the institutions in which they practice as well as the Patient's Bill of Rights.

This Revised Handbook is the result of work accomplished by a committee on the Handbook for Faculty at the University of Kansas Medical Center appointed August, 2014. Policies and procedures included in the Revised Handbook have received appropriate review and approval. The Revised Handbook was submitted to the Faculty Assembly Steering Committee and was approved by vote of the full faculty on April 27, 2016.

The University reserves the right to expand upon, alter, amend, or delete any provisions contained herein as may be deemed necessary or appropriate by the Administration. Accordingly, the policies described in this Handbook are not intended to create a contract between the University of Kansas and its employees. The online version of the Handbook will be updated by the Office of Academic Affairs as policy changes are approved and will be considered the official version at any given time.

Revisions in this Handbook are coordinated by the Vice Chancellor for Academic Affairs, with the assistance of the Faculty Assembly Steering Committee, vice chancellors, deans, University General Counsel, faculty, and others. Recommendations for changes or additions to this Handbook may be communicated to the Vice Chancellor for Academic Affairs or the University of Kansas Medical Center Faculty Assembly Steering Committee chairperson.

When a major reorganization of this Handbook is contemplated, a committee that includes representatives of all schools of the University of Kansas Medical Center including a representative from the Wichita campus shall be convened by the Vice Chancellor for Academic Affairs. Comments and recommendations for changes shall be invited from all interested parties. All proposed changes, additions, and deletions shall be reviewed by the Faculty Assembly Steering Committee and by the appropriate administrative offices. Such changes in policies and procedures shall be made only after their adoption through appropriate channels, such as the Faculty Assembly Steering Committee, Faculty Assembly, Vice Chancellor for Academic Affairs, the Executive Vice Chancellor and/or the Chancellor, and the Kansas Board of Regents.

Changes in policies and procedures that are adopted after the publication of any edition of

this Handbook are effective upon adoption and will be included in the next revision. The most current information on changes or policy can be found on the University of Kansas Medical Center's [Faculty Assembly Home Page](#). Electronic copies of the official Handbook will be housed in the Offices of the Executive Vice Chancellor, Legal Counsel, and Academic Affairs.

I. Overview

A. The Board of Regents

The University of Kansas is one of six state universities of higher education governed by the Kansas Board of Regents. Established in 1925 by the Kansas Legislature, the Board of Regents is a policy making body that consists of nine members who are appointed by the Governor with the advice and consent of the Kansas Senate. State law requires that no more than five members shall be identified with the same political party. Members of the board serve for overlapping terms of four years each.

The Board is assisted by a professional staff, which enables Regents to address questions of general policy. Normally, neither the Board nor its staff enters into the internal administration or operation of the University. However, administrative procedures prescribed by the agencies of the State of Kansas apply to the University, and much of the procedural detail that governs the operation of the University of Kansas is defined by state law or by regulations issued by the Kansas Department of Administration.

In its consideration of general policies affecting all state universities, the Board is generally guided by recommendations from the Council of Presidents that includes the chief executive officers of the six state universities. The Board meets monthly and meeting agendas and minutes can be found at: [KBOR Meeting Agendas and Minutes](#).

Board policies that address a variety of academic and personal matters pertaining to faculty members can be found in the Kansas Board of Regents Policy Manual.

B. University of Kansas

The chief executive officer is the Chancellor, who is named by and serves at the pleasure of the Board of Regents. As chief executive officer, the Chancellor administers the affairs of the University and is responsible and accountable for all its operations. The Chancellor oversees all campuses of the University of Kansas as well as research and educational centers.

In the actual administration of the University and the maintenance of relationships with the Board of Regents, the Legislature, and state agencies and offices, the Chancellor is assisted by staff that include the Provost/Executive Vice Chancellor for the Lawrence campus, the Executive Vice Chancellor for the Medical Center campus, the Vice Chancellor for Public Affairs, the Vice Chancellor and Chief Financial Officer, and the [University General Counsel](#).

C. University of Kansas Medical Center

The Chancellor has designated the Executive Vice Chancellor for the University of Kansas Medical Center as the principal administrative officer of the University of Kansas Medical Center. (Also see [Section III.1.C.](#)) The Executive Vice Chancellor is responsible for the direction, coordination, and supervision of the academic programs and activities of the University of Kansas Medical Center. The Executive Vice Chancellor is assisted by the members of the [leadership team](#) from across the University of Kansas Medical Center [organizational structure](#).

The schools that comprise the University of Kansas Medical Center are the School of Medicine (Kansas City, Wichita, and Salina campuses), the School of Nursing, and the School of Health Professions. The School of Medicine is led by the Executive Dean to whom the deans for the Wichita and Salina campuses report. The School of Nursing, the School of Health Professions, and the Division of Graduate Studies are each led by their respective dean. All deans report directly to the Executive Vice Chancellor. Each school dean (Executive Dean for the School of Medicine, Dean of the School of Nursing, Dean of the School of Health Professions) is responsible for student affairs, admissions, academic performance, and counseling within the school.

D. Organization and Administration of the Schools, Office of Academic Affairs, and Division of Student Services

The Schools of Medicine, Nursing, and Health Professions are organized internally as departments, sections, or programs. The heads of those units are appointed by and serve at the pleasure of the appropriate dean with the concurrence of the Executive Vice Chancellor.

The [Office of Academic Affairs](#) is headed by the Vice Chancellor for Academic Affairs who provides leadership and guidance for the academic units in the three schools and is the chief liaison to the Kansas Board of Regents for matters related to academic affairs at the University of Kansas Medical Center. The Office of Academic Affairs is divided administratively into divisions including Graduate Studies and Faculty Affairs. The [Office of Graduate Studies](#) provides administrative oversight of graduate programs on the University of Kansas Medical Center campus. The [Office of Faculty Affairs](#) coordinates faculty appointments, promotions, tenure, sabbaticals, and emeritus appointments as well as the maintenance of faculty records. The Dean of Graduate Studies is responsible for the graduate curriculum and graduate programs located on the campuses of the University of Kansas Medical Center, along with reviewing the performance of the schools in meeting their delegated responsibility for admission, advising, supervision, and retention of students, the approval of course changes, and the general monitoring of graduate programs. The Dean of Graduate Studies also oversees Graduate Faculty membership.

The chief administrative officer of the [Division of Student Services](#) is the Vice Chancellor for Student Services. The [Division of Student Services](#) is comprised of several subdivisions.

Academic matters that affect more than one school are subject to the rules and regulations of the University of Kansas Medical Center Faculty Assembly.

E. Educational Programs

The University of Kansas Medical Center strives to educate exceptional health care professionals through a full range of undergraduate, graduate, professional, postdoctoral, and continuing education [programs](#). All degree granting programs offered are governed by the Kansas Board of Regents. The administrative structure for oversight varies by programs offered.

1. Undergraduate

Undergraduate degree and certificate programs are approved and administered at the school level. New majors and undergraduate degree programs approved by the school must be submitted to the Vice Chancellor for Academic Affairs prior to forwarding to the Board of Regents. New certificate programs are submitted to the Kansas Board of Regents as an information item only.

2. Graduate

University of Kansas Medical Center Graduate Studies policies and regulations along with specific admission criteria and degree requirements for each [graduate program](#) are listed in the University's [Academic Catalog](#).

Subject to the controls of law and administrative review, the faculty of each graduate degree program establish admission standards, curricula, academic standards, and degree requirements that are then approved by the University of Kansas Medical Center Graduate Council, the Dean of Graduate Studies, and the Vice Chancellor for Academic Affairs with final approval coming from the Kansas Board of Regents. Any subsequent changes require approval of the Graduate Council, the Dean of Graduate Studies, and the Vice Chancellor for Academic Affairs and depending on the nature of the change, Kansas Board of Regents approval.

New graduate degree and certificate programs established in each school by the appropriate department chair and/or program director with concurrence of the appropriate dean and Executive Vice Chancellor (or designee), are submitted first for school level approval followed by approval of the University of Kansas Medical Center Graduate Council, the Dean of Graduate Studies, and the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs transmits approved proposals to the Kansas Board of Regents and shepherds the proposal through the Board of Regents approval process. New certificate programs are submitted to the Kansas Board of Regents as an information item only. Any subsequent changes to a program require approval by the Graduate Council, the Dean of Graduate Studies, and the Vice Chancellor for Academic Affairs and depending on the nature of the change, Kansas Board of Regents approval. In the case of a certificate program, the change would be sent to the Board as an information item only. A new track within an established degree program must be submitted for approval by the University of Kansas Medical Center Graduate Council, the Dean of Graduate Studies, and the Vice Chancellor for Academic Affairs. For new tracks, the Vice Chancellor of Academic Affairs would confer with the Kansas Board of Regents to determine if formal approval is required or if it may be sent as an information item only.

3. Professional

A variety of professional degree programs are offered by the [School of Medicine](#), the [School of Nursing](#) and the [School of Health Professions](#).

4. Graduate Medical Education

[Graduate medical education](#) programs within the clinical departments of the School of Medicine are established and supervised by the department chairs with concurrence of the Executive Dean of the School. Such programs are subject to review by the Accreditation Council for Graduate Medical Education.

5. Postdoctoral Scholars

The University of Kansas Medical Center established the [Office of Postdoctoral Affairs](#) as part of its continued commitment to the success of postdoctoral scholars as an integral part of the research enterprise of the institution. The Office of Postdoctoral Affairs, located within the Office of Academic Affairs and Graduate Studies works on developing non-research related training that enhances a postdoctoral scholar's development. The office also oversees policies and procedures, advocates on behalf of the postdoctoral community, and leverages campus and community resources to ensure the best possible experience for postdoctoral scholars and the success of scholars both during their postdoctoral appointment and in their transition to the next phase of their career, to become leaders in science and medicine.

6. Continuing Education

[Continuing Education and Professional Development](#) at the University of Kansas Medical Center serves the professional education needs of physicians, nurses, and other health professionals from Kansas, the nation, and around the world, providing interdisciplinary clinical and scientific activities that cover advances in clinical medicine, research, and patient care reflective of the medical center's clinical and research strengths and interests.

II. UNIVERSITY GOVERNANCE

A. Charter of the Governmental Bodies of the University

The structure of faculty and student participation in university government is based upon a charter, granted on March 20, 1969, by the Board of Regents.

[PREAMBLE – Charter of the Governance Bodies](#)

B. Organization of the Faculty Assembly

The Faculty Assembly is a joint body consisting of faculty of the University of Kansas Medical Center. Faculty are defined as appointed by the University of Kansas Medical Center on any track, at instructor, assistant professor, associate professor, or professor level by the School of Medicine (Kansas City, Wichita, and Salina campuses), the School of Nursing, or the School of Health Professions (with greater or equal to 50% FTE to vote). The Faculty Assembly contributes to the definition of educational goals, objectives, programs and policies of the Medical Center, as well as the planning and development of faculty and support for research. The group shall provide input to the administration on these matters.

The Faculty Assembly is composed of the following subdivisions: the faculty of the School of Medicine including the Kansas City, Wichita, and Salina campuses, the faculty of the School of Nursing, and the faculty of the School of Health Professions. Each school has its own faculty organization with appropriate standing committees.

The Faculty Assembly meets at least twice each year, and the presiding officer for the Faculty Assembly is the chair of the Faculty Assembly Steering Committee.

Standing committees of the Faculty Assembly include the steering, election, research, information resources, and faculty concerns committees.

C. Bylaws of the Faculty Assembly

1. Article I – Name

The Faculty Assembly of the University of Kansas Medical Center is established subject to the Bylaws that follow and to the Charter of the Senate of the University of Kansas. Hereinafter, assembly shall mean Faculty Assembly.

2. Article II – Object

The assembly shall be concerned with the definition of educational goals, objectives, programs and policies of the Medical Center and the planning and development of facilities and support for research. The assembly shall provide advice to the administration on these matters.

The Medical Center is defined as all educational programs and facilities under the academic control of the various faculty. Purely academic matters are reserved to the respective faculty. Implementation of faculty policies is a function of the administration. The assembly shall not be concerned with hospital functions or with purely intradepartmental affairs.

3. Article III – Membership

a. Section 1. Assembly Membership

The assembly shall be constituted of faculty who are appointed by the University of Kansas Medical Center on any track, at instructor, assistant professor, associate professor, or professor level by the School of Medicine (Kansas City, Wichita, and Salina campuses), the School of Nursing, or the School of Health Professions.

Each member of the assembly with greater or equal to 50% FTE appointment is entitled to one vote in actions of the assembly.

Members of the faculty with less than 50% FTE appointments or who are non-salaried as well as teaching associates are encouraged to participate in meetings and activities of the assembly and to function on assembly committees. They may be granted the privilege of debate, but they shall be ineligible to vote or to chair any committee.

b. Section 2. Subdivisions of the Faculty and the Assembly

The assembly shall be composed of the following subdivisions:

The School of Medicine faculty whose appointments indicate a role in the programs leading to a degree in medicine or advanced degree in basic sciences, or in post-M.D. education;

The School of Nursing faculty whose appointments indicate a role in programs leading to a baccalaureate and/or advanced degrees in nursing;

The School of Health Professions faculty whose appointments indicate a role in programs leading to a baccalaureate and/or advanced degree in health professions fields.

If members of the assembly hold appointments in more than one of the constituent faculties, those members must indicate their primary appointment for purposes of the committee appointments and elections of the assembly.

The graduate faculty in the Medical Center are appointed by, and act by authority of the Graduate Studies of the University of Kansas Medical Center. The graduate faculty are also members of one or more of the faculties listed in [Article III b\) Section 2 above](#).

c. Section 3. List of Assembly Members

A list of the official assembly members shall be compiled by September 1st annually by the Faculty Affairs Office.

4. Article IV – Meetings

a. Section 1. Regular Meetings of the Assembly

The assembly shall meet in the fall of each year to hear plans for the coming academic year and to conduct business.

The assembly shall meet in the spring to hear results of the elections and committee reports and to conduct business.

The date and time for these meetings shall be determined by the Steering Committee.

b. Section 2. Special Meetings of the Assembly

Special meetings of the assembly may be called by the Steering Committee or at the request of the Executive Vice Chancellor of the Medical Center.

The Steering Committee shall call a special meeting of the assembly at the request of the assembly members within 30 days upon receipt of a written petition signed by ten members of the assembly.

c. Section 3. Notice of Assembly Meetings

Notice of the time and place of meetings of the assembly shall be sent to all members at least one week in advance of each meeting. The agenda shall be included with the notice of the meeting.

When, in the opinion of the Steering Committee, an emergency exists, a meeting may be called on two days' notice. In this case, notice of the time and place of meetings of the assembly shall be sent to all members.

d. Section 4. Agenda for Assembly Meetings

The preparation of the agenda for assembly meetings is the responsibility of the Steering Committee.

Assembly members may recommend to the Steering Committee the inclusion in the agenda of certain items of business.

A member of the assembly, at any meeting, may move for discussion of certain business and, if this motion is passed by the majority of present voting members, the Steering Committee must include this business as an agenda item for the next regular or special meeting of the assembly.

e. Section 5. Presiding Office Assembly Meetings

The chair of the Steering Committee, or a designee, shall preside at meetings of the assembly.

f. Section 6. Minutes of Assembly Meetings

Minutes shall be kept of all assembly meetings and shall be distributed to all members after the meeting.

Suggested corrections to the minutes should be communicated to the Steering Committee chair for approval at the next regular meeting of the assembly.

Approved minutes shall be posted on the Faculty Assembly web site at

<http://www.kumc.edu/academic-affairs/faculty-affairs/faculty-governance/faculty-assembly.html>

g. Section 7. Quorum and Decisions

One-fifth of the assembly membership shall constitute a quorum to conduct business.

Business decisions shall be the will of the majority attending a regular or special meeting of the assembly, provided proper notice of the meetings was given [[See Article IV, Section 3](#)] and a quorum is present, unless a provision for a ballot has been made.

h. Section 8. Balloting on Assembly Decisions

An electronic ballot on a decision shall be required if 10% of the total assembly membership so demands at any meeting or if it is initiated by the Steering Committee. The procedure for an electronic ballot shall be as follows:

- i. The question shall be submitted by the Steering Committee to the assembly by an electronic ballot by the 10th business day following the meeting.
- ii. The electronic ballot shall be closed on the 10th business day following the distribution of the ballot.
- iii. The plurality shall decide. If less than one-fourth of the assembly members return their ballots, there is no vote and no decision of the question.
- iv. The question shall be announced to the assembly by e-mail, and the decision shall be in effect following the balloting closing date.

5. Article V – Standing Committees and Elections

The assembly standing committees are as follows:

- [Steering](#)
- [Election](#)
- [Research](#)
- [Information Resources](#)
- [Faculty Concerns](#)

a. Section 1. General Rules

All elected committee members shall be elected by the assembly for three-year terms beginning July 1, unless otherwise specified. Approximately one-third of the members shall be elected each year.

All committees shall have at least one elected member from each of the three schools. On all committees, at least one member shall also be a regular member of the graduate faculty.

Vacancies on the committees that arise after the annual election shall be filled with an appointment by the Steering Committee upon advice from the Election Committee. Those appointed shall serve out the term of the vacant position.

Each committee shall elect a chair from its membership and shall establish rules for the conduct of its affairs. These rules together with its minutes and annual reports shall constitute the permanent records of the committee and shall be open to the assembly membership at all times.

The chair shall be a member of the assembly, shall preside at the committee meetings, and shall be responsible for calling meetings and for communicating with the assembly and other committees as necessary.

Committees that become inactive may be reactivated by the Steering Committee.

b. Section 2. Elections

The Election committee shall obtain, examine, and certify the annual assembly membership roster as prepared by the Faculty Affairs Office. The committee shall make this roster available to any member of the assembly. The committee shall designate at the fall meeting the number necessary for a quorum.

The committee shall issue a call for nominations for all necessary committee positions by February 1 of each year. Self-nomination is encouraged and ensures a position on the ballot. No nomination shall be accepted after March 1.

Nominees shall not be included on the ballot without their consent. The committee may add nominees when necessary to ensure at least two nominees for each position and shall provide a means for including write-in candidates. The committee shall encourage participation from all schools of the Medical Center.

Elections shall be conducted by secure electronic means. Ballots shall be distributed electronically to the assembly members by April 1. Ballots shall be received by May 1st.

The committee shall receive the voting results. A plurality vote shall elect to each position. Should two or more equivalent vacancies exist in a committee, all nominees shall be candidates for these positions; the candidates with the largest number of votes shall be elected.

Should a tie vote occur, the Steering Committee shall cast the deciding vote, the decision being made by ballot.

The results of the election shall be reported to the assembly by email prior to June 1.

c. Section 3. Committees

Steering Committee. This committee shall be composed of 10 members. The

committee will consist of three elected tenured or tenure-track members of the assembly (one from each school), the chairperson of the Faculty Council of the School of Medicine, the chairpersons of the Steering Committees of the School of Nursing and the School of Health Professions, and the chairpersons of other standing committees of the assembly: Election, Faculty Concerns, Information Resources, and Research. The Executive Vice Chancellor or designee and the Steering Committee Representative to the Executive Vice Chancellor's Diversity and Inclusion Cabinet will be ex officio members (non-voting). A chair and chair-elect will serve the committee; the chair will serve for one year and the chair-elect will serve as chair in the following term. The chair and chair-elect positions will rotate sequentially from the elected at-large representatives of the School of Medicine to the School of Nursing to the School of Health Professions (for reference in 2015-2016, the chair was a representative from the School of Health Professions).

The Steering Committee shall have the duty and power to call and conduct meetings of the assembly, to prepare the agenda for such meetings, to appoint ad hoc committees, to fill vacancies on standing committees, to recommend the abolition or addition of standing committees, and to maintain the records of the assembly. This body should serve as a means by which faculty can present issues of common interest to the assembly for discussion and as a means to forward faculty concerns and recommendations to the administration. The chair will represent the faculty of the University of Kansas Medical Center campus at the Board of Regents meetings and will participate in the statewide Council of University Faculty Senate Presidents. The Steering Committee shall maintain a website for Faculty Governance.

Election Committee. This committee shall consist of six members of the assembly, with at least two new members being elected each year. The members shall not serve consecutive terms.

Research Committee. The Faculty Assembly Research Committee (FARC) shall be composed of seven members, including the chairperson of the Research Committee in the School of Medicine (Kansas City, Salina), the chairperson of the Research Committee in the School of Medicine (Wichita), the chairperson of the Research Committee in the School of Nursing, and the chairperson of the Research Committee in the School of Health Professions, as well as the three elected tenured or tenure-track members of the assembly. The chairperson of the University of Kansas Medical Center Research Advisory Council (RAC) will be an ex officio member of the committee. The committee shall appoint a chair each year (historically, the elected member of the assembly in the third year of their term), as well as a chair-elect (historically, the elected member of the assembly in the second year of their term).

The FARC facilitates and promotes faculty research at the University of Kansas Medical Center. Specifically, the FARC is responsible for reviewing policies related to research and making funding decisions including Faculty Travel Awards and Shared Biomedical Equipment Funds. Each year the FARC chair-elect will assist with

organizing and conducting Study Section review of proposals for the various internal research programs (e.g. Frontiers/Lied Basic Science/Clinical Pilot). The FARC shall also plan and carry out the Faculty Research Day annually, highlighting current faculty research and major research awards.

Information Resources Committee. This committee shall be comprised of seven members elected from the assembly, of whom at least four are tenured. One of these assembly members should be appointed as a representative to the Office of Graduate Medical Education. A student representative from Student Governing Council shall sit on the committee as a non-voting member. The Associate Vice Chancellor for Information Resources, the director of the library, and the chief information officer of the hospital will be ex officio members (non-voting).

The committee is concerned with the development of policies for the use of information resources facilities and for the growth of information resources. It establishes priorities to guide the use of available funds for the purchase of educational material. The committee recommends policy concerning the development, acquisition, and use of information resources pertaining to the research and educational missions of the faculty.

Faculty Concerns Committee. The committee shall be comprised of seven elected members: two tenured or tenure track members from the School of Medicine (Kansas City, Salina), two tenured or tenure track members from the School of Nursing, two tenured or tenure track members from the School of Health Professions, and one tenured or tenure track member from the Wichita campus of the School of Medicine. The Vice Chancellor for Academic Affairs and the Vice Chancellor for Administration will be ex officio (non-voting) members.

The committee considers requests for assistance relating to any faculty concern, except those of promotion and tenure issues. The committee assists the Steering Committee in resolution of concerns applying to members of the faculty. The Steering Committee may appoint additional ad hoc members based on specific expertise.

6. Article VI - Appointment, Promotion and Tenure Committees

Each school shall elect or appoint an Appointment, Promotion and Tenure Committee in accordance with the bylaws of the school. Each school committee shall review the qualifications of individuals being proposed for promotion and shall make recommendations to the dean. The dean shall make his or her recommendations to the Vice Chancellor for Academic Affairs who shall report the findings of the committee to the Executive Vice Chancellor of the University of Kansas Medical Center, who in turn shall submit a list of his or her recommendations to the Chancellor of the University of Kansas.

Specific guidelines for promotion shall be established within each school.

An Appeals Committee shall exist to consider individuals for promotion who have been denied recommendation by the school Appointment, Promotion and Tenure Committee. (See [Section on Faculty Grievance and Appeals](#)).

Tenure and the rank of any newly appointed faculty member at the level of associate professor or above shall be reviewed by the school Appointment, Promotion and Tenure Committee. Appointments at the level of teaching associate, instructor, and assistant professor shall be reviewed by the Appointment, Promotion and Tenure Committee at the option of the dean of the school or in accordance with the bylaws of the specific school.

7. Article VII – Parliamentary Authority

The rules contained in Robert's Rules of Order Newly Revised shall govern the assembly in all cases to which they are applicable and in which they are not inconsistent with these bylaws.

8. Article VIII – Methods of Amending These Bylaws

a. Section 1. Proposals to Amend

Amendments to these bylaws may be proposed by the Steering Committee.

Ten percent of the assembly may petition through the Steering Committee to amend these bylaws. The proposed amendment shall be submitted in writing with affixed signatures. The proposal must be presented to the assembly at the next meeting.

b. Section 2. Consideration of Amendments

Amendments may be considered at any meeting of the assembly, provided the members receive the proposed amendment one week before the scheduled meeting.

c. Section 3. Adoption of Amendments

Amendments may be adopted at the next regular meeting of the assembly by two-thirds of the votes cast, a quorum being present.

Amendments may also be adopted by a two-thirds vote of those members returning electronic ballots, provided one-fourth of the membership returns ballots.

III. PERSONNEL

Part 1. Recruitment, Selection, and Appointment of Faculty and Administrators

A. General Guidelines for Recruitment and Selection

Faculty recruitment and selection is initiated by the chair of the involved department or the hiring authority in a school with the initial approval of the dean of that school. Differences between schools and/or departments may require more specific approaches than are described herein. The University of Kansas Medical Center is an equal opportunity employer. (See [Section IX.A.](#)) Hiring authorities and search committees in each hiring process are responsible for complying with the University's recruiting and equal opportunity policies, [Recruitment and Selection Policy and Procedures](#), and [Nondiscrimination, Equal Opportunity, and Affirmative Action Policy](#).

B. Faculty Selection and Appointments

1. Selection

a. Process

Criteria and process for selection of each new faculty member will be established by the hiring authority involved and the search committee, and should be consistent with and supportive of the established mission and goals of the hiring unit and/or department, school and the University of Kansas Medical Center. Some differences in the process between schools, departments and/or units might be necessary, although each hiring authority and/or selection/search committee is responsible for complying with university policies and procedures as referenced in Section [III.Part 1.A](#) above.

b. Spoken English Language Competency of Individuals Requesting Employment as a Faculty Member

Consistent with Board of Regents policy, the University of Kansas Medical has implemented the following guidelines regarding Spoken English Language Competency of individuals requesting employment as a faculty member.

- i. All prospective faculty with teaching responsibilities, except for visiting professors, shall have their spoken English competency assessed prior to employment through interviews with their department chair(s), dean of their respective school(s), and at least one other faculty member and a student/students.
- ii. If there is some question about English competency, the prospective faculty member will be referred for testing to the ESL personnel in the Office of International Programs at the University of Kansas Medical Center. A minimum score of 50 on the Test of Spoken English (TSE) is required for eligibility for an appointment without conditions. Those scoring less than 50 on the TSE may be appointed to teach for one year on the condition that they enroll in appropriate English language instruction. Attainment of a minimum score of 50 on the TSE shall be required as a condition of reappointment. The ESL level of the faculty member must be documented.

- iii. Once spoken English competency is approved, a statement to that effect shall be placed in the individual faculty member's file that documents those participating in the interview process.

2. Appointments and Reappointments

The University of Kansas, as a member of the [Association of American Universities](#), adheres to the policy formulated by that organization with the exception that the University of Kansas hires on an ongoing basis. At the University of Kansas Medical Center, full-time appointments are made for either nine- or 12-month periods. The Initial Appointment and Reappointment Summary Guideline Table in Appendix A summarizes the initial appointment and reappointment of faculty by rank and prefix.

a. Faculty Ranks

- i. **Available Ranks.** The principal titles granted by the University of Kansas Medical Center to academic faculty to denote rank include:
 - professor,
 - associate professor,
 - assistant professor, and
 - instructor.
- ii. **Unmodified Titles.** These titles are applied without modification to tenured, tenure-track, and clinical scholar track faculty. Faculty with unmodified titles are expected to have responsibilities in all academic domains.
- iii. **Modified Titles.** The titles may be modified according to the faculty member's primary relationship with the University of Kansas Medical Center by the prefix clinical, research, or education. Prefixes such as visiting, adjunct, or courtesy may also be added to the principal title. Full-time educator or clinical track faculty may hold an unmodified title, but only at the discretion of the department chair or dean. Faculty with modified titles are expected to have responsibilities in at least one academic domain.
- iv. **Teaching Associates.** The title may be applied to individuals who do not hold a terminal degree (e.g. MD, PhD), but will be teaching students. This rank does not have voting privileges and is not counted in the overall faculty numbers for external reporting purposes. An annual faculty assessment is not required.
- v. All appointments are finalized by the Vice Chancellor for Academic Affairs, as designated by the Executive Vice Chancellor.

- b. **Faculty Tracks** (See [Appendix A](#) for additional track details. Also see [Kansas Board of Regents](#) [II.C.2.b.vi])
- i. **Tenure Track.** Tenure Track appointments are 1.0 FTE appointments with an initial probationary period of seven years. See [Section III, Part 5](#) for more information on the principles and criteria for promotion and the award of tenure.
 - ii. **Clinical Scholar Track.** Clinical Scholar Track appointments are 1.0 FTE appointments with no probationary period. Contributions are required in all domains, but this track has two career paths reflecting the primary contributions to the University of Kansas Medical Center:
 - a. **Clinician Educator.** Primary focus is teaching, with significant contributions in professional and academic service. Some research/scholarship is expected.
 - b. **Clinician Investigator.** Primary focus is research/scholarship, with significant contributions in professional and academic service. Some teaching is expected.
 - c. **Appointment Terms.** Contracts shall be renewable and the lengths shall be: Instructor - one year; Assistant Professor, Associate Professor, and Professor - one to three years. Three year contracts may be rolling contracts that, unless otherwise specified, annually shall roll over to create a new three-year term. The combination of initial and subsequent term contracts cannot exceed a total of four years, then must move to a rolling contract. All multi-year contracts will be annualized to July 1st.
 - d. **Termination.** If a term contract is not renewed prior to June 30th of the final contract year, the contract will terminate. The University of Kansas Medical Center may terminate a rolling contract by giving notice prior to June 30th of the year that the current contract will terminate. Contracts may also be terminated by the mutual agreement of the faculty member and the University.
 - iii. **Clinical Track.** The Clinical Track emphasizes professional service in clinical settings.
 - a. **Appointment Terms.** One-year appointments renewable annually or one- to three-year term contracts. These appointments carry modified titles and are available for full, part-time, and volunteer appointments. Clinical Track appointments may carry an unmodified title for 0.51 to 1.0 FTE, at the department chair or dean's discretion.
 - b. **Termination.** Standard annual renewal or contract termination rules apply.

- iv. **Research Track.** The Research Track emphasizes the conduct of research.
 - a. **Appointment Terms.** One-year appointments renewable annually. These appointments carry modified titles and are available for full, part-time and volunteer appointments.
 - b. **Termination.** Standard annual renewal or contract termination rules apply.
 - v. **Educator Track.** The Educator Track is intended for faculty members whose primary contributions are teaching and/or administration related to educational programs. At least 70% of effort must be toward teaching with the expectation of contributing to scholarship and service.
 - a. **Appointment Terms.** One-year appointments renewable annually or one- to three-year term contracts. These appointments carry modified titles and are available for full, part-time, and volunteer appointments. They may carry an unmodified title for 0.51 to 1.0 FTE, at the department chair or dean's discretion.
 - b. **Termination.** Standard annual renewal or contract termination rules apply.
 - vi. **Affiliate Track.** Participation in this track is available to individuals employed by several research institutes in the metropolitan area as well as selected other institutions that have formal affiliation agreements with the University of Kansas Medical Center for the purposes of research and education as approved by the Chancellor. These positions do not accumulate credit toward tenure but require a significant commitment of the individual to the research and/or educational mission of the University.
- c. **Volunteer Faculty.**
- i. Faculty members who are not paid through the University.
 - ii. Faculty volunteering services (e.g. preceptors and professional precepting in the community.)
 - iii. Volunteers will be provided with appropriate identification and given technological and faculty privileges to the University of Kansas Medical Center libraries upon request.
 - iv. Background information regarding Volunteer Appointments may be found on the [Office of Faculty Affairs website](#). School information and policies regarding volunteer faculty may be found on the website of each school.

d. Joint Appointments

Joint appointments at the University of Kansas Medical Center indicate substantial involvement of the faculty member with the teaching, research or service activities of more than one department.

- i. **Criteria.** Joint appointments may include activities such as teaching, supervising graduate students, conducting research, and/or service endeavors. The duties and responsibilities of the faculty member to the secondary department will be outlined in writing by the chair of the secondary department and agreed upon by the chair of the primary department and the faculty member at the time of the appointment.
- ii. **Rank.** Academic rank in the secondary department may be equal or less than in the primary department but can never be greater. When a faculty member's title is used, his/her primary appointment is always listed first. Ordinarily, a faculty member cannot hold more than two academic titles.
- iii. **FTE.** The primary department holds the FTE and budget responsibilities (if applicable) of the faculty member and is responsible for recommending prior credit toward tenure (if applicable), tenure, promotion, reappointment, salary level and all other matters relating to the academic or administrative affairs of the appointment.
- iv. **Procedure.** A secondary appointment must be recommended by both the primary and secondary departmental chair and approved by the appropriate dean(s) and the Executive Vice Chancellor (or designee).
- v. **Terms.** In accordance with university policy, joint appointments can be made for three years and are subject to annual review by the department chair and faculty member.
- vi. **Termination.** Termination of the secondary appointment may be initiated by either the primary or secondary departmental chair or by the faculty member. The faculty member, chair of both departments, and deans of the schools involved must be notified in a timely fashion. It is the responsibility of the dean of the school in which the secondary appointment resides to notify Faculty Affairs of the termination of the joint appointment.

Web link: [Office of Faculty Affairs: Joint Appointment Form \(includes Policy\)](#)

e. Transfer between Appointment Categories

Any such appointment transfers must be made in specific compliance with parameters approved by the [Kansas Board of Regents](#) (II.C.2.b.vi.[d]).

- i. **Tenure Track to Non-Tenure Track.** Full-time faculty members may apply for a one-time, one-way transfer from the tenure track to a non-tenure track. Upon mutual agreement, transfers from tenure track to non-tenure track can be made.

- ii. **Non-Tenure Track to Tenure Track.** Full-time faculty members may apply for a one-time, one way transfer from a non-tenure to the tenure track. Time and rank in the non-tenure track does not count toward the probationary period to obtain tenure. The probationary period for earning tenure starts the day the transfer is effective.
- iii. **Non-Tenure Track to Non-Tenure Track.** Transfers between two non-tenure tracks (e.g., clinical scholar to clinical), may occur as needed and at any time during the faculty member's appointment.

f. **Graduate Faculty Appointment:**

In addition to the primary faculty appointments overseen by the Office of Faculty Affairs, an individual may hold a graduate faculty appointment as described at <http://www.kumc.edu/academic-affairs/graduate-studies/graduate-faculty.html>. Graduate faculty appointments are approved by the Dean of Graduate Studies.

Web links: [Office of Faculty Affairs](#) and [Kansas Board of Regents](#) (II.C.2.b)

3. Special Designations

a. **Emeritus Faculty Designation**

Emeritus/Emerita status is an honorary title awarded to a retiring faculty member or administrator for extended meritorious service.

- [Kansas Board of Regents Emeritus/Emerita status](#) (II.C.15)
- i. **Designation.** The title of professor emeritus may be granted to any retiring member of the faculty who has had a regular appointment at the full professorial rank or has reached the highest rank of attainment in administration and has served the institution for a significant period of time with distinction. The title of associate professor emeritus may be granted to any retiring member of the faculty with a regular appointment at the associate professor rank who has served the institution for a significant period of time with distinction.
- ii. **Retirement.** Persons retiring from the University who do not receive the title of emeritus shall receive no title designation.
- iii. **Procedure to Request Emeritus Designation.** Recommendations for such status should be initiated by the department chair and require the approval of the following: the dean, the Vice Chancellor for Academic Affairs, the Executive Vice Chancellor, and the Chancellor.
- iv. **Appointment.** A Certificate of Emeritus Status will be presented to the member of the faculty who will continue to be listed as a member of the faculty (non-voting) until such time as a request is made for removal from the rolls. Emeritus faculty are expected to continue to observe the same professional standards and behavior required of the University of Kansas Medical Center active faculty.

- v. **Renewal.** Emeritus faculty status is granted as a continuous appointment and does not require renewal.
- vi. **Privileges Extended to Persons Obtaining Emeritus Status.**
 - a. Such faculty may take membership in the University of Kansas Alumni Association and participate in benefits extended.
 - b. Faculty members will remain on university and departmental mailing lists.
 - c. Tickets to athletic, theater, and music events will be available on the same basis as for faculty members.
 - d. Certain additional courtesy benefits are extended by the University Theater, University of Kansas School of Fine Arts, University libraries, and parking services. Information on specific programs is available on request from these departments.
 - e. Office and/or research space may be provided where it will benefit and not compromise the institution.

b. **University Distinguished Professors and Distinguished Professor:**

The title of University Distinguished Professors recognizes those faculty members who have made outstanding contributions to research, scholarship, and teaching/education at the University of Kansas Medical Center over a sustained period of time. The title of Distinguished Professor recognizes faculty with a distinguished academic career at another academic institution who are being recruited to a faculty position at the University of Kansas Medical Center.

- i. **Nominations.** Nominations will normally be initiated at the department or school level by an individual or group in the appropriate discipline or by an interdisciplinary group. Each department and/or school may choose to designate an advisory committee to review and comment on such nominations. The University Distinguished Professor Committee, comprised of current University Distinguished Professors, shall encourage and may assist in the recruitment of nominees to these professorships.
- ii. **Criteria.** The major criteria for selection of University Distinguished Professors and Distinguished Professors are as follows:
 - a. Faculty rank of Professor.
 - b. A distinguished record of scholarship. Although this criterion is highly dependent on the area, a nominee should be a recognized leader in his or her field and should rank among the most eminent scholars in his or her field in this country and usually possess an international reputation.
 - c. Evidence of reviewed extramural grant funding over their career.
 - d. A proven record of interest and concern with growth and success of their institutions, colleagues, and students.

- e. Demonstrated breadth of involvement in related fields as exemplified by participation in university affairs and professional organizations.
 - f. A notable record of service to his or her discipline at the local, state, regional, national, and/or international level.
 - g. For University Distinguished Professors, it is important that the appointment not be made merely as a reward for duration of service.
- iii. **Process.** The individual or group initiating the nomination is responsible for providing information and supporting materials as outlined in [Required Documentation for University Distinguished Professor and Distinguished Professor](#) found on the Office of Academic Affairs website. Files should be forwarded electronically to the Vice Chancellor for Research for review by the University Distinguished Professor Committee. All nominees shall be considered in accordance with the University policy on [Nondiscrimination, Equal Opportunity and Affirmative Action](#).
 - iv. **Decision.** The University Distinguished Professor Committee will make its recommendation regarding the qualification of nominees for university distinguished professorship or distinguished professorship and send this recommendation to the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs will add his or her recommendation regarding the qualification of nominees for university distinguished professorship or distinguished professorship. Both recommendations will be submitted to the Executive Vice Chancellor who shall make the final decision regarding the outcome of the University Distinguished Professor/Distinguished Professor nomination(s). The Vice Chancellor for Research, Vice Chancellor for Academic Affairs, the University Distinguished Professor Committee, dean of the appropriate school, and nominee will be notified of the decision.
- c. **Emeritus and University Distinguished Faculty or Distinguished Professor.** In the event that a faculty member has attained the distinction of being named a University Distinguished Professor, he or she shall be entitled to retain the title of University Distinguished Professor Emeritus or Distinguished Professor Emeritus.

C. Administrator Selection and Appointments

1. The Administrative Responsibility

State law places the responsibility for the administration of the University of Kansas on the Chancellor, who is the chief executive officer of the institution and who is enjoined to act in accordance with the policies established by the Board of Regents. In turn, the Chancellor has designated the Executive Vice Chancellor as the principal administrative and academic officer of the Kansas City, Wichita, and Salina campuses of the University of Kansas Medical Center. The Chancellor has delegated authority to the Executive Vice Chancellor to make

employee appointment decisions for staff (Unclassified Professional Staff and University Support Staff), including appointments, discipline, and termination. The Executive Vice Chancellor may further sub-delegate this authority and also has the right to withhold authority to take certain personnel actions on a case to case basis.

2. Executive Vice Chancellor

The selection and appointment of the Executive Vice Chancellor (EVC) of the University of Kansas Medical Center is the responsibility of the Chancellor of the University of Kansas. The Executive Vice Chancellor of the University of Kansas Medical Center serves at the pleasure of the Chancellor. A review process may be initiated at the discretion of the Chancellor to evaluate the administrative performance of the Executive Vice Chancellor.

3. Acting Chairs, Deans, and Vice Chancellors

Deans, vice chancellors, and other administrative officers are legally accountable to the Chancellor and serve at his or her pleasure and at the pleasure of the Executive Vice Chancellor of the University of Kansas Medical Center. If it is deemed necessary to appoint an individual to serve as a chair, dean, or vice chancellor on an acting basis, the following protocol will be followed:

a. Acting department chairs

Acting department chairs will be named by the dean of the school, with the approval of the Executive Vice Chancellor. Acting chairs serve at the pleasure of their dean. In the case of an acting clinical chair appointment in the School of Medicine at the Kansas City campus, the Chief Executive Officer of the University of Kansas Hospital will be consulted.

b. Acting deans

Acting deans will be named by the Executive Vice Chancellor, with the approval of the Chancellor.

c. Acting vice chancellors

Acting vice chancellors will be named by the Executive Vice Chancellor and the Chancellor.

4. Associate or Assistant Chairs, Deans, and Vice Chancellors

Associate and assistant administrators serve at the pleasure of their respective chief administrators and may be designated by them. It would be assumed, however, that the designee is acceptable to those with whom he or she will be dealing. Designation of associate and assistant chairs, deans, and vice chancellors shall be approved by the dean of the school involved and the Executive Vice Chancellor.

5. Directors

Directors serve at the pleasure of the administrator to whom they report.

6. Summary Guidelines for Selection of Administrator Vacancy

At all organizational levels within the University of Kansas Medical Center, an administrator must be responsive, directly or indirectly, to faculty and to students as well as other administrators. An administrative officer's responsibilities frequently will extend to

constituencies beyond the Medical Center. The selection and conditions of service of administrative officers must reflect these considerations. See chart summarizing the guidelines for selection of administrator vacancy in [Appendix B](#).

Part 2. Faculty Rights and Responsibilities

A. Rights

1. All Faculty

The following enumeration of rights shall not be construed to deny or disparage other rights retained by faculty members as members of the University community or as citizens of the community at large.

- a. Freedom of inquiry, expression, and assembly are guaranteed to all faculty members. Also academic freedom, as further described below.
- b. The right of faculty members to be secure in their persons, offices, laboratory, papers, and effects against unlawful searches and seizures is guaranteed.
- c. Faculty members are subject to disciplinary action for conduct described in [Section III Part 3.C](#). Misconduct. A faculty member has access to peer review regarding allegations of misconduct, claim of infringement of academic freedom, and denial of promotion and/or the granting of tenure.
- d. No disciplinary sanctions listed in [Section VIII.6](#) may be imposed upon a faculty member without notice of the charges against the member and an opportunity for a hearing before an investigative committee. At any such hearing, the faculty member shall have all rights afforded under the Faculty Grievance Procedures outlined in [Section VIII](#). Faculty may also have certain rights to appeal some decisions that have a negative impact on them.
- e. Faculty members, groups and organizations may invite and hear any persons of their own choosing subject only to the requirements for use of the Medical Center as defined in [Section IX.E](#).
- f. Faculty members shall have the right to participate in the determination of school, department and university policies as stated in the Rules and Regulations of the Faculty Governance.
- g. Subject to reasonable conditions imposed to regulate the timeliness of requests, to determine the appropriateness of the space and time of use requested, and to ensure proper maintenance, as well as the [KUMC Public Assembly Policy](#), Medical Center facilities shall be made available for assignment to faculty members, individually or in groups, even though not formally organized; preference will be given to instructional programs designed for audiences from the Medical Center community.
- h. Faculty members, groups, or organizations may distribute written material on campus without prior approval. The person or persons responsible for such material must be clearly indicated. Materials posted on bulletin boards must be approved by the Vice Chancellor for Administration. The use of campus mail or e-mail for political purposes is not permitted. The use of campus mail or e-mail for solicitation requires prior approval by the Office of the Executive Vice Chancellor.

2. Academic Freedom

The University of Kansas has a long tradition of dedication to the principles of academic freedom and has sought to implement these principles as they are embodied in the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors and the American Association of Colleges. The University's position on academic freedom is therefore fully reflected by the following paragraphs from the AAUP statement: (<http://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>)

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.

College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as a citizen, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institutional spokesman.

Academic freedom does not relieve faculty from the obligation to conform to other requirements and policies of the Board of Regents, the academic unit, the University, or the discipline on matters of course coverage or content, research methods and safeguards, class requirements, and use of social media.

- [Use of Controversial Material in Instruction](#) (II.F.7)
- [Use of Social Media by Faculty and Staff](#) (II.F.6)

Moreover, academic freedom is subject to regulation and policies in furtherance of the Universities mission.

- [Statement on Interference with Conduct of Institution](#) (II.F.2)

This Board of Regents policy identifies actions that may be taken when faculty unnecessarily or unreasonably obstruct or interfere with the teaching, research, or learning functions or other normal and necessary activities of a state university, or actions that create an imminent threat of danger to persons.

3. Tenure Track and Tenured Faculty

After the expiration of a probationary period, faculty members on the tenure track should have the right to seek permanent or continuous tenure. Upon the granting of tenure, tenured faculty services should be terminated only for adequate cause, except in the case of a retirement, program or unit discontinuance, or under extraordinary circumstances because of financial exigency.

B. Responsibilities

1. Teaching – Research – Service

The responsibilities of the faculty as a whole are multiple and are not to be construed as narrowly limited to any specific list. The same is true of the responsibilities of individual faculty members. Nonetheless, the major responsibilities are traditionally divided into teaching or its professional equivalent, research/scholarship, and service. These are the areas considered in establishing criteria for awarding promotion and tenure and in other formal faculty evaluations. Although each faculty member is expected to perform at least adequately in all three areas over time, outstanding effort or performance in any one area because of institutional needs or personal inclinations may, with the approval of the department chair or dean, offset less effort (but not below acceptable performance) in another area in any given year or approved period of time.

a. Teaching

Faculty who teach are expected to teach courses in their department or school in accordance with the needs, requirements, and expectations thereof and the general requirements concerning the conduct of teaching/learning activities. Members of the faculty are expected to meet their obligations in teaching classes and evaluating students in a timely manner. Good teaching requires continual application and effort. Faculty who teach are expected to keep abreast of new developments in their fields and must maintain credentials as scholars so that they are part of the creative process by which the frontiers of knowledge and culture are continually being expanded. A teacher should be engaged with his or her specific discipline and should be able to convey to the students the value of the subject.

Teaching duties include not only classroom (in person or on-line) and/or clinical learning activities but also such duties as: preparing course syllabi, lectures and examinations, being available for consultation, supervising independent work undertaken by students, directing theses and dissertations, evaluating students, advising, and participating in curriculum planning. Faculty are expected to treat students with courtesy and to respect their rights, including, but not limited to, academic freedom and those rights outlined in [Student Rights and Responsibilities](#). To the extent that a University of Kansas Medical Center faculty appointment involves patient care, the faculty member recognizes his or her duty to train and supervise students, medical residents, and/or fellows. The faculty member is responsible for the actions of students, medical residents, and fellows who are involved in the care of the faculty member's patients and acting under his or her direction and control.

b. Research

Research includes critical evaluation, discovery, and interpretation. Research appropriate to one's department and field is more specifically defined by each department or field in its criteria for promotion and tenure. Publication is the usual outlet for research.

c. **Service**

Service covers faculty activity in a number of different areas:

- i. **Clinical service.** This includes all aspects of patient care. For faculty involved in patient care, competent and patient centered care is provided considering the rules and regulations of the institutions in which they practice as well as the Patient Bill of Rights.
- ii. **Service to the academic unit.** Service to the academic unit is expected. Members of the academic unit participate in the decision making necessary for the optimal operation and development of the academic unit. Faculty members are typically expected to attend faculty and unit meetings; to serve on committees; to contribute to planning, development, and scheduling activities of the academic unit; and to refrain from activities that disrupt proper operations of the academic unit.
- iii. **Service to the school and the University.** Faculty members are expected to participate in their fair share of committee work at the school and university levels.
- iv. **Service to the profession.** Faculty members are expected to be active in their professional fields. This includes belonging to and taking part in professional activities on the local, regional, national, and international levels, although not all faculty will be active on all these levels.
- v. **Service to the community, state, nation and world.** This use of one's academic expertise to help community, state, nation, and world is appropriate service, although the extent to which one contributes outside the University depends on one's field, inclination, opportunity, and other relevant factors.

2. Additional Faculty Responsibilities

Of the many responsibilities of faculty members, the following are enumerated because of their importance to the maintenance of appropriate faculty-student relations:

a. **Protection against Improper Disclosure**

Information about student views, beliefs, and political association that faculty acquire in the course of their work as instructors, advisors and counselors should be considered confidential. An improper disclosure is a serious professional offense. Judgments of student ability and character may be provided under appropriate circumstances, normally with the knowledge or consent of the student.

b. **Privacy of Records**

Faculty members shall accord respect to the essentially confidential relationship between the faculty/staff and the students by preserving to the maximum extent possible the [privacy of all records relating to students](#).

Part 3. Faculty Conduct

A. Teaching – Research – Clinical

1. Statement on Professional Conduct

The American Association of University Professors (AAUP), at its 73rd Annual Meeting in 1987, endorsed the following [“Statement on Professional Ethics.”](#) It is a revision of a statement originally adopted in 1966.

The University of Kansas Medical Center concurs with the Statement on Professional Ethics that follows for all its academic members.

Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. His or her primary responsibility to his or her subject is to seek and to state the truth as he or she sees it. To this end, he or she devotes his or her energies to developing and improving his or her scholarly competence. He or she accepts the obligation to exercise critical self-discipline and judgment in using, extending and transmitting knowledge. He or she practices intellectual honesty. Although he or she may follow subsidiary interests, these interests must never seriously hamper or compromise his or her freedom of inquiry.

As a teacher, the professor encourages the free pursuit of learning in his or her students. He or she holds before them the best scholarly standards of his or her discipline. He or she demonstrates respect for the student as an individual, and adheres to his or her proper role as intellectual guide and counselor. He or she makes every reasonable effort to foster honest academic conduct and to assure that his or her evaluation of students reflects their true merit. He or she respects the confidential nature of the relationship between professor and student. He or she avoids any exploitation of students for his or her private advantage and acknowledges significant assistance from them. He or she protects their academic freedom.

As a colleague, the professor has obligations that derive from common membership in the community of scholars. He or she respects and defends the free inquiry of his or her associates. In the exchange of criticism and ideas, he or she shows due respect for the opinions of others. He or she acknowledges his or her academic debts and strives to be objective in his or her professional judgment of colleagues. He or she accepts his or her share of faculty responsibilities for the governance of his or her institution.

As a member of his or her institution, the professor seeks above all to be an effective teacher and scholar. Although he or she observes the stated regulations of the institution, provided they do not contravene academic freedom, he or she maintains his or her right to criticize and seek revision. He or she determines the amount and character of the work he or she does outside his or her institution with due regard to his or her paramount responsibilities within it. When considering the interruption or termination of his or her service, he or she recognizes the effect of his or her decision upon the program of the institution and gives due notice of his or her intentions.

As a member of his or her community, the professor has the rights and obligations of any citizen. He or she measures the urgency of these obligations in the light of his or her responsibilities to his or her subject, to his or her students, to his or her profession, and to his or her institution. When he or she speaks or acts as a private person he or she avoids creating the impression that he or she speaks or acts for his or her college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

2. Standards of Teaching Conduct

- a. Every instructor shall make clear, at the beginning of each course, his or her rules for the preparation of assignments, collateral reading, or other outside work.
- b. In keeping with the accepted standards of professional ethics, faculty members are expected to avoid relationships that may lead to potential conflicts of interest in their roles as teacher, advisor, and evaluator of students. (See [KUMC Relationships Policy](#))

3. Guidelines for Conduct of Research and Publication

Science is best served by careful attention to accuracy and reproducibility of results within and among groups of investigators. Because each research unit addresses different scientific problems with different methods, each faculty member should seek mentorship and guidance to identify practices that seem most likely to enhance the quality of research conducted in their unit.

- a. Graduate students, postdoctoral scholars and other research trainees should be under the guidance of a faculty member/faculty members who is/are responsible for supervision of the trainee's research. The ratio of trainees to faculty preceptors should be small enough to encourage close interaction in all aspects of the research, including concepts, design of experiments, techniques, data analysis, and preparation of data for publication. Interaction among trainees and faculty in the form of discussion and presentation of research in progress should not be limited to one faculty member and his or her trainees but should involve members of associated research groups. Often this interaction will be along departmental lines, but interdepartmental interactions in research are also encouraged. Such interactions should be directed both to contribute to the research efforts of the groups and to provide informal peer review.
- b. Custody of all original research data must adhere to guidelines established by the [University of Kansas Medical Center Compliance Services](#).
- c. The only criterion for authorship of a manuscript is that an individual has made a significant contribution to the research. Technical services are not sufficient reason for authorship unless there has been substantive scientific interaction between the individuals involved. When a trainee is preparing a manuscript, the faculty member responsible for the trainee should review the manuscript and give advice before approving the final draft. All authors should review and approve the final draft before submission for publication.

- d. Review for appointment or promotion will focus on the quality/scientific merit of scholarly productivity publications rather than the number of publications.
- e. Faculty members should discourage trainees from preparing manuscripts without adequate tests of reproducibility or assessment of significance or from preparing multiple manuscripts differing only slightly in content.
- f. Research performed by University of Kansas Medical Center faculty, at any campus location, and staff supervised by the faculty member must conform with the compliance guidelines set forth by the University, the KUMC Research Institute, and any applicable affiliate entity.

4. Standards of Conduct in the Clinical Setting

- a. Members of the faculty who have clinical responsibilities must demonstrate competence, adhere to the ethical standards of their professions, and work harmoniously with others of the healthcare team to ensure that patients receive safe, high-quality care.
- b. Clinical faculty members may have specific reporting responsibilities related to patient care, risk management, and institutional safety.
- c. If all of a faculty member's clinical privileges are terminated, this may constitute grounds for removal of clinical teaching status in the University of Kansas Medical Center or termination of employment.

B. Potential Conflicting Relationships

1. Interpersonal Relationships

The University of Kansas Medical Center is committed to providing an academic community environment that fosters intellectual, professional, and personal growth without discrimination. Central to the preservation of this environment is the trust that should characterize all interactions between students and faculty, working toward the common educational goal of the institution. Faculty members are expected to avoid relationships that may lead to potential conflicts of interest in their role as teacher, advisor, and evaluator of students. Trust is put at risk when members of the University community engage in consenting romantic or sexual relationships that involve individuals of unequal power whether they be students, trainees, staff, or other faculty members, for example, administrator and faculty member, faculty member and student, supervisor and employee. Because the University strongly disapproves of consenting relationships where a professional power differential exists, the following policy statement was developed:

- a. A faculty member will always be treated as having such a power differential if the student is in an educational experience where the faculty member has evaluative authority; for example, when a faculty member assigns grades or serves on thesis, dissertation, or scholarship awards committees. These principles also apply to administrators and supervisors in their relationships with students and faculty.
- b. In the view of the University, romantic or sexual relationships between individuals of unequal power, even if consenting, are unwise and often contrary to professional ethics. Such a relationship tends to impair one's ability to make an objective judgment of the performance of the student or employee.

- c. Decisions concerning grades, degrees, promotions, merit increases, and awards must be made free from any trace of bias or favor. Such decisions may be suspect when made by those who have an emotional relationship, beyond the purely professional or academic one, with those who benefit from those decisions. Even the mere appearance of bias may seriously disrupt the academic or work environment.
- d. The individual in authority bears the primary responsibility for any negative consequences resulting from an even apparently consenting romantic or sexual relationship. It is the student or the employee, not the instructor or supervisor, who is most at risk in these relationships. In particular, the respect and trust accorded a professor by a student, as well as the legitimate power exercised by the professor in giving grades, criticism, praise, recommendations for further study, future employment, and the like, greatly diminish the student's actual freedom of choice should sexual favors be added to the professor's demands. Although it is proper for a student to decline any personal relationship of this kind, a student may perceive that few options are available when a professor makes personal or sexual overtures. As a result, the degree of informed consent that exists within such a relationship is difficult to establish. Should there be a charge of sexual harassment, a claim of mutual consent may be difficult to sustain.
- e. Commonly accepted standards of professional behavior and ethics require that faculty members not hold evaluative power over any student with whom they have a romantic or sexual relationship. Thus, faculty members should not initiate or enter into such a relationship with a student over whom they have an evaluative role. Should such a relationship exist between a faculty member and a student, the faculty member must remove himself or herself from the professional role.

Similar proscription applies to administrators and supervisors in their relationships with students and employees over whom they have an evaluative role. A supervisor who is in a romantic or sexual relationship with another individual over whom he or she has evaluative responsibility must remove himself or herself from personnel decisions concerning that individual, such as appointment, retention, promotion, discipline, tenure, or salary. Failure to do so will be a conflict of interest.

2. Political Activity and Lobbying

a. Political Activity

The Board of Regents has adopted the following [Policy on Political Activity](#) (II.C.13).

Faculty, administrators, and other unclassified personnel including university support staff may accept any public or political party appointed or elected position that does not create any conflict of interest and does not require substantial time away from assigned duties or in other respects infringe upon those duties.

The filing of a declaration of intent to become a candidate shall not affect the status or appointment of an unclassified employee including university support staff. However, the employee shall continue to properly and fully perform all of his

or her assigned duties or take appropriate leave if available. Should the employee, while he or she is a candidate for office and not on approved leave, fail to perform all of his or her assigned duties, such employee shall be subject to appropriate disciplinary action.

Leave without salary or other benefits will be granted to those elected or appointed to public office requiring full time or lengthy sustained periods away from assigned duties, such as Congress, the Kansas Legislature, and state and county offices or appointments to office falling within this category. For persons elected or appointed to Congress or the Kansas Legislature, this provision shall be effective from the date such person takes the Oath of Office or the first day of the Legislative session and continuing until the adjournment of Congress or to a date no sooner than the last adjournment in April or sine die adjournment, whichever occurs first, of each regular and special session of the Kansas Legislature; as to other state and county offices requiring full time or lengthy sustained periods away from assigned duties, this provision shall be effective during the entire time a person serves as such officer. Leave without salary or other benefits shall not be required for any person serving in the Kansas Legislature or for service on any committee during a period when the Legislature is not in regular or special session, provided that such person shall decline to accept all legislative compensation for such service, but such person shall be entitled to mileage and other expense allowances as provided by statute and paid by the Legislature. K.S.A. 2011 Supp 74-4925(5) provides that any member of the Kansas Legislature who is on leave of absence from the Board of Regents or an educational institution under its management may elect to remain eligible for participation in the Board of Regents' retirement plan while on such leave

In the interest of the fullest participation in public affairs, personnel are free to express opinions speaking or writing as an individual in their personal capacity and not as a representative of the institution in signed advertisements, pamphlets and related material in support of or opposition to parties and causes. There will be the commensurate responsibility of making plain that each person so doing is acting for himself and not on behalf of an institution supported by tax funds drawn from citizens of varying political and economic views. This responsibility includes avoiding the use of university letterhead and stationery and other official university designation. Employees testifying before the Legislature on behalf of outside entities shall notify their institution's designated representative prior to such testimony.

b. Lobbying Regulations

Any faculty efforts to support or oppose either legislation or regulatory action that ties the identity of the faculty member to the University should only be carried out after consultation with the Office of the General Counsel. All expenditures made to entertain, or otherwise influence, legislators or other state officials should be reported before the fact to the Executive Vice Chancellor's Office and the Chancellor's Office.

C. Misconduct

1. Categories of Misconduct.

Misconduct falls into the following categories:

- a. Failure to meet academic responsibilities may constitute willful failure of a faculty member to carry out his/her academic responsibilities. This shall include, but is not limited to, grading student work by criteria other than academic performance or willful neglect in the discharge of duly assigned duties. Cumulative absences or failures to perform in less grievous matters are more serious than occasional lapses over long periods of time.
- b. Violation of published University of Kansas Medical Center and Kansas Board of Regents policies.
- c. Knowingly furnishing false information to the University of Kansas Medical Center by forging, altering, or misusing documents or instruments of identification with intent to defraud.
- d. Behavior in the discharge of his or her duties that violates commonly accepted standards of professional ethics, such as the policy on Consenting Relationships, Protection against Improper Disclosure, and ethics governing health professions practice. Abusive or unprofessional treatment of students, faculty or other members of the University falls within this category. Repeated infractions of one's responsibilities, whether or not informal or formal admonitions, warnings or reprimands have occurred, are more serious than initial infractions of the same type.
- e. Harassment or discrimination on the basis of race, color, ethnicity, religion, sex, national origin, age, ancestry, disability, status as a veteran, sexual orientation, marital status, parental status, gender identity, gender expression and genetic information in violation of University of Kansas Medical Center policy ([Discriminatory Conduct](#)).
- f. Plagiarism, misrepresentation or fraud in educational activities, presentations, and published works.
- g. Fabrication and falsification of research or otherwise acting dishonestly in research ([Research Misconduct](#)).
- h. Committing an act that involves such moral turpitude as to render the faculty member unfit for his/her position. As used in this section, conduct involving moral turpitude means intentional conduct that is gravely injurious to another person or to society and that constitutes a substantial deviation from the accepted standards of duty owed by a person to other people and society.

2. Allegation of Misconduct

- a. An alleged instance of misconduct by a faculty member is initially directed to the department chair/associate dean and to the appropriate dean. The alleged instance of misconduct may result in a verbal admonition to improve or change one's behavior and negative comments concerning one's performance such as that stated in the annual evaluation. Repeated negative comments concerning a faculty member's performance as stated in the annual evaluation may trigger post-tenure review or recommendation for dismissal. (See Annual Faculty Evaluation in [Section III.Part 5.](#))

- b. The matter of misconduct may progress to the Vice Chancellor of Academic Affairs as necessary. Allegation/complaint/grievance of misconduct brought to the Vice Chancellor of Academic Affairs shall follow procedures outlined in Grievances and Appeals. (See [Section VIII.](#))
- c. Instances of misconduct may result in a recommendation by the Executive Dean of the School of Medicine (in consultation with the appropriate regional dean), Dean of the School of Nursing, or Dean of the School of Health Professions to the Vice Chancellor for Academic Affairs that the faculty member be disciplined or dismissed. The recommendation shall follow procedures outlined in Grievances and Appeals. (See [Section VIII.](#))
- d. Instances of misconduct, where the faculty member does not carry out his or her academic responsibilities (see [Section III.Part 2.B.1](#)) or other responsibilities (see [Section III.Part 2.B.2](#)), may result in the placement of the faculty member on administratively determined leave without pay by the appropriate dean with the approval of the Executive Vice Chancellor. When such leave without pay is imposed, the dean shall notify the faculty member of the action and provide the reasons for the action. In addition, the notice shall advise the faculty member that the leave without pay shall cease upon the faculty member's notification to the dean that the faculty member has resumed his or her attendance or academic responsibilities or otherwise made satisfactory arrangements.

Resumption or satisfactory arrangements shall be confirmed by either the chair or dean. Finally, the notice shall advise the faculty member that if he or she believes the leave without pay to have been improperly imposed, review may be sought by requesting a hearing before the Medical Center Hearing Committee. (See [Grievances and Appeals, Section VIII.](#))

- e. In accordance with Board of Regents policy, the chief executive officer of a state university has the authority to discharge any employee, including a tenured faculty member, immediately upon conviction of any felony. For a felony charge, the chief executive officer of a state university has the authority to discharge or place on leave without pay any employee, including a tenured faculty member, who has been charged with a felony offense. Prior to any such determination, the employee shall be given notice of the proposed action and an opportunity to respond.
 - [KBOR Policy on Suspension, Terminations, and Dismissals for Felony Offenses.](#) (II.C.6.a)
- f. In all alleged cases of misconduct, care must be exercised to preserve the requirements of due process. (See Due Process in [Section VIII.C.1.](#))

Part 4. Conflict of Time, Conflict of Interest, Consulting and Other Employment

A. Kansas Board of Regents Policy on Conflict of Time, Conflict of Interest, Consulting and Other Employment (II.C.12)

The Board of Regents encourages the state universities to interact with business, industry, public and private foundations, and government agencies in order to further their missions of teaching, research, and service; to provide for and facilitate the professional development of their faculty and staff; and to promote the rapid expansion and application of knowledge gained through research to the needs of Kansas, the region and the nation. With particular reference to such collaboration, the Board of Regents considers it of utmost importance that university employees conduct their affairs so as to avoid or minimize conflicts of time commitments and conflicts of interest, and that the state universities be prepared to respond appropriately when real or apparent conflicts arise.

The purposes of this KBOR policy are to: (i) illustrate types of situations that generate conflicts; (ii) provide means for faculty and unclassified staff and the University to manage real or apparent conflicts; (iii) promote the best interests of students and others whose work depends on faculty direction; and (iv) describe situations that are prohibited. Every faculty member has an obligation to become familiar with, and abide by, the provisions of this policy. If a situation arises that raises questions of real or apparent conflict of commitment or conflict of interest, affected faculty and/or unclassified staff must meet with their department chair, school dean or supervisor; report the conflict as described below; and eliminate the conflict or manage it in an acceptable manner.

Portions of this KBOR policy are set forth below.

1. Conflict of Time Commitment

- a. Attempts to balance university responsibilities outlined in the preamble with external activities, including but not limited to consulting, public service or pro bono work, can result in real or apparent conflicts regarding commitment of time and effort. Whenever a faculty member's external activities exceed reasonable time limits, or whenever a faculty member's primary professional responsibility is not to the institution, a conflict of time commitment exists.
- b. Conflicts of commitment usually involve issues of time allocation. Faculty members of state universities owe their primary professional responsibility to their employing institutions, and their primary commitment of time and intellectual effort must be to the education, service, research and scholarship missions of those institutions. Faculty members should maintain a presence on campus commensurate with their appointments. The specific responsibilities, position requirements, employment obligations, and professional activities that constitute an appropriate and primary commitment of time differ across schools and departments; but the said responsibilities, requirements, obligations and activities should be initially premised on a general understanding of full time commitment for full time faculty members of the institutions. Exceptions must be justified and shown to enhance the institutional mission.

2. Conflict of Interest

- a. A conflict of interest occurs when an individual's private, personal relationships or interests diverge from his or her professional obligations to the university such that an independent observer might reasonably question if the individual's professional actions or decisions are determined by considerations of personal benefit, gain or advantage.
- b. A conflict of interest or the appearance of one depends on the situation, not on the character of actions of the individual, and must be determined objectively on a case by case basis. The appearance of a conflict of interest can be as damaging or detrimental as an actual conflict. For this policy, apparent conflicts are treated the same as actual conflicts.
- c. Situations involving potential conflicts of interest are common in a modern university and must be addressed. State universities have as part of their mission the promotion of the public good by fostering the transfer of knowledge gained through university research and scholarship to the private sector. Two important means of accomplishing the institutional mission include consulting and the commercialization of technologies derived from research. It is appropriate that university personnel be rewarded for their participation in these activities through consulting fees and sharing in royalties resulting from the commercialization of their work. It is not appropriate, however, for an individual's actions or decisions made in the course of his or her university activities to be determined or substantially influenced by considerations of personal financial gain. Such behavior calls into question the professional objectivity and ethics of the individual and also reflects negatively on the employing university. State universities are institutions of public trust; faculty and staff members must respect that status and conduct their affairs in ways that will not compromise the integrity of the university.
- d. Except in a purely incidental way, university resources, including but not limited to facilities, materials, personnel, or equipment, may not be used in external activities unless written approval has been received in advance from the institution's chief executive officer or his or her designee. Such permission shall be granted only when the use of university resources is determined to further the mission of the institution. When such permission is granted, the faculty member will make arrangements to reimburse the University for institutional materials, facilities or services used in the external activity. Such use shall not be authorized if it violates the Regents policy on Sales of Products and Services.
- e. Proprietary or other information confidential to a state university may never be used in external activities unless written approval has been received from the university's chief academic officer or designee.
- f. University personnel shall not involve university students, university staff or university faculty in their external activities if such involvement is in any way coerced or in any way conflicts with the involved participants' required commitment of time to their university. For example, a student's grades or progress toward a degree may not be conditioned on participation in a university employee's external activities.

3. Consulting and Other Employment

a. Consulting for Other State of Kansas Agencies.

Consulting by faculty members and employees of institutions under the jurisdiction of the Board for another institution under the jurisdiction of the Board, as well as consultation for other state agencies, shall be approved in advance by the institution or agency seeking these services and approved by the employee's home institution. The home institution shall effect payment through the regular process and shall receive reimbursement through the interfund transfer process.

b. Other Consulting Outside the University.

For members of the faculty, the state university permits and indeed encourages a limited amount of personal professional activity outside the faculty member's reasonably construed total professional responsibilities of employment by and for the university provided such activity: (i) further develops the faculty member in a professional capacity; (ii) does not interfere with the faculty member's teaching, research and service to the institution; and (iii) is consistent with the objectives of the institution. Regular instructional service to other educational institutions is normally regarded as inappropriate and thus generally prohibited. Without prior approval, faculty members on full time appointments shall not have significant outside managerial responsibilities nor act as principal investigators on sponsored projects that could be conducted at their institution but instead are submitted and managed through another organization. Each state university shall determine how to apply or adapt the consulting policy and procedures for employees who are not faculty members and faculty members who are part time. In no case shall the university's policy and procedures for non-faculty employees be more liberal than what is allowed for faculty.

c. Other Employment

The Board of Regents expects faculty employed by the state institutions to give full professional effort to their university duties and assignments. It is, therefore, considered inappropriate to engage in gainful employment outside the state university that is incompatible with institutional commitments. It is inappropriate to transact business for personal gain unrelated to the university from one's institutional office, or at times when it might interfere with commitments to the university. Participation in academic conferences, workshops and seminars does not usually constitute consulting or outside employment. However, organizing and operating such meetings for profit may be construed as consulting or outside employment as defined in this policy.

4. Use of University Name

The name of the of the Board of Regents, a state university, or the Regents System may never be used as an endorsement of a faculty member's external activities or by any outside entity for any purpose without expressed and advance written approval of the university chief executive officer or the Board's President and Chief Executive Officer, as appropriate. Faculty members may list their institutional affiliation in professional books, articles and monographs they author or edit and in connection with professional

workshops they conduct or presentations they make without securing approval.

B. University of Kansas Medical Center Conflict of Interest and Reporting Requirements

Rules, procedures, and reporting on conflict of time, conflict of interest, and consulting and other employment, consistent with [Kansas Board of Regents](#) policy (II.C.12), are to be established by each state university.

1. Conflict of Interest

The University of Kansas Medical Center encourages innovation by faculty and staff to fulfill the mission of delivering new knowledge and biotechnologies for public benefit. Conflict of interest oversight contributes to the Medical Center's unquestioned commitment to scientific integrity and to the safety of research volunteers as potentially profitable discoveries are developed. Faculty and staff at the University of Kansas Medical Center are subject to Kansas Board of Regents policies, state and federal laws regarding conflict of interest, including Kansas State ethics statutes for state employees, and [University of Kansas Medical Center Policies on Conflict of Interest](#).

2. Reporting Requirements

a. Report of Financial Interest and Time Commitments.

Faculty and staff at the University of Kansas Medical Center are required to report certain financial interests and time commitments that reasonably appear to be related to the individual's university responsibilities. Consistent with Kansas Board of Regents policy, faculty members must disclose to the University if they or members of their immediate family (spouse and dependent children) or household members have consulting arrangements, significant financial or managerial interests, or employment in an outside entity whose financial or other interests that would reasonably appear to be related to the covered persons university activities. Conflict of interest reporting at the University of Kansas Medical Center may include additional disclosures required by federal and other state laws. Guidance for the University of Kansas Medical Center Conflict of Interest reporting can be found at: <http://www.kumc.edu/compliance/conflict-of-interest/user-guidance-.html>

b. Timing of Conflict of Interest Reporting.

In accordance with Kansas Board of Regents and federal requirements, conflict of interest reporting occurs upon employment and annually thereafter. In addition to annual reporting, University of Kansas Medical Center faculty must complete an ad hoc update to their disclosure report within 30 days if their situation related to conflict of interest changes between reporting periods.

c. Report of Consulting.

The faculty member shall inform the chief academic officer, or his or her designee, through the department chair (or head) and the dean, of all consulting activities outside the University. The faculty member must report in writing the proposed arrangements, and secure approval prior to engaging in the activities. Personal, professional activities that occur within a single 24-hour period need not have prior approval, but such outside consulting must be reported in accordance with

the time frames and disclosure requirements set forth in the [University of Kansas Medical Center Conflict of Interest Policies and Procedures](#), and the University Intellectual Property Policy. For all activities concerned, the report should indicate the extent and nature of activities, the amount of time to be spent in the activities, and the total amount of time spent or expected to be spent on all such outside activities during the current academic year.

3. Policies, Procedures and Resources

Policies, procedures, and other resources regarding institutional and individual conflict of interest reporting and management are available on the University of Kansas Medical Center [Conflict of Interest](#) website.

Part 5. Review and Evaluation of Faculty and Administrators

A. Faculty

The University of Kansas Medical Center is committed to recruiting excellent faculty and to ensuring the excellence of their performance and is dedicated to faculty renewal and development. The concept of regular, rigorous faculty review is part of the University's commitment to providing support to all its faculty. Therefore, every (tenured and non-tenured) faculty member's performance is subject to review to determine whether his or her duties have been fulfilled pursuant to established procedures below.

1. Individualized Goals/Expectations

The University of Kansas Medical Center provides for differential allocations of effort among faculty in the areas of their academic responsibilities. The individual's annual review and evaluation is determined on the basis of individualized allocation of effort within the unit's established responsibilities and mission.

2. Annual Evaluation

a. Process

- i. Each faculty member's academic performance shall be evaluated annually by the department or school administrator with input from additional sources as appropriate. Evaluation is conducted according to criteria and methods established by that department or school for teaching, scholarship, and service. Each school will review and approve its faculty evaluation system and statements defining the expected level of performance required to meet faculty academic responsibilities at least once every five years.
- ii. The administrator shall invite faculty to submit relevant information from the preceding year for the purposes of the annual evaluation. Multiple sources of information are used for evaluation that may include self-evaluation and peer evaluation of various aspects of teaching, and shall include students' ratings of instruction using a standardized and validated instrument for evaluation of teaching as well as appropriate documentation of scholarly activities and service.

With regard to student rating, each department or school within the University of Kansas Medical Center has developed a ratings instrument for student evaluation of faculty instruction to fulfill the Board of Regents mandate that every state university make available to faculty a ratings instrument for securing student ratings of instruction in all appropriate courses. The data from the student evaluations are analyzed at the department, school, and institution levels to assess general student perceptions of the quality of instruction at the Medical Center and to identify problematic areas.

- iii. An administrative evaluation of the faculty member's performance during the preceding year shall be provided to the faculty member in writing prior to its final adoption and placement into the faculty member's faculty file.
- iv. Faculty who disagree with their evaluation may request further review in accordance with respective school procedures and may provide a written response to his or her annual evaluation that will also be placed into his or her faculty file.
 - See [KBOR Policy on Faculty Evaluation](#) (II.C.8)
- v. During the annual evaluation, the department/school administrator will discuss expectations for the future and will also review the assignment of differential effort with the faculty member and decide what changes are appropriate and practical if any.

b. Performance Improvement Interventions and Opportunities

- i. If the evaluation reveals that a faculty member's performance is unsatisfactory in some area(s), the written administrative evaluation shall identify the area(s) and describe ways for improving performance in the area(s).
- ii. The administrator and the faculty member shall develop a detailed written plan to improve the faculty member's performance. This plan may include provisions for faculty development, such as campus opportunities for faculty continued renewal and development, reassignment of duties, or a change in teaching assignments. The department/school administrator or faculty member may request higher school administration or university administration assistance in constructing such a plan, including provision for additional resources where needed. The proposed plan must be presented within 30 business days of the written administrative evaluation. A faculty member may reject any plan recommended to aid performance levels, but the faculty member must understand that failure to meet academic responsibilities based on articulated performance criteria is a basis for dismissal.
- iii. The annual evaluation process may also identify professional development opportunities.

3. Determination that Academic Responsibilities are Not Being Met

a. Tenured Faculty

i. First Unsatisfactory Overall Assessment

When a tenured faculty member's annual assessment concludes for the first time that academic responsibilities for the preceding year have not been met (Unsatisfactory Overall Assessment), the administrator and faculty member shall develop a detailed written plan for improvement of faculty performance (intervention plan) including faculty development. (See Performance Improvement Interventions and Opportunities above.) A plan should be in place within 30 business days of the annual assessment review meeting. The faculty member may request that the dean of the applicable school (Executive Dean of the School of Medicine [in consultation with the appropriate regional dean], Dean of the School of Nursing, or Dean of the School of Health Professions) or their designee be included in the review of the detailed plan. The faculty member does have the right to request a triggered post-tenure review by a faculty committee designed to hear such matters in the School. The report of this faculty committee shall become a permanent part of the faculty member's personnel file within the academic unit and the outcome shall be made available to the faculty member.

ii. Second Unsatisfactory Overall Assessment

When a tenured faculty member's annual assessment concludes for the second consecutive time that academic responsibilities have not been met (Unsatisfactory Overall Assessment), the administrator and faculty member will develop a detailed written plan for improvement of faculty performance (intervention plan) including faculty development. (See performance improvement interventions and opportunities above.) A plan should be in place within 30 business days of the annual assessment review meeting. The faculty member may request that the applicable dean or their designee be included in the review of the detailed plan. The faculty member or the dean of the applicable school (Executive Dean of the School of Medicine [in consultation with the appropriate regional dean], Dean of the School of Nursing, or Dean of the School of Health Professions) may request a triggered post-tenure review by a faculty committee designed to hear such matters in the School. The report of this faculty committee shall become a permanent part of the faculty member's personnel file within the academic unit and the outcome shall be made available to the faculty member.

iii. Third Unsatisfactory Overall Assessment.

When a tenured faculty member's annual assessment concludes for the third consecutive time that academic responsibilities have not been met (Unsatisfactory Overall Assessment), the dean of the applicable school (Executive Dean of the School of Medicine [in consultation with the appropriate regional dean, Dean of the School of Nursing, or Dean of the School of Health Professions]) may recommend that dismissal procedures be instituted against the faculty member. If such a recommendation is not forthcoming at this point, the Vice Chancellor of Academic Affairs will require the Dean to explain why no action has been taken. Three Unsatisfactory Annual Assessments within a 7 year timeframe (these do not have to be consecutive) will trigger post-tenure review. (See Post Tenure Review in [Section III.Part 5.](#))

b. Tenure-Track and Non-Tenured Faculty

- i. Non-reappointment may be justified when a tenure-track or non-tenured faculty member's annual assessment concludes that academic responsibilities have not been met (Unsatisfactory Overall Assessment). (See [Section III.Part 6.](#))

c. All Faculty

Unit administrators shall consult annually with their dean, and deans shall consult annually with the Vice Chancellor for Academic Affairs on the progress of any faculty member who falls within the category of failure to meet academic responsibilities (determination that academic responsibilities are not being met).

4. Recommendation for Dismissal

If the dean of the applicable school (Executive Dean of the School of Medicine [in consultation with the appropriate regional dean], Dean of the School of Nursing or Dean of the School of Health Professions) recommends that dismissal procedures be preferred against the faculty member for determination that academic responsibilities are not being met (failure to meet academic responsibilities), then the dean shall include in the recommendation:

- a. the nature of the failure to meet academic responsibilities at an acceptable level;
- b. the reason or reasons for this failure;
- c. the number of years that the faculty member has failed to meet academic responsibilities at an overall acceptable level;
- d. the level of discernible improvement in the faculty member's performance after being notified of any failure in performance; and
- e. the extent to which the faculty member has complied with the terms of any plan developed to improve the faculty member's overall performance.

A post-tenure review recommendation of dismissal will be considered as a failure to meet academic responsibilities and also should include information on items a. through e. above.

Upon receiving the recommendation for dismissal, the Vice Chancellor for Academic Affairs will initiate processes/procedures to resolve allegations of Failure to Meet Academic Responsibilities as outlined in Grievances and Appeals. (See [Section VIII.](#))

5. Principles and Guidelines for Promotion and Tenure

a. Principles

- i. The awarding of tenure to a faculty member is the most critical point in the process of selection and reward for achievement that maintains and improves the quality of the faculty. The review of candidates for tenured appointment, beginning at the department or unit level and moving through channels to the university level, must be careful, deliberate and searching if the standard of excellence to which the University aspires is to be attained. The same considerations apply to recommendations for promotion in rank. The criteria for tenure and promotion traditionally have been and continue to be teaching, research, and service. The award of tenure must take into account any prior service credited but will be based largely on evidence of achievement since joining the faculty. Promotion to a new rank must be based principally upon evidence of achievement since the last promotion or, for a person's first promotion, since the initial appointment to the faculty.
- ii. **Teaching.** Teaching is a prime responsibility of the University. For promotion to a higher professorial rank, evidence of effective teaching must be furnished. This evidence may take several forms. Student evaluations and peer evaluations are highly desirable. Departments, or schools where departments do not exist, should provide a standard set of procedures to evaluate teaching to ensure an equitable and substantive review process. Individuals in the same field should be evaluated by the same means. However, no specific format or instrument is prescribed at the university level. Good teaching requires continual application and effort. The faculty member must keep abreast of new developments in his or her field and related fields and must maintain credentials as a scholar so that he or she is part of the creative process by which the frontiers of knowledge are continually being expanded. The faculty member should be enthusiastic about his/her discipline and should be able to communicate this enthusiasm to the students, thus stimulating both the faculty member and the students to greater achievement. The University prides itself on having exceptional faculty members whose merit and service to the University in teaching earn them a well-deserved place of honor and respect in the institution. However, this criterion alone, to the exclusion of consideration of the other criteria, does not serve as a basis for promotion or tenure.

iii. Research. A faculty member's accomplishments and contributions as a scholar bring vital recognition to both the individual and the University. The University exists to create, preserve and transmit knowledge, and scholarly productivity is an integral and indispensable part of its role as an educational institution. Promotion in professorial rank is a testimony and recognition of professional competency and productivity. The standards for measuring scholarly and creative productivity cannot be applied uniformly throughout the University. In many areas, the evidence for competence is research conducted by the faculty member, the results of which are submitted for professional evaluation, review and criticism to peers through recognized processes then disseminated through established media. In those areas, publication in refereed journals and in books is the most significant measure of scholarly productivity. Competitive awards and grants from agencies of national standing are another major index of an individual's success in obtaining recognition for research. Local, regional or internal grants and contracts are also valuable but generally not as prestigious. Scholarly production can also take the form of preparation of published reports, studies, and other material for governmental agencies and non-governmental organizations concerned with the operation, evaluation, or improvement of the discipline. Participation in symposia, conferences, and professional meetings is another outlet for publicizing and testing the results of one's research. Members of professional or practitioner-oriented disciplines share scholarly obligations with the rest of the faculty. However, in cases where administrative or clinical responsibilities involve a disproportionate amount of the candidate's time, the required extent of written scholarship may be modified. Some measure of scholarly productivity may be demonstrated by results of professional consulting or advice in the practice of the profession being taught, but these activities are insufficient of themselves.

In terms of research, the award of tenure, promotion to assistant professor, or promotion to associate professor should be based on sufficient evidence of scholarly productivity to document a successfully developing career. For promotion to professor, evidence must be conclusive that this objective has been realized; consequently, the record of scholarly and creative productivity should be substantially greater than that expected at the lower ranks. Continuing productivity from the time of one's formal entry into a professional academic career is expected. As in the case of service and teaching, excellence in research alone is not sufficient to ensure promotion.

- iv. Service.** Service is expected and encouraged and is to be recognized. Service is of several kinds. Extramural activities in professional organizations and in public bodies are an important means of bringing prestige to the University. It adds to the professional competence of the individual, provides contact with a larger circle of peers, and brings greater visibility to the University. Outreach activities are not necessarily restricted to service but may contribute to any of the areas of faculty endeavor. In the University of Kansas Medical Center, service also consists of patient care, direct and indirect. Faculty governance and committee participation are other forms of service. Administration is essential to institutional well-being; therefore, administrative service is another form of contribution a faculty member may make to the University. Administrators, however, must meet the standards of academic excellence.

As with teaching and scholarship, service must be evaluated as to quality as well as quantity, with respect to its contribution to the University in the performance of its mission. Neither service nor administrative duties alone may serve as the basis for promotion.

- v.** No rigid standards have been established for the length of time in grade between promotions. In most cases, a period of two to six years is expected to elapse between appointment as instructor to promotion to assistant professor, five to six years between appointment as an assistant professor and promotion to associate professor, and five to six years from associate professor to full professor. Promotion is based upon the candidate's meeting the criteria established by each school in the domains enumerated above.
- vi.** The criteria are expected to be defined by each school in such a way that their fulfillment gives the higher ranks dignity and stature and identify promotion as an acknowledgement of professional accomplishment in one's discipline. The added prestige and recognition that promotion and tenured status based upon such standards confers on an individual is highly beneficial, indeed essential, to the morale and luster of our faculty and University. Promotion and tenure are never automatic for a faculty member. They must be earned.

b. Guidelines – Promotion

The following guidelines and criteria for promotion apply to all faculty at the University of Kansas Medical Center.

- i. Promotion to assistant professor, associate professor, or professor (modified or unmodified) is made on the basis of meritorious performance as described in guidelines provided by individual schools. The University of Kansas Medical Center, at all times, seeks to attract, retain and reward the faculty member who consistently performs effectively as a faculty member-scholar. In addition, the University of Kansas Medical Center seeks to recognize service that faculty members may contribute to the University, the community, the state or the nation through their clinical endeavors and research activities. Academic promotion is an important means of acknowledging such performance and service. It is awarded for achievement, not for mere length of service or as an incentive to greater effort.
- ii. Recommendations for promotion normally originate in the departments and are forwarded to the promotion and tenure committees of the School of Medicine, the School of Nursing, or the School of Health Professions. These committees make their recommendations to their respective dean or their designee, whose recommendations are forwarded to the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs prepares the promotions list and forwards it to the Executive Vice Chancellor. The Executive Vice Chancellor's recommendations are then sent to the Chancellor for final action. (Faculty who wish to pursue an appeal, should refer to [Section VIII.I.](#))
- iii. Procedures for recommendations for promotion, award of tenure and notice of non-reappointment are detailed in guidelines that are available to each faculty member early in the academic year.

c. Guidelines – Tenure Policy

- i. The University of Kansas subscribes to the 1940 AAUP statement on Academic freedom and tenure and subsequent AAUP amendments and revisions as adopted by the Kansas Board of Regents. (See [Section III.Part 2.A.4.](#))
- ii. For a faculty member with a tenure-track appointment, the probationary period is seven years. For calculation of tenure eligibility, appointment at the University of Kansas Medical Center will be considered July 1 of the calendar year in which the tenure-track appointment begins (rev 6/99). In accordance with [Board of Regents](#) policy [II.C.2.b.vii.(2).(b)]:
 - a. The probationary period may be reduced at the time of appointment by the chief executive officer (or their designee) if it has been determined that the faculty member has served a partial probationary period at a comparable institution and such reduction is in the best interest of the institution but the probationary period may not be reduced to less than four years.

- b. The 'tenure clock' may be delayed by one year for the birth, adoptive placement, or adoption of a child under age 5 prior to May 1st of the fifth year of the probationary period. Notification must occur within 90 days of the birth to the institution's chief academic officer. Faculty retain the right to opt out of this interruption policy.
 - c. The 'tenure clock' may be extended by one year prior to the sixth year for unexpected special and extenuating circumstances per request of the faculty member and appropriate dean to the chief academic officer.
 - d. No more than two extensions of the 'tenure clock' may be granted to a faculty member for any reason.
 - e. In exceptional cases, the chief executive officer may hire faculty members with tenure without their having completed a probationary period.
 - f. Tenure shall not be de facto awarded based on the length of time a faculty member has been on the tenure track. Adherence to this policy is a necessary condition precedent to tenure.
- iii. Although promotion and tenure are separate decisions, a recommendation for promotion to the rank of associate professor will usually be considered also as a recommendation for the award of tenure, if the faculty member is not already tenured.
- iv. By September of each year, the Office of the Vice Chancellor for Academic Affairs will distribute to the deans of schools a list of faculty members whose tenure status must be reviewed before the end of the current academic year.
- v. For faculty members on the tenure track, a comprehensive review will be made by the department's/school's Promotion and Tenure Committee at:
 - a. mid-cycle of their tenure-track appointment (by June 30th of the third year). For those faculty hired with prior credit towards tenure, the mid-cycle review shall occur sooner.
 - b. the time formal application for tenure is made.

- vi. The committees and their procedures shall be established in accordance with the decision-making procedures of the department or school. All members of the faculty subject to review shall be informed of the review and shall be advised that they are entitled to submit supporting materials to substantiate qualifications. The recommendation of the departmental committee concerning the faculty member will be communicated in writing to the department chair (or comparable administrator). The chair will also forward each recommendation to the dean, along with indication of concurrence or non-concurrence and comments. The reasons for that decision, to recommend or not to recommend for promotion or tenure, shall also be officially communicated to the faculty member in a personal interview or in writing by the department chair (or comparable administrator) if requested by the faculty member.

d. Recommendations for Promotion and Award of Tenure

A notification from the dean's office will go to all members of the faculty early each year advising of deadlines for recommendations to be submitted by faculty to the appropriate dean's office. Each department and school shall make known to its faculty its criteria for evaluation, including its policy of relative importance to be assigned to each criterion. Written guidelines for the evaluation of faculty shall be developed and approved by the department faculty, consistent with the policy of the school. Unless the context otherwise requires, the word "department" shall be read as "school" where a school has no departmental organization.

- i. Each year, the department chair shall be responsible for reviewing the qualifications and performance of all members of the department's faculty. The department Promotion and Tenure Committee shall conduct mid-cycle comprehensive review and mandatory tenure review of tenure-track faculty, and review of all non-tenure-track, and tenured faculty below the rank of professor who may be considered for promotion and/or tenure.
- ii. Each school Appointment, Promotion and Tenure Committee shall review the qualifications of individuals being proposed for promotion, following the specific guidelines for promotion established within each school, and shall make recommendations to the dean. A faculty member may self-nominate and send credentials to the dean, who forwards the nomination to the school committee. Individual faculty members shall be entitled to recommend others for promotion by sending materials directly to the dean.

- iii. School Appointment, Promotion and Tenure (APT) Committee(s), and their procedures, shall be established in accordance with the decision-making procedures of the school. Recommendations from the school committee review shall be forwarded to the appropriate dean. The dean or his or her designee will forward his or her recommendation for promotion to the Vice Chancellor for Academic Affairs. The Executive Vice Chancellor and the Chancellor must then approve the recommendation. However, if the dean or his or her designee denies promotion/tenure, he or she shall inform the faculty member of that decision in writing. Within a two-week period, the faculty member may appeal on procedural grounds only (as defined in this Handbook and the school and departmental promotion and tenure guidelines), by writing a letter to the Vice Chancellor for Academic Affairs. Letters received by the Vice Chancellor of Academic Affairs appealing a promotion or tenure decision shall follow procedures outlined in Grievances and Appeals. (See [Section VIII.I.](#))
- iv. All promotions and/or tenure become effective with the faculty member's next regular appointment (i.e., academic or fiscal year).

e. Financial Recognition for Promoted Faculty

Each school within the University of Kansas Medical Center has a process to provide salary increases for faculty members who are promoted.

6. Post Tenure Review

a. Introduction

The purpose of the post-tenure review is to assist (tenured) faculty members with identifying opportunities that will enable them to reach their full potential for contributions to the University. Such review is intended to provide a longer term perspective than is usually provided by an annual review.

- [Kansas Board of Regents Post Tenure Review Policy](#) (II.C.8.iv)

The University of Kansas Medical Center Post Tenure Review Policy was accepted by the Kansas Board of Regents in May, 2014.

b. University of Kansas Medical Center Post Tenure Review Policy

Tenured faculty members will undergo a post tenure review ("PTR") process to ensure continued support and additional development on both a scheduled and an as needed (or "triggered") basis, as defined below. In order to limit the administrative burden for faculty, the PTR process will incorporate the annual faculty assessment that takes place for all full time faculty members at the University of Kansas Medical Center as a factor that is considered during the PTR process. At the time of PTR, faculty will be asked to provide a current CV and a completed Self-Assessment/Post Tenure Review Form. The department or the school will provide Annual Faculty Assessments from the interim years. This policy is not intended to supersede or replace any other existing processes or rights of the University of Kansas Medical Center administration as described in the Handbook for Faculty.

Scheduled review: Each tenured faculty member will undergo a scheduled PTR every 7 years. This period is restarted if interrupted by a further review resulting in promotion. During the year of review, the PTR will not replace the annual assessment. However, each school may elect to incorporate the post tenure review file into the documentation for the annual evaluation. For newly tenured faculty members, PTR will be scheduled for seven years following the date tenure is granted.

Impact of leave on the scheduled review: If a faculty member is granted and takes a sabbatical or other sanctioned leave, the scheduled review process will be delayed by the amount of time that the faculty is on sabbatical/leave. Similarly, if the faculty member takes an unexpected leave of absence of 12 weeks or more, the scheduled review will be delayed during the absence.

Triggered review: Triggered Review of tenured faculty may occur in the following settings:

- i. Three Unsatisfactory Annual Assessments within a 7 year timeframe (these do not have to be consecutive). This would be initiated by the chair of the faculty member's primary department.
- ii. By request of the faculty member
- iii. By request of the dean of the school

Materials: The faculty member will be required to have materials prepared and submitted by January 15th of the year for PTR review. Materials required will consist of the interim Annual Faculty Assessments, an updated CV, and the Post Tenure Review *Form (to be developed by the school's APT committee)*.

- The PTR form will be no more than two pages in length and should focus on capturing the faculty member's 7 year trajectory.

PTR Committee: Each school will have its own PTR committee that will function as an ad hoc committee appointed from the school's APT committee. (Bylaws of the PTR committee and standards for satisfactory outcome, are to be determined by the schools' APT committee.)

Outcomes: The PTR committee decision will be categorized into one of two outcomes.

- i. Satisfactory (next review at seven years).
- ii. Unsatisfactory – Depending on the seriousness of the concerns found, an outcome of unsatisfactory may will result in a recommendation for either:
 - a. Remediation based on individualized faculty development during a probationary period prescribed by the PTR committee, followed by repeat review
 - b. Initiation of a recommendation of dismissal based on sustained failure to meet academic responsibilities.

Appeals/Grievances: Will follow processes and procedures established in the

Grievances and Appeals [Section VIII](#) of the Faculty Handbook.

Reporting Structure: A confidential report will be submitted to the Faculty member, the department chair (where applicable), the dean of the respective school, the Vice Chancellor for Academic Affairs, and the Executive Vice Chancellor.

B. Administrators

1. Chairs

A review process may be initiated at the discretion of the dean to evaluate the administrative performance of the chair in accordance with the policy of each school. This review should be conducted at least once every five years. In the instance of such a review, representative faculty input should be sought and considered.

- a. The dean shall develop a procedure to be followed in review of chairs within that school. The dean shall appoint the committee and designate the chair. Membership on the committee shall include faculty and students primarily from the school. Input from faculty, staff, and students should be solicited. Consultations from individuals outside of the institution also should be sought.
- b. The reports of the review committees shall be based on, but not necessarily limited to, information solicited from students, staff and faculty in the department; other chairs in the school; and where appropriate, the professional constituency of the department. The review committee will seek input from department faculty regarding the chair's performance.
- c. The chair of each department shall submit an annual report to the dean of the school involved. The report shall review departmental budgets; research and teaching awards to faculty; publications by faculty; and service by faculty on departmental, school, or Medical Center-wide committees. The report shall also identify perceived areas of strength and weakness within the department's operations. The dean will make these annual reports available to the departmental chair review committee.
- d. The review committee shall submit its report to the dean, or the dean's designee who will forward a copy, with comments and recommendations, to the Executive Vice Chancellor. Where appropriate, the dean may share the report or portions of the report with the Vice Chancellor for Academic Affairs. A copy of the report also shall be submitted to the appropriate department chair.
- e. The decision to continue the appointment will be made following the submission of the report of the review committee. The dean's decision will follow consultations with the Executive Vice Chancellor, and, as appropriate, the Vice Chancellor for Academic Affairs.

2. Deans

A review process may be initiated at the discretion of the Executive Vice Chancellor to evaluate the administrative performance of a dean. In the instance of such a review, representative faculty input should be sought and considered. (Whenever a dean holds dual appointments of Dean and EVC, the review of the Dean shall be by the Chancellor)

- a. The deans shall be reviewed comprehensively at the discretion of the

Executive Vice Chancellor and the Chancellor. This review should be conducted at least once every five years, by the completion of the fifth year. The Executive Vice Chancellor shall appoint the review committee, assign its charge, and designate its chair.

- b. Generally, the review committee will be composed of six members. These members will include the chair of the school's faculty governance group, one faculty member from within the school, one external member (preferably a current dean from the same discipline) and faculty members from each of the schools outside the dean's school. The appropriate faculty-elected Steering Committee shall be consulted on the faculty appointments.
- c. In fulfilling their obligations, the committee members are expected to review the dean's record and performance over the period under consideration in both academic and administrative matters. Strengths and weaknesses in the following areas will be examined:
 - Leadership
 - Provision of a climate that encourages scholarship, teaching and research
 - Medium- and long-range planning
 - Setting and achieving academic and budgetary priorities
 - Promotion of diversity initiatives
 - Interactions with faculty, staff, senior administration, students, other schools and faculties and outside constituencies
 - Business management
 - Response to findings of earlier review (if applicable)
 - Representation of unit and institutional perspectives to internal and external constituencies
 - Any other relevant areas
- d. In addition to faculty, students and administrators, the committee may wish to survey professionals in the field, alumni and other special groups. The committee should encourage frank and open comments from those it consults. Signed questionnaires and letters are preferable, but respondents may wish to remain anonymous and should be given that option.
- e. It would be appropriate for the full committee or individual members to interview selected members of the constituencies and any individual who wishes to be heard. Careful notes should be taken of all interviews and should form part of the committee's permanent record.
- f. All documentation and interviews must be held in strict confidence, and all documents will be forwarded to the Office of Academic Affairs at the conclusion of the review.
- g. The process of reviewing deans shall be as follows:
 - A current job description and curriculum vitae of the dean should be provided to the committee.
 - The dean should provide the committee with a self-study that should: (i) provide a brief overview of the dean's administration, including the duties and responsibilities he or she was asked to undertake by the senior administration, and should include information about management "style," successes, weaknesses, and disappointments; (ii) address the

concerns he or she has about the academic unit; (iii) enumerate the goals he or she has set for the next five years and the means by which those goals will be reached; and (iv) comment on any concerns raised during the previous performance review (if applicable).

- A faculty survey focusing on the performance of the dean will be developed in concert with faculty governance of the specific school. An outside consultant will evaluate the survey for objectivity. The survey will be distributed to faculty and, when appropriate, also to recent alumni. The survey instrument will be returned to the Office of Faculty Affairs and Institutional Research for tabulation. These results will be shared exclusively with the review committee.
- The complete process should be completed within 120 days.
- The report of the review committee shall derive mainly from information solicited from faculty, students, administration, and others as deemed necessary and appropriate by the committee. The committee's report will be submitted to the Executive Vice Chancellor. Continuing appointment of the dean will be contingent upon the results of the review and accompanying recommendations.

3. Vice Chancellors

A review process may be initiated at the discretion of the Executive Vice Chancellor to evaluate the administrative performance of each vice chancellor. In the instance of such a review, representative faculty input should be sought and considered.

4. Executive Vice Chancellor

The Executive Vice Chancellor of the University of Kansas Medical Center serves at the pleasure of the Chancellor of the University of Kansas. The University policy requires that all senior administrators with a direct report to the Chancellor shall undergo a review process directed by the Chancellor at least once every five years.

C. Directors

Review of directors will follow the guidelines for review of chairs, with modifications as needed. The appropriate administrator is responsible for implementing these guidelines as they relate to the directors under his or her sphere of responsibility. This review should be conducted at least once every five years.

Part 6. End of Appointment

A. Resignations

The University of Kansas shares the views expressed in the Statement on Recruitment and Resignation of Faculty Members endorsed by the American Association of University Professors (AAUP) in April 1961 and revised in 1990. This statement includes the following sections on resignations:

Mobility of faculty members among colleges and universities is rightly recognized as desirable in American higher education. Yet the departure of a faculty member always requires changes within his or her institution, and may entail major adjustments on the part of faculty colleagues, the administration, and students in

the faculty member's field.

Ordinarily a temporary or permanent successor must be found and appointed to either the vacated position or the position of a colleague who is promoted to replace the faculty member.

. . . It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his or her institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to the faculty member's current institution.

. . . Except by agreement with their institution, faculty members should not leave or be solicited to leave their position during an academic year for which they hold an appointment.

Resignations from the faculty should always be submitted in writing to the department chair (or the dean of the school if no departmental organization exists). Such letters will be forwarded through the dean of the school to the Vice Chancellor for Academic Affairs (or designee). For purposes of the orderly transaction of business, a resignation should normally identify the faculty member's future location.

The effective date of a faculty member's resignation shall be the termination date of the faculty member's current appointment, unless an earlier date is specified and is agreed to by the faculty member and the dean. If a resigning faculty member holds research grants or contracts from outside agencies, the University of Kansas Medical Center Research Institute must be consulted in order that proper arrangements may be made for the close out or transfer of the grant and the disposition of any equipment secured under the grant or contract.

B. Retirement

For more information, see [Section IV.C](#) of this Handbook.

C. Dismissal

1. Discontinuance of an Academic Program

For information on discontinuance of an academic program, see [Section IX.D](#) of this Handbook.

2. Financial Exigency

For detailed information on financial exigency, see [Section IX.B](#) of this Handbook.

3. Adequate Cause

A faculty member may be dismissed for conduct or performance detrimental to the University's mission, including but not limited to the following causes:

- a. **Research and Other Scholarly Misconduct.** See Section [III.Part 3](#) and [Section](#)

[VIII](#) of this Handbook

- b. **Failure to Meet Academic (Teaching, Clinical, etc) Responsibilities.** See [Section III.Part 2](#), and [Section III.Part 3](#) and [Section VIII](#) of this handbook.
- c. **Personal or Professional Misconduct.** See [Section III.Part 3](#) and [Section VIII](#) of this Handbook.
- d. **Improper Use of Social Media.** See [Section VIII](#) of this Handbook.
- e. **Discrimination.** See [Section VIII](#) of this Handbook.
- f. **Imminent Threat of Danger to Persons or Property.** See [KBOR Policy on Interference with Conduct of Institution](#) (II.F.2)

4. Felony Offenses

See [KBOR Policy on Suspensions, Terminations and Dismissals for Felony Offenses](#) (II.C.6.a)

5. Loss of Clinical Privileges for Physician Faculty and/or Termination of Clinical Practice Employment Agreement

See [Section III.Part 3.A.4](#) and [Section III.Part 6.D](#) of this Handbook.

6. Appeal of Dismissal

Faculty may appeal some decisions that may have a negative impact on them. See [Section VIII](#) of this Handbook.

D. Non-Reappointment

1. Tenure-Track Faculty

- a. Notice of non-reappointment may be given to a faculty member on the tenure track at any time prior to the mandatory date for a tenure decision. A faculty member on the tenure track is considered to be serving a probationary period; therefore, non-reappointment may be justified for either reasons related to the faculty member's performance as a faculty member, scholar, and member of the University community by criteria based upon departmental or school plans for faculty development, or on the grounds of budgetary considerations, or by a departmental or school decision that its needs should be filled by a different individual. These statements shall apply even during periods of declared financial exigency, unless impossible, in which case notice shall be provided as early as feasible.
- b. Non-reappointment decisions originate at the departmental level (or, where no departmental organization exists, at the school level). If a department decides to recommend non-reappointment, written notice shall be sent by the departmental chair (or the dean) to the faculty member on or before the date on which that recommendation is forwarded to the next review level.
- c. The procedure for forwarding recommendations for non-reappointment shall be from the chair of the department, to the dean of the school, to the Vice Chancellor for Academic Affairs, to the Executive Vice Chancellor. At each level, the appropriate administrator shall indicate his or her concurrence or non-concurrence.
- d. The legally effective notice of non-reappointment will be issued in writing by the Executive Vice Chancellor and shall be sent not later than the appropriate

deadline date listed below. The notice shall include a statement that the reasons for the decision will be made available in writing at the request of the faculty member.

- e. The Board of Regents has adopted the AAUP statement of 1964, which stipulates the time of notices of non-reappointment for faculty on the tenure track. This timeline shall apply even during periods of declared financial exigency.
 - i. Not later than March 1 of the first year of service, if the appointment expires at the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
 - ii. Not later than December 15 of the second year of service, if the appointment expires at the end of that academic year; or, if the appointment for a second year of service terminates during an academic year, at least six months in advance of its termination.
 - iii. At least 12 months before the expiration of an appointment after two or more years of service in the institution. This places the notification deadline on the last day of the academic year for faculty members on nine-month appointments and on June 30 for those on 12-month appointments.
- f. No appeal exists in cases of non-reappointment.

2. Non-Tenure Track Faculty

Provisions provided for non-reappointment of tenure-track faculty do not apply to non-tenure-track faculty. Non-reappointment of non-tenure track faculty is subject to the terms of his or her contract. No appeal exists in cases of non-reappointment.

3. Faculty Administrators

Chairs, deans, vice chancellors, and other administrative officers are accountable to the Chancellor and serve at his or her pleasure. Directors, associate or assistant chairs, deans, and vice chancellors serve at the pleasure of their respective chief administrators. An administrative appointment held by faculty is distinct and separate from a faculty appointment.

E. Expiration of Appointment

1. Annual Appointments

Non-tenure track annual appointments may begin at any time during the fiscal year but always expire at the end of the fiscal year on June 30th. Annual appointments are renewable upon mutual agreement. No appeal exists in cases of expiration of an annual appointment.

2. Limited Term Appointment

Limited term appointments are for less than one year in length and start and end on the specified dates which define the term of the appointment. No appeal exists in cases of expiration of a limited term appointment.

IV. COMPENSATION AND BENEFITS

A. Compensation

1. Salary Payments and Payroll Deductions

The department of [Institutional Finance and Administration](#) oversees fiscal management at the University of Kansas Medical Center and is committed to continuous pursuit of quality services and practices while ensuring compliance with appropriate statutes, regulations, and standards. Payroll forms as well as information on pay period deadlines, and payroll distributions may be found at: <http://www.kumc.edu/finance/payroll.html>

2. Compensation in Excess of Full-Time Salary

Compensation in excess of full-time salary will not be approved for University of Kansas employees except in specific cases approved in advance by the Chancellor or Executive Vice Chancellor (or their designees). As a matter of policy, compensation in excess of full-time salary will not be granted except in certain unusual cases and in accordance with the requirements set forth below.

a. General Authorization

The Chancellor or Executive Vice Chancellor (or their designees) have given blanket approval for extra compensation for the following specific kinds of service:

- i. Preparing an independent study course or grading independent study papers.
- ii. Instructional related activities conducted by Continuing Education.

b. Prior Authorization Required

The Chancellor or Executive Vice Chancellor (or their designees) must approve requests for extra compensation for the following kinds of service:

- i. Consulting by faculty members for another institution under the jurisdiction of the Board of Regents, as well as consultation for other state agencies, shall be approved in advance by the institution or agency seeking these services and approved by the Chancellor or Executive Vice Chancellor (or their designees). The University shall effect payment to the faculty member through the regular payroll process and shall receive reimbursement through the interfund transfer process ([Kansas Board of Regents Policy Manual](#) [II.C.12.b.i]) .
- ii. Specified continuing education instructional activities or instructional related activities conducted by units other than Continuing Education. Excluded are activities that are run by individual employees.
- iii. Services rendered to other external agencies, public or private, for which compensation is to be paid through university channels.
- iv. Services rendered as a consultant to other departments, schools, or divisions within the University.

Requests from faculty to permit compensation in excess of full-time policy in these cases will be submitted through regular channels to the chair, dean, or director and appropriate vice chancellor for endorsement. These requests then are forwarded as appropriate to the Executive Vice Chancellor and Chancellor for

approval. The request should include information on the service to be provided and approximate dates as well as funding source and should address the guidelines and criteria for approval listed below.

c. Guidelines and Criteria for Approval

- i. Continuing education activities, specified continuing education instructional activities and instructional related activities must be:
 - a. Derived from the unit's mission,
 - b. Intended for audiences external to the University of Kansas,
 - c. Authorized by an organizational unit of the University, not by an individual.
- ii. The services are requested by the agency, department, school, or division to be served.
- iii. The rendering of services is in the University's interest, contributing to the improvement of its instructional activities or the professional development of the faculty or program, strengthening the institution's research and service program, supporting its cooperation with other Regents' universities and state agencies, and enhancing the image of the institution as a public servant.
- iv. The faculty is uniquely qualified to provide the services.
- v. The activity does not conflict with the faculty's regular duties and the faculty's university assignments cannot be appropriately decreased to accommodate the services.
- vi. The activity is not within the scope of the employee's job description.
- vii. The amount of time and effort to be expended by the faculty in providing the services is consistent with the University limitations for personal professional activities.
- viii. The services cannot properly and reasonably be negotiated under the University's policies and procedures for personal professional activity.

To allow time for receiving decisions before work is performed, requests submitted under this policy should be submitted well in advance of the time for performing the service.

3. In-State and Out-of-State Travel

- a. University faculty members may be reimbursed for official travel when authorized. Detailed information in-state and out-of-state travel is available in the [Employee Travel Expense Reimbursement Handbook](#). This handbook should be consulted well in advance of any planned travel as it contains information on the limitations of reimbursement, receipts, and application forms for travel to be reimbursed by state or other non-private funds.
- b. For international travel, the University of Kansas Medical Center has outlined policy and procedures described in the links below.

- i. [Faculty and Administrator Travel](#)
- ii. [Resident Travel](#)
- iii. [University of Kansas Medical Center Policy Regarding Travel to a Country with a Travel Warning](#)

c. **Faculty Travel Award**

The Research Institute has made travel awards available for qualified faculty members of the University of Kansas Medical Center to provide support for faculty travel to scientific meetings. The primary intent of faculty travel awards is to support travel of junior investigators to report research findings at scientific meetings essential to their faculty development, but applications will be accepted from faculty at all career levels.

- [Faculty Travel Award](#)

B. Benefits – Insurance and Health Programs

The University of Kansas Medical Center offers excellent benefit options to its employees through the State of Kansas. Several insurance and health programs are available to eligible Medical Center Employees.

1. Medical, Dental, and Vision

Information on medical insurance provider plans, coverage, and flexible spending accounts can be found at : <http://www.kumc.edu/human-resources/benefitsrewards/insurance-programs.html>.

2. Disability and Long Term Care

Information on short-term insurance coverage, long-term disability benefits, and long-term programs is available at: <http://www.kumc.edu/human-resources/benefitsrewards/disability-and-long-term-care.html>.

3. Life Insurance

The State of Kansas provides life insurance for eligible employees. See: <http://www.kumc.edu/human-resources/benefitsrewards/life-insurance.html>, for more information.

4. Wellness Program

The state has an employee wellness program; participation in which reduces the cost of health insurance. See <http://www.kumc.edu/human-resources/benefitsrewards/wellness-programs.html> for more information.

C. Retirement Benefits

1. Regents Retirement Plan

- a. **Mandatory:** Eligible employees must participate in a retirement plan whose options are set forth by the [Kansas Board of Regents](#). Faculty select their plan and investment options depending on their financial objectives. See <http://www.kumc.edu/human-resources/benefitsrewards/mandatory-retirement-plans.html>.

- b. **Voluntary:** The Board of Regents also offers a choice of voluntary retirement plans to eligible employees. No university contributions are made to the voluntary retirement plans. See http://www.kansasregents.org/about/regents_retirement_plans.

2. Phased Retirement Program

The Board of Regents has approved a phased retirement program for faculty and other unclassified employees. Faculty at a Kansas Board of Regents university who are age 55 or more with at least 10 years of full time service are eligible. Request to enter phased retirement must be mutually agreed upon by the faculty member and appropriate university officers.

- [All-University Policy on Phased Retirement](#)

Additional information can be found at: <http://www.kumc.edu/human-resources/benefitsrewards/mandatory-retirement-plans.html>.

3. Other Benefits and Employment after Retirement

- a. Persons approaching retirement age should consult with [Human Resources](#) for individual review and planning of their health care and other benefits after retirement.

b. **Retiree Rehire**

A retired faculty may be rehired for limited service when it serves the best interest of the University as determined on a case-by-case basis. A bona fide separation period should elapse between the effective date of retirement and the date that a KU retiree may be rehired.

- [Kansas Board of Regents bona fide separation from service](#)
- [KPERS: Working After Retirement](#) (See reference to the separation period.)

Departments/schools of the University may provide research support to retired faculty including support for an externally supported research grant or contract through the Office of Research Administration. Arrangements including salary, office space, lab space, etc. must be negotiated with the University. Any exception to this policy must be approved by the Executive Vice Chancellor.

c. **Research Work by Emeritus Staff**

The University considers retirement from active service as terminating all teaching duties, both on the undergraduate and graduate levels, and other assignments and responsibilities of active service. However, it encourages professor emeriti to continue their personal research activities and supplies them with the needed facilities if these are not required by students or other staff members of the department for their teaching and research; and it helps them, through the Office of Research Administration, to obtain sponsored research grants and to carry out these activities.

Should a retired professor's research work call for or permit the assistance of graduate students, such students may be appointed to work with that professor, provided that the department and Graduate Studies believe the professor is

qualified to conduct the research and the nature of the project justifies such help both by its desirability and by the type of experience to be gained by the students. A student thus employed may be given graduate credit for such work only if arrangements have been approved by the student's department and the Graduate Studies and if the student has been enrolled with a regular member of the graduate faculty department who has accepted the responsibility for evaluating the work and determining the student's grade.

D. Additional Benefits

1. Professional Liability Insurance

Physician faculty with a full-time appointment at the University who are also employed by a University affiliated private practice corporation or foundation may be eligible for assistance with professional liability insurance required by the [Kansas Health Care Provider Availability Act](#) (K.S.A. 40-3401 et seq). Other faculty members may be required to obtain and maintain insurance either under the Kansas Health Care Provider Availability Act or their licensing regulations and may also be eligible for assistance from their department/school. Information about coverage under the statute, limitations in the coverage, and eligibility for assistance with professional liability insurance are available from the applicable department/school and the Medical Center's risk manager.

2. Workers' Compensation

The Worker's Compensation program covers injury or illness sustained in the course of employment. The State Self-Insurance Fund administers all workers' compensation cases and benefits. The full policy and procedures are located at: <http://www.kumc.edu/human-resources/benefitsrewards/workers-compensation.html>.

3. Holidays

Paid holidays have been established by the Office of the Governor and the Board of Regents for eligible employees. Please refer to <http://www.kumc.edu/human-resources/policies-and-procedures/designated-holidays.html> for more information regarding holiday eligibility and dates.

4. Identification Badges

An identification badge is distributed by the Badging Office at KU Hospital to each new employee allowing "general" access to the campus. This badge should be worn or carried when at the Medical Center for identification purposes. More details are provided at: <http://www.kumc.edu/human-resources/employee-resources/for-managers/id-badges.html>.

5. Faculty Enrollment

- a. Faculty who have a 40% or more appointment may be eligible to receive a waiver that waives the required campus fee and the difference between resident and non-resident tuition. Faculty dependents may also be eligible to receive a waiver of the difference between non-resident and resident tuition. More information, eligibility requirements, and directions can be found on the [University of Kansas Medical Center Enrollment Services](#) website.
- b. Due to concerns of conflict of interest, members of the university faculty

having, or eligible for, tenure or holding any rank above that of instructor will not be granted degrees or certificates from within their department or school. Because of the variety of appointments covered by such terms as Lecturer, Associate, or the like, every case must be considered individually, with the student's department/school making a recommendation to the Office of Graduate Studies before the student begins the graduate degree or certificate program, or for students already in graduate programs, before the appointment is made. Although appointing departments are expected to bring this rule to the attention of prospective appointees who plan to seek degrees or certificates, the responsibility for initiating a request for waiver of the rule lies with the student. Waivers/exceptions may be granted in cases where the student and the department demonstrate satisfactorily that circumstances and conditions assure freedom from conflict of interest and undue influence. Petition for waiver/exception on the University of Kansas Medical Center campus should be forwarded to the Vice Chancellor for Academic Affairs for review and recommendation.

6. Employment of Relatives

In accordance with [Kansas Board of Regents Policy](#) (II.C.2.b.v), Persons may be appointed to classified or unclassified positions without regard to family relationship to or living arrangements with other members of faculty or staff so long as the personnel processes are conducted and decisions made according to the following Board/institutional policy. State ethics law prohibits advocacy for state agency employment of relatives of an employee's immediate family. Where a family member is in a position to directly evaluate or make decisions such as those concerning appointment, retention, promotion, tenure or salary of a close relative, all such decisions shall be the responsibility of the next highest administrative supervisor or the supervisor's designee.

7. Unemployment Compensation

Unemployment compensation is a program that provides temporary, unemployment benefits to qualified unemployed workers. Nine-month faculty members are not eligible for unemployment compensation between terms or academic year. More information may be found at the [State of Kansas Department of Labor](#).

8. Other

Other benefits available to faculty are described on the [Human Resources Benefits](#) website.

V. LEAVE POLICIES

A. Sabbatical Leave

1. Introduction

Sabbatical leaves are a means of promoting faculty development, The policy of the University with regard to sabbatical leaves is governed by the regulations of the Board of Regents, which state that *"in strictly meritorious cases, a full-time faculty member on regular appointment"* which refers to tenure-track or tenured, *"at any of the state universities who has served continuously for a period of six years or longer"* may, at the convenience of the institution and upon approval of the chief executive officer of the institution with which connected, be granted sabbatical leave. The sabbatical leave may be granted for the purpose of pursuing advanced study, conducting research studies, or securing appropriate industrial or professional experience. The Board of Regents policy also states that the number of faculty members to whom sabbatical leave is granted *"shall not exceed four percent of the number of equivalent full-time faculty . . . for the fiscal year for which the leave of absence is granted."*

- [Kansas Board of Regents Policy on Sabbatical Leave](#) (II.C.10)

2. Criteria to be Eligible for Sabbatical Leave.

In accordance with Regent's policy and university guidelines, faculty on a regular appointment must meet the following criteria to be eligible for sabbatical leave:

- a. Six years of full-time service at the University of Kansas Medical Center since the initial appointment or since the last sabbatical leave.
 - i. The academic year in which a sabbatical is taken is not counted toward the next six years of full-time service
 - ii. Years on fractional appointment, leave without pay, or other equivalent appointments are not counted.
 - iii. Years of service on adjunct, courtesy, visiting, or term appointments are not counted
- b. Faculty on a regular appointment must have tenure before the sabbatical is taken.

3. Sabbatical Leave may be Granted Subject to the Following Conditions

In accordance with Regent's policy, faculty on a regular appointment may be granted sabbatical leave subject to the following guidelines.

- a. At the convenience of the institution and upon the recommendation of the president or chancellor of the institution.
- b. Must not be for a period of less than one semester nor for a period of more than one year, with reimbursement being made according to the following schedule:
 - i. For persons on a nine-month appointment, up to half pay for an academic year, or up to full pay for one semester.
 - ii. For persons on a twelve-month appointment, up to half pay for eleven months, or up to full pay for five months.

- c. Regular salary is defined as the salary being paid at the time the sabbatical leave begins. Outside grant funds received by the University in support of the individual's scholarly efforts during his/her sabbatical leave may be used for supplemental salary, but total sabbatical leave salary in these instances may not exceed his/her regular salary. Administrative supplements shall not be used in the calculation of sabbatical leave pay.
- d. The faculty member who has been granted sabbatical leave must return to full time service at the University of Kansas Medical Center for a period of at least one year immediately following the expiration of the period of leave. Persons failing to return to the institution granting sabbatical leave shall refund all sabbatical pay. Those who fail to remain for the full year of school service (9 to 12 months depending on annual term of employment) shall refund that portion of their sabbatical pay as represented by the portion of time they fail to serve.

4. Application Process and Procedures

- a. The call for applications for sabbatical leave shall be issued each fall by the dean of each school. Sabbatical leaves are never automatic for a faculty member. Thus applicants applying for leave should prepare their applications carefully as they would for any competitive award and include sufficient information about his or her professional work and sabbatical proposal to enable evaluation.
- b. The University of Kansas Medical Center Sabbatical Leave Application Process and Sabbatical Leave Schedule can be found at <http://www.kumc.edu/academic-affairs/faculty-affairs/sabbatical-leave.html>

5. Extra Compensation While on Sabbatical Leave

- a. Faculty members on sabbatical leave at half pay may receive additional income from non-state sources either directly or through regular university administrative processes. When received directly, the maximum increment is the second half pay plus the amount ordinarily allowed under the University's consulting policy. When administered through the University, the maximum increment is the half pay only.
- b. Faculty members on university sabbatical leave at full pay may receive additional income from non-state sources up to the maximum ordinarily allowed under the University's consulting policy. They may not receive additional income from non-state sources through regular university administrative processes.
- c. Faculty members on sabbatical leave, either full pay or half pay, may not receive additional income through the University from state sources.
- d. In all cases, the acceptance of additional income by a person on sabbatical leave is justified only if the activity is congruent with the purposes of research, scholarly writing, clearly related professional experience, and study, for which sabbatical leaves are granted.

6. Change in the Sabbatical Leave Agreement and Return from Sabbatical Leave

- a. Any change in the sabbatical leave agreement must be in writing and approved by the faculty member and appropriate University administrators. The University of Kansas Medical Center Amendment to Sabbatical Leave Agreement can be found at: <http://www.kumc.edu/academic-affairs/faculty-affairs/sabbatical-leave.html>.
- b. A faculty member returning from sabbatical leave is expected to file a brief report regarding his/her leave with the office of the appropriate dean and Vice Chancellor for Academic Affairs within 90 days.

B. Vacation Leave

Faculty holding 12-month appointments are entitled to vacation leave with pay as detailed in: <http://www.kumc.edu/human-resources/benefitsrewards/vacation.html>. Employees must receive prior approval from their supervisor before using vacation time.

Persons holding nine-month appointments are not entitled to vacation leave with pay.

C. Sick Leave

Faculty and unclassified professional staff earn and accumulate sick leave upon employment. In accordance with Board of Regents policy, sick leave with pay may be granted only for the necessary absence from duty because of the personal illness, disability, or legal quarantine of the employee; or the personal illness or disability of a member of the employee's family or other qualified adult when the illness or disability reasonably requires the employee to be absent from work.

- [Kansas Board of Regents – Sick Leave \(II.C.10\)](#)
- [University of Kansas Medical Center Sick Leave](#)

D. Military Leave

The University of Kansas Medical Center offers paid and unpaid military leave. Military leave is paid up to 15 working days a year for employees who are National Guard or Reserve component members participating in annual active duty for training. Military leave is available without pay for employees who enlist, are commissioned, are drafted, or are otherwise ordered to active duty.

- [University of Kansas Medical Center Military Leave](#)

E. Bereavement Leave

In the case of a death of a close relative, up to six days of leave may be paid with supervisor approval. More information can be found at: <http://www.kumc.edu/human-resources/benefitsrewards/other-leave.html>.

F. Shared Leave

The Shared Leave Program allows eligible employees to donate sick or vacation leave that can be used by eligible employees who are experiencing a physical or mental health condition that is serious, extreme, or life threatening and who have exhausted their leave balances.

- [University of Kansas Medical Center Shared Leave](#)

G. The Family and Medical Leave Act (FMLA)

The Family and Medical Leave Act (FMLA) entitles eligible employees of covered employers to take paid or unpaid, job-protected leave for specified family and medical reasons. For further details and procedures, please refer to <http://www.kumc.edu/human-resources/benefitsrewards/other-leave.html>.

H. Other Leave With Pay

In order to fulfill jury duty or other appropriate civic obligations, employees may be granted leave with pay pursuant to Executive Vice Chancellor (or designee) approval. Details are located on <http://www.kumc.edu/human-resources/benefitsrewards/other-leave.html>.

I. Leave Without Pay

Faculty seeking a leave of absence without pay may be granted such leave for reasons set forth by:

- [University of Kansas Medical Center Leave without Pay](#)
- [Kansas Administrative Regulations, Article 9 \(1-9-6\)](#)

Use of accumulated vacation leave and accumulated sick leave may be required before approval of leave without pay. A written application with the endorsements of the appropriate department chair and/or dean or director should be submitted to the Executive Vice Chancellor.

If appropriate, a faculty member may request, at the time the application is submitted, that the leave not be considered a scholarly leave. The Executive Vice Chancellor (or designee), in consultation with the University General Counsel, will determine whether the request is to be granted.

VI. ACADEMIC RULES AND REGULATIONS

A. Academic Calendar

The Kansas Board of Regents has ruled that the academic calendar shall be followed as published.

The [academic calendar](#) with the official calendar dates for the University is maintained by the [Office of the Registrar](#) and generally applies to the University of Kansas Medical Center students enrolled in semester courses. However, some of the University of Kansas Medical Center campus programs have different starting and ending dates, such as the School of Medicine [medical students](#).

The Office of Graduate Studies prepares a separate calendar, the [Graduate Studies Calendar](#), with deadlines for exams, defenses, and submission of materials related to graduation.

B. Admission, Registration and Enrollment

Admission requirements and general application procedures for all programs offered by the University are outlined in the [Academic Catalog](#). Individual schools and academic programs may publish additional details about the application process and procedures. Students and trainees involved in any educational or training program at the University of Kansas Medical Center must be registered either with the Office of the Registrar or with the Office of Continuing Education according to the following guidelines:

1. Every person involved in a program or course giving academic credit or leading to a degree, diploma or certificate from the University will register with the Office of the Registrar. This regulation also applies to medical students from other institutions who are on the Medical Center campuses for research or clinical experience, whether or not they receive credit or certification from the University of Kansas.
2. Every person involved in an adult or continuing education program that does not award academic credit or lead to a degree, diploma or certificate will register with the University of Kansas Medical Center [Division of Continuing Education](#).

Academic advising is provided to students by the school, department or program in which they are enrolled.

C. Student Attendance

Each school and/or academic department establishes and publishes its own regulations with regard to class attendance and/or participation in examinations. The institution and/or faculty member - course instructor - has the right to restrict classroom attendance to those students who are properly enrolled. More information is available in [KUMC Student Handbook](#).

D. Tests, Examinations and Final Examinations

All tests and examinations are scheduled with due regard for any procedures that may have been established by the school in which the department, program or course is administered. All final examinations are scheduled in accordance with the University of

Kansas [Academic Calendar](#), with the exception of the Undergraduate Medical Curriculum for which separate test and examination guidelines are provided.

At the beginning of a course, students should be given a schedule of all major examinations, including any final examination, as well as a statement of the policies governing the administration of examinations and the use of individual examination results in computing and assigning grades.

E. Grades

Grades must be assigned in a timely manner to all students enrolled in a given course. Information regarding grading can be found in the [Academic Catalog](#).

F. Personnel and Academic Records

Official employment records for faculty members are maintained by the Department of [Human Resources](#). Official academic personnel records for all faculty members are maintained by the [Office of Faculty Affairs](#). Access to faculty academic records is governed by the following policy:

1. Files on individual faculty members are in general to be treated as confidential, with access limited to the individual concerned (except as provided in item 3 below); to those administrators and committees who are directly responsible for making individual staff decisions and/or have a need to know; and to local, state, and federal officials specifically authorized by law or regulations to have access to specified categories of information; or unless required to be disclosed under the Kansas Open Records Act.
2. At the written request of the faculty member, copies of any materials in his or her file (except as provided in item 3 below) shall be made available to other individuals that he or she designates. In the absence of such request, and subject to items 1 and 3, materials in the file shall be made available to other individuals seeking access only with the consent of the individual concerned or as a consequence of a court order, or if required to be disclosed under the Kansas Open Records Act.
3. A separate file related to matters such as promotion and tenure may be maintained by the school on a faculty member to which he or she may neither have nor authorize others to have access, because the materials it contains (such as letters of recommendation) were placed therein with a guarantee of confidentiality made or implied to the originators of such materials.
4. Files will be maintained in accordance with University retention schedules and policies.

G. Confidentiality of Student Records

The University of Kansas Medical Center affords all of its students their full rights as required by the Family Educational Rights and Privacy Act (FERPA). Students have the right to inspect all educational records personally identifiable as their own, except for certain components of such records exempt from inspection as outlined in the [Student Records Policy](#). The Student Records Policy places strict limitations on the release of student information without the consent of the student. Faculty are responsible for reading and following the guidelines presented in the policy.

H. Misconduct by a Student

Academic misconduct by a student is governed by each school at the University of Kansas Medical Center and addressed in the individual school's [Student Handbook](#).

Alleged instances of misconduct by a student should be reported to the individual school (the School of Medicine, the School of Nursing, or the School of Health Professions). Specific processes to address misconduct and sanctions/discipline with regard to all cases of alleged misconduct are identified in each school's [Student Handbook](#). Care must be exercised to preserve the requirements of due process.

I. Accommodations for Students with Disabilities

The mission of the Office of [Academic Accommodation Services](#) (AAS) of the University of Kansas Medical Center is to provide reasonable accommodations to qualified students with disabilities unless such accommodations would impose an undue burden or fundamental alteration to the program in question. Pursuant to federal and state laws, all qualified students with disabilities are protected from discrimination on the basis of disability and are eligible for reasonable accommodations or modifications in the academic environment to enable them to enjoy equal access to academic programs, services, or activities. The University of Kansas Medical Center is fully committed to complying with the laws regarding equal opportunity for all qualified students with disabilities; promoting the full inclusion of all qualified students in all aspects of campus life; and making reasonable accommodations as necessary to enable qualified students with disabilities to participate in academic programs and activities. The University of Kansas Medical Center's non-discrimination policies and procedures can be found on the [Equal Opportunity Office](#) website.

Students who believe they have a qualifying disability should contact the AAS as soon as possible after admission. The AAS staff will work with each student to understand his or her strengths and limitations in order to develop the most effective and appropriate reasonable accommodation plan. The AAS also collaborates with administrators, faculty, and staff to facilitate the provision of reasonable and appropriate accommodations for students with disabilities.

Further details about Accommodations for Students with Disabilities including Faculty Responsibilities can be found on the [Academic Accommodation Services](#) web site.

J. KUMC Childbirth Accommodation Policy

The University of Kansas Medical Center will grant students up to a six-week accommodation period for welcoming a child under the following conditions: the birth of a child, the adoption of a child, or the placement of a child for adoption or foster care. The six-week accommodation period can be granted as a leave, a revised academic, research, or clinical schedule, or a combination of the above. Student eligibility and academic processes are outlined in the [Student Childbirth Accommodation](#) policy statement.

VII. RESEARCH ADMINISTRATION and INTELLECTUAL PROPERTY

A. Overview

The Kansas Board of Regents has established research as a major mission for the University of Kansas. The board has delegated the authority (K.S.A. 76-723) for oversight of all research programs and the conducting of all research to the Chancellor of the University of Kansas and the Executive Vice Chancellor of the University of Kansas Medical Center. At the University of Kansas Medical Center, the Executive Vice Chancellor has allocated basic responsibilities related to research and administration of all sponsored programs through the following:

1. The University of Kansas Medical Center Research Institute.

The [University of Kansas Medical Center Research Institute](#) is a not-for-profit university corporation responsible for research administration.

2. Schools within the University of Kansas Medical Center.

The Executive Dean of the School of Medicine, Dean of the School of Nursing and Dean of the School of Health Professions are responsible for conducting the program of research in their respective schools.

<http://www.kumc.edu/school-of-medicine/research.html>

<http://www.kumc.edu/school-of-health-professions/research.html>

<http://nursing.kumc.edu/research/current-research.html>

The Dean of Postdoctoral Affairs works to ensure the success of postdoctoral scholars.

3. Research Centers and Institutes.

Information on the various Research Centers/Institutes and Core Service Laboratories can be found at: <http://www.kumc.edu/research.html>

4. The University of Kansas Medical Center Compliance Services.

[Compliance Services](#) provides regulatory compliance functions to support the University of Kansas Medical Center's programs and its research compliance review committees.

5. The Research Advisory Council.

The Research Advisory Council (RAC) serves as a forum to review and discuss research policies and also as a channel that the faculty, department chairs, center and institute directors, and deans can use to convey and receive information about research matters. Some of the specific functions of the Research Advisory Council and information on council representatives can be found at: <http://www.kumc.edu/rac>

B. University of Kansas Medical Center Research Institute, Inc.

[The University of Kansas Medical Center Research Institute](#) is a not-for-profit 501(c)(3) corporation established to promote and support medical research and faculty invention disclosures. The Research Institute administers federally-funded and privately-funded research projects and Clinical Trials within the University of Kansas Medical Center with a major objective of enhancing the research capability of the University of Kansas Medical Center faculty for the benefit of the public.

The Vice Chancellor for Research serves as the President of the University of Kansas Medical Center Research Institute and is the authorized agent for all new and continuing research grants and contracts. The Associate Vice Chancellor for Research Administration also serves as the Executive Director of the University of Kansas Medical Center Research Institute and oversees all Research Institute operations. The Research Institute is governed by a Board of Directors. A list of board members can be found at:

<http://www.kumc.edu/kumcri/about-us/research-institute-board-of-directors.html>.

1. The Research Institute is made up of various administrative divisions and the Office of Legal Affairs.

a. Division of Clinical Research Administration

The Division of Clinical Research Administration is the central liaison between the funding agency, Institutional Review Board and principal investigators at the University of Kansas Medical Center. Clinical Research Administration markets the University of Kansas Medical Center to potential research sponsors, receives and manages protocol initiation, and provides ongoing administrative support to ensure timely and cost-effective completion of clinical trials. Additional information can be found at: <http://www.kumc.edu/kumcri/clinical-research-administration.html>.

b. Division of Finance Services

The Division of Finance Services serves as the depository and administrator for funds received. This division works directly with principal investigators to ensure that the management of funds from granting agencies are made available efficiently and maintains a system that allows faculty and staff to certify their salaries charged to sponsored projects (ECRT). Additional information can be found at: <http://www.kumc.edu/kumcri/financial-services.html>.

c. Division of Sponsored Programs Administration

The primary responsibility of the Division of Sponsored Programs Administration (SPA) is to facilitate research related activities in each of the Schools. The Division of Sponsored Programs Administration (SPA) serves as a resource for (1) pre-award forms and procedures including proposal development and budget preparation and (2) post-award forms and activities. SPA also provides information on internal and external funding opportunities. Additional information can be found at: <http://www.kumc.edu/kumcri/sponsored-programs-administration.html>.

At the School of Medicine Wichita, the [Office of Research](#) provides the necessary services to assist faculty in developing proposals. This Office coordinates the submission of proposals with the Kansas City office.

d. Office of Legal Affairs

The University of Kansas Medical Center Research Institute Inc., encourages relationships with the corporate sector and has participated in a wide variety of written agreements related to pre-clinical and clinical research. The Office of Legal Affairs answers questions, reviews and negotiates these agreements. Additional information can be found at: <http://www.kumc.edu/kumcri/office-of-legal->

[affairs.html](#).

2. Other resources to support and guide University of Kansas Medical Center research include:

- a. [University of Kansas Medical Center Research Institute \(University of Kansas Medical Center\) Policies and Procedures](#)
- b. [KUMC Research Record Management, Disposition and Retention Policy](#)
- c. [University Policy and Commitment to Export Compliance](#)
- d. [Bioscience & Technology Business Center](#)
- e. **Statement on Classified Research**

A Statement of Policy on Classified Research at the University of Kansas was approved by the University Senate on October 23, 1969. It states as follows:

University policy concerning research is derived from the University's basic goals. One such goal is the development of new knowledge, necessarily through research by faculty and students. Another goal is the constant submission of all knowledge, new and old, for reappraisal by anyone concerned. A third goal is the dissemination or teaching of such knowledge as apparently still stands the test of reappraisal, as well as teaching the techniques of reappraisal themselves. And to the extent that the University is a part of the society, which built and maintains it, the security of that society in times of national emergency can be a goal of the University.

The integration of multiple goals traditionally has depended on the exercise of reason and good will within the University community. Thus, the policy which follows states only the general consequences of our multiple goals for the problem of classified research and assumes that specific cases will be fitted to that policy in an open and reasonable manner.

Classified research may be broadly defined as research in which the University accepts from outside some abridgement of the usual requirement that the total procedures, techniques, tools, data, results, and products of the research are open to inspection and appraisal by any legitimately interested person, usually through unrestricted publication by the investigator at such time as he or she deems appropriate. Research may be classified with respect to (1) its primary sources, (2) the process itself, or (3) its product; and the abridgement or classification may be made in the interest of the Government, corporate organizations, or individual persons.

This University will accept no theses, dissertations, research grants, contracts, assignments, or agreements which are classified. The only exceptions to the policy include classification of primary sources, products, processes, or national emergencies.

- i. **Classification of Primary Sources.** *Individuals, corporate organizations, and government agencies are sometimes willing to permit access to private records and to provide personal data for use in research so long as the confidential nature of the materials and the privacy of the individual are respected. In the humanities, such limitations are often placed upon the use of primary sources; in the behavioral sciences, on the identity of the subject; and in the engineering sciences, on data furnished by corporate or government bodies. Such restrictions are acceptable when they are in the best interests of the researchers and the University, and the integrity of the investigators and their work is not compromised.*
- ii. **Classification of Research.** *The University will allow the momentary classification of research (not to exceed one year) when this classification is required by outside agencies to protect their interests by preserving the privacy of the data, records, and products generated in the processes of the research, provided such momentary classification is deemed in the best interest of the University and all faculty members and students who are involved. In the case of student research, such classification shall be further limited by the proviso that it shall not restrict in any way the department or Graduate School in their usual practices of appointing members to the Student Advisory Committee, nor the student's freedom to seek expert advice and assistance from the faculty. In addition, it should not restrict the ability and duty of the members of the Student Advisory Committee to inspect the research process and product at any time.*
- iii. **Classification of Product.** *This momentary classification may not extend beyond one year after the development of the research result or product, the point of development being judged by the responsible investigator. Such momentary classification may be accepted only when its conditions are approved in writing by the Office of Research Administration and the faculty member concerned. When students propose to use the research for a thesis or dissertation or other requirement of a graduate enrollment, such classification will be further limited by the proviso that (1) theses and dissertations performed as part of such research will be unclassified (or else will not be submitted to the committee for formal defense until they are declassified; i.e., until their procedures, techniques, tools, data, and results are open to inspection by any member of the graduate faculty); and (2) the conditions must be approved in writing by the Graduate School, the students involved, the Office of Research Administration, and the faculty member concerned. It will be the responsibility of the faculty member to secure such approvals.*

- iv. National Emergency.** *In times of national emergency declared by the Congress, the University, through its established procedures and channels, may accept classified research grants, contracts, assignments, and agreements in the interests of national security and appropriate to the nature of the emergency and the resources of the University.*

Although thus committed to a policy of discouraging classified research projects, the University maintains a facility security clearance to facilitate the acquisition, shortage, and use of classified information where necessary and appropriate for its research activities. Several administrative officers and faculty members hold Department of Defense security clearances. Questions and requests for assistance may be addressed to the University Security Officer through the Director of the University of Kansas Medical Center's Police Department.

C. University of Kansas Medical Center Compliance Services

A number of offices with regulatory function oversee a comprehensive compliance program for the ethical conduct of research at the University of Kansas Medical Center including the Office of Compliance, the Human Research Protection Program, and the Office of Animal Welfare.

1. Office of Compliance

The University of Kansas Medical Center [Office of Compliance](http://www.kumc.edu/compliance-services/office-of-compliance.html) works to promote a culture of compliance and to foster adherence to applicable laws and institutional policies. Key research related compliance areas include Conflict of Interest, Compliance Training, and the Privacy Program which works to ensure the privacy and the security of patient health information. Additional information can be found at: <http://www.kumc.edu/compliance-services/office-of-compliance.html>

2. Human Research Protection Program

The University of Kansas Medical Center Human Research Protection Program was developed to ensure the rights, safety and welfare of all subjects recruited or enrolled in research projects, regardless of funding source. The program also ensures that all personnel involved in research activities understand and comply with the ethical standards of research. Additional information can be found at: [Human Research Protection Program](http://www.kumc.edu/human-research-protection-program)

3. Office of Animal Welfare

The Office of Animal Welfare follows the highest standards of care and treatment for research animals. Additional information can be found at: <http://www.kumc.edu/office-of-animal-welfare.html>

D. Intellectual Property

1. University of Kansas Medical Center Employee Invention Assignment Agreement

As a condition of employment at the time of hire, the University of Kansas Medical Center requires all employees including faculty to review, complete, and sign the Employee Invention Assignment Agreement. This Agreement outlines and documents ownership rights of inventions that are developed during the University of Kansas Medical Center employment. The agreement form may be found at:

- [University of Kansas Medical Center Human Resources Website](#)
- [University of Kansas Medical Center –Wichita Human Resources Website.](#)

2. Kansas Board of Regents Intellectual Property Policy

The purpose of the [Kansas Board of Regent’s Intellectual Property Policy](#) (II.A.8) is to foster the creation and dissemination of knowledge and to provide certainty in individual and institutional rights associated with ownership and with the distribution of benefits that may be derived from the creation of intellectual property.

3. The University of Kansas Medical Center Intellectual Property Policy

The University of Kansas Medical Center recognizes that professional activities by its employees in accomplishing teaching, research and service, and enrollment-related activity by its students, may lead to the creation of new knowledge, art forms, etc., which will benefit society. [The University of Kansas Medical Center Intellectual Property Policy](#) aligns with The Board of Regents Intellectual Property Policy.

4. University of Kansas Innovation and Collaboration (KUIC)

The [University of Kansas Innovation and Collaboration \(KUIC\)](#) is a 501(c)(3) with a fifteen-member Board chaired by the Provost and Executive Chancellor of the University of Kansas. The mission of KUIC is to bring innovation to the marketplace for the benefit of society and the university.

VIII. GRIEVANCES AND APPEALS

A. Introduction

The University of Kansas Medical Center is a large and complex community, and disputes will inevitably occur. In most instances, every attempt should be made to resolve disputes informally. Informal resolution occurs when both sides of the dispute agree with the final resolution. In general, when a dispute is resolved informally, there are no permanent records or files kept on the matter.

Formal resolution occurs through established procedures for preliminary review, hearing, and subsequent resolution of the issues raised. KUMC has mechanisms to address specific types of allegations/complaints/grievances or to appeal decisions that adversely impact faculty, including those made by administration.

Formal resolution procedures are available for the following issues: failure to meet academic responsibilities, personal or professional misconduct, improper use of social media, infringement of academic freedom, discrimination, research and other scholarly misconduct, and other grievances for which the faculty member requests the opportunity for a hearing or peer review by a faculty committee including certain actions taken during financial exigency and program discontinuance.

Administrative decisions that may be appealed include denial of promotion/tenure (if procedural violations are suspected), dismissal for financial exigency or program discontinuance, and suspension without pay or dismissal for failure to meet academic responsibilities (including a post-tenure review recommendation of dismissal), personal or professional misconduct, improper use of social media, discrimination, or research and other scholarly misconduct. The procedures are designed to afford due process, make sure that complaints and appeals are addressed in a timely and consistent manner by appropriate offices or objective peer review bodies, and to provide clear guidelines for all participants.

B. Definitions

The following general terms are used throughout the succeeding procedures. Where applicable, additional issue-specific terms are defined within each procedure.

1. Academic Freedom.

The AAUP's definition of academic freedom is best reflected in its 1940 Statement of Principles of Academic Freedom and Tenure. According to that statement, academic freedom means that:

- Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties.
- Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial material that has no relation to their subject.
- College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers,

they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

2. Administrative Review.

The process of evaluation of an allegation or allegations by a designated university official who holds issue-specific expertise.

3. Aggrieved party.

The person who is making a complaint or appealing, as authorized by this Handbook, a recommendation; also referred to as “complainant” at initial hearing phase or “appellant” during the appeal phase.

4. Allegation.

A written or oral statement that misconduct or prohibited actions have occurred.

5. Appeal.

A written or oral request for further review of an administrative decision involving suspension without pay, dismissal, or promotion/tenure decision (if procedural violations are suspected) made to a designated university official as required by the applicable University appeal procedure.

6. Appellant.

An individual who requests review of an administrative decision as authorized by this Handbook, or otherwise initiates a university appeal procedure.

7. Burden of Proof.

Burden of proof means the burden of persuasion. The person who has the burden of proof must persuade the decision-maker that, his/her claim is more probably true than not true. The burden of proof is not to be determined by the number of witnesses or documents presented by a party. The burden of proof for purposes of these disciplinary and appeal proceedings is met when the total information presented by one party, when considered and compared with that opposed to it, produces the conclusion that something is more likely true than not true.

8. Complainant.

The person, entity or group filing an allegation of misconduct or prohibited action including failure to meet academic responsibilities, personal or professional misconduct, improper use of social media, infringement of academic freedom, discrimination, research or other scholarly misconduct.

9. Conflict of Interest.

The real or apparent interference of a person's or entity's interests with the interests of another person or entity, which may inhibit or prevent unbiased evaluation of facts and appropriate decisions.

10. Evidence.

Oral testimony, written accounts, data, images, graphs or other materials or information that are used to substantiate or refute allegations.

11. Fabrication.

Making up data or results, and recording or reporting them.

12. Falsification.

Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

13. Finding.

The determination made by a duly appointed administrative official or a duly constituted peer review panel regarding the outcome of a review or hearing.

14. Good Faith Allegation.

An allegation made with the honest belief that misconduct or prohibited actions may have occurred. An allegation is not in good faith if made with reckless disregard for, or willful ignorance of, facts that would disprove the allegation.

15. Grievance.

A written statement by an individual or group setting forth a complaint that has not been resolved by other methods or processes.

16. Inquiry.

A process of gathering information and initial fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.

17. Investigation.

The formal examination and evaluation of all relevant facts to determine if there exists a reasonable basis for the allegation or complaint and if so, to determine the responsible person, the seriousness of the misconduct and the appropriate administrative response.

18. Peer Review.

The process of evaluating allegations or appeals through a panel of peers rather than through a designated university official.

19. Plagiarism.

The appropriation of another person's ideas, processes, results or words without giving appropriate credit.

20. Recommendation.

A suggestion made by a peer review panel/committee or a duly appointed university official regarding the appropriate administrative response to a complaint or appeal procedure.

21. Research.

All basic, applied and demonstration research in all fields of science, engineering and mathematics. This includes, but is not limited to, research in education, medicine, basic sciences and research involving human or animal subjects.

22. Respondent.

The person, group or entity against whom an allegation is directed or whose actions are the subject of a hearing. There can be more than one respondent in any hearing.

23. Retaliation.

Any unwarranted adverse action taken by a person, entity or group against a complainant, witness, peer review member, or institutional official that can be linked to their initiation of or participation in a complaint or appeal procedure.

24. Witness.

An individual who provides written or oral evidence in conjunction with an appeal or complaint procedure.

C. Types of Issues**1. Failure to Meet Academic Responsibilities**

Failure of a faculty member to carry out his or her academic responsibilities. This includes but is not limited to:

- a. Grading student work by criteria other than academic performance or willful neglect in the discharge of duly assigned duties.

- b. Cumulative absences or failures to perform.
- c. Failure to meet acceptable level of academic performance for three consecutive years as part of a faculty member's annual assessment.
- d. A "triggered" or "scheduled" post tenure review of unsatisfactory (recommendation of dismissal). (See [Section III, Part 5.A.6.](#))

2. Personal or Professional Misconduct

Personal or professional misconduct is broadly defined as conduct that fails to meet KUMC's expectation that its faculty: (1) act professionally in their interactions with students, faculty, and staff, (2) conduct themselves according to the applicable University of Kansas Medical Center, University of Kansas, and Kansas Board of Regent policies, and (3) conduct themselves in a manner that by normal societal standards would be considered as morally and professionally acceptable conduct.

3. Research or other Scholarly Misconduct

Policies on Research Misconduct are governed by Federal Regulations and by the University of Kansas Medical Center Research Integrity and Research Misconduct policy and procedures. The University of Kansas Medical Center Research Misconduct policies and procedures are located on the Office of the Associate Vice Chancellor for Compliance website.

- [Research Integrity and Research Misconduct](#)

4. Discrimination

Policies on Discrimination are governed by federal laws and regulations. The University of Kansas Medical Center policies and procedures on Discrimination are located on the Equal Opportunity Office website.

- [Discrimination](#)

5. Infringement of Academic Freedom

Infringement of academic freedom by some single act or combination of acts of the University and/or university faculty person or faculty group.

6. Improper Use of Social Media

Improper use of social media occurs when faculty use social media in a way that violated University and/or [KBOR Social Media Policy](#) (II.F.6)

- [KUMC Improper Use of Social Media Procedure](#)
- [University of Kansas/University of Kansas Medical Center Social Media](#)

7. Financial Exigency

The formal recognition by a state university that known reductions in budget or authorized number of positions have required the elimination of tenured and non-tenured faculty positions.

- See [Section IX.B. Financial Exigency](#)

8. Program Discontinuance

Discontinuation of a program for bona fide educational considerations resulting in relocation or release of faculty in the discontinued program.

- See [Section IX.D. Program Discontinuance](#)

9. Other Grievances

Grievances for which the faculty member requests the opportunity for a hearing or peer review by a faculty committee.

D. General Provisions

The following general provisions apply to all complaint, hearing, and appeal procedures.

1. Due Process

The "due process" accorded faculty shall include the following elements:

- a. The aggrieved party/appellant/complainant and respondent to a proceeding may represent himself or herself or be advised by an advisor or counselor of his or her choice.
- b. The respondent shall have the right to a written statement of the allegation, complaint, or grievance against him or her. The statement shall set forth the facts upon which the allegation/complaint/grievance is based and shall indicate the provision or provisions of the policy, rule or regulation alleged to have been violated, or the acts of established university bodies or officials alleged to have been unlawful, arbitrary, or capricious.
- c. During a hearing, the respondent shall have the privilege of remaining silent and may refuse to give evidence.
- d. The aggrieved party/appellant/complainant and respondent to a proceeding shall have the opportunity to fully examine the evidence presented by the respective parties, including the opportunity to cross-examine witnesses during a hearing.
- e. When a process includes a hearing, the hearing body shall base its recommendations solely on the evidence received as part of the hearing.
- f. The parties to a proceeding shall receive prompt, written notice of the decision of the committee or administrative official and the facts that form the basis of the decision.

2. Confidentiality

Aggrieved party/appellant/complainant, respondents, witnesses and others involved in a complaint, hearing, or appeal shall refrain from disclosing information about allegation/complaint/grievance or appeal cases to anyone who does not have a legitimate need or right to know. Violation of this confidentiality requirement may result in a charge of unprofessional conduct against a faculty member or disciplinary action for non-faculty employees.

3. Filing a False Complaint or Retaliating Against Participants in the Complaint Process

KUMC strives to protect the due process rights and reputations of all parties involved in the complaint/grievance and appeal process. KUMC prohibits retaliation against complainants who make an allegation in good faith, as well as all respondents, appellants and other participants in the process. Making a false complaint is considered to be serious misconduct which is subject to sanction, including disciplinary action.

E. Peer Review Committees

Faculty peer review at the University of Kansas Medical Center is conducted by two faculty committees: the Medical Center Hearing Committee and the Medical Center Ad Hoc Hearing Committee on Promotion and Tenure.

1. The Medical Center Hearing Committee

a. Role of the Committee

The Medical Center Hearing Committee will consider allegations/ complaints/grievances regarding failure to meet academic responsibilities, personal or professional misconduct, improper use of social media, infringement of academic freedom, other grievances for which the faculty member requests the opportunity for a hearing or peer review by a faculty committee, financial exigency, and program discontinuance.

b. Composition of the Committee

The committee will be comprised of six University of Kansas Medical Center faculty members selected at the time of the review that will include one member chosen by the aggrieved/complainant party, one member chosen by the respondent and four faculty representatives selected by the Faculty Assembly Steering Committee with approval of the Vice Chancellor for Academic Affairs. These four faculty representatives will include at least one tenured, full professor and faculty representatives from each of the following: School of Medicine, School of Health Professions, and School of Nursing.

c. Committee Chair

One of the members shall serve as a non-voting chair for each hearing; this individual may not have the same school or departmental affiliation as the aggrieved party/complainant or respondent.

d. Conflict of Interest Restriction

No member of the committee may have an apparent or real conflict of interest regarding the issues or participants for a given complaint or grievance. The Vice Chancellor for Academic Affairs has the responsibility of clearing individuals of conflicts.

2. Promotion and Tenure Hearing Committee

See [Section VIII.I. Promotion and Tenure Appeal Procedure](#)

3. Changes and Amendments to these Guidelines

Procedural changes and amendments to these guidelines shall be made jointly by the Faculty Assembly Steering Committee, the Vice Chancellor for Academic Affairs, and the Executive Vice Chancellor.

F. Process to Resolve Allegations, Complaints, Grievances Complaint Procedure

1. General Principles

The following provides a mechanism for handling and processing

allegations/complaints/grievances about faculty failure to meet academic responsibilities, personal or professional misconduct, and improper use of social media. This process can also be invoked for other grievances for which the faculty requests the opportunity for a hearing or peer review by a faculty committee. Processes for research or scientific misconduct are handled under the University's Research Integrity and Research Misconduct policies, found at <http://www.kumc.edu/compliance/research-integrity-and-research-misconduct.html>. Discrimination complaints are investigated under the University's Discrimination Complaint Resolution Process, found at <http://www.kumc.edu/equal-opportunity-office/discrimination.html>. Processes for Infringement of Academic Freedom are discussed in [Section VIII.G](#).

2. Informal Resolution Strategies

Allegations/complaints/grievances regarding faculty conduct shall be reported at the first and most informal level. Generally, this will be the department chair, center director, or dean of the faculty member whose conduct is being questioned. Should informal resolution attempts fail, formal resolution can be initiated.

3. Responsibility for Formal Resolution Strategies

- a. The Executive Vice Chancellor delegates responsibility for responding to formal allegations, complaints, and grievances regarding faculty failure to meet academic responsibilities, personal or professional misconduct, improper use of social media, and infringement of academic freedom or other grievances for which the faculty request the opportunity for a hearing or peer review by a faculty committee to the Vice Chancellor for Academic Affairs.
- b. Anyone having reason to believe faculty misconduct or prohibited actions have occurred shall report the matter, in writing, to the Vice Chancellor for Academic Affairs. This report is assumed to be a "good faith allegation." In cases of failure to meet academic responsibilities or personal or professional misconduct, the dean of the school (Executive Dean of the School of Medicine [in consultation with the appropriate regional dean], Dean of the School of Nursing, Dean of the School of Health Professions) may recommend to the Vice Chancellor for Academic Affairs, in writing, that a tenured faculty member be disciplined or dismissed. The Dean, or Executive Dean in the case of the School of Medicine, will provide a file that explains the history and rationale for the recommendation. A post-tenure review recommendation of dismissal will be considered as a failure to meet academic responsibilities and will also be referred to the Vice Chancellor for Academic Affairs for formal resolution. Formal resolution may also be initiated by the Vice Chancellor for Academic Affairs in response to notifications from department chairs, or center directors; direct observations of conduct; or any information to justify such action including improper use of social media. When formal resolution is initiated by the Vice Chancellor for Academic Affairs, the Vice Chancellor for Academic Affairs shall prepare a written summary of the reason(s) for initiating formal resolution.

4. Decision for Formal Resolution Strategies

- a. Upon receipt of a written allegation/complaint/grievance, and when the Vice

Chancellor of Academic Affairs initiates the formal resolution process, the Vice Chancellor for Academic Affairs shall immediately refer the issue to the Faculty Assembly Steering Committee for consideration and inform the faculty member that formal resolution has been initiated. The Faculty Assembly Steering Committee will determine within 20 business days whether a hearing is warranted.

- i. If no hearing is recommended, the Vice Chancellor for Academic Affairs will notify the Executive Dean of the School of Medicine, Dean of the School of Nursing, or Dean of the School of Health Professions of the recommendation with a copy to the faculty member and the Executive Vice Chancellor.
 - ii. If the Faculty Assembly Steering Committee recommends that a hearing occur, a Medical Center Hearing Committee will be appointed to convene and review the facts.
 - iii. Procedural steps are outlined in a flow chart at the end of [Section VIII](#).
- b. The Medical Center Hearing Committee shall be established and a time for the hearing will be identified within 20 business days of receiving the recommendation that a hearing occur from the Faculty Assembly Steering Committee. The hearing process will be coordinated and staffed by the Office of the Vice Chancellor for Academic Affairs, and all administrative correspondence regarding the hearing process shall be directed to the Office of the Vice Chancellor for Academic Affairs. All materials relevant to the hearing and that the parties want to have the hearing committee consider during the hearing process shall be filed with the Office of the Vice Chancellor for Academic Affairs. The costs and expenses, if any, for administering the hearing will be assumed by the school in which the faculty member has primary appointment. The school will work with the Office of the Vice Chancellor for Academic Affairs to facilitate payment of all administrative costs and expenses of the hearing process in an efficient and timely manner. The faculty member will be responsible for his or her own costs and fees, if any. Timelines may be extended by the Vice Chancellor for Academic Affairs at his or her discretion or upon written request from the committee, the respondent, and/or the complainant/aggrieved party. The Vice Chancellor for Academic Affairs will notify all parties, in writing, when extensions are made.

5. Formal Resolution Strategies – Hearing Procedure

- a. The Vice Chancellor for Academic Affairs or designee shall notify the respondent, and the complainant, where applicable, in writing that the Medical Center Hearing Committee has decided to proceed with a hearing of the complaint. The notice shall indicate upon what grounds the determination was made and will include a copy of any applicable policies or procedures.
- b. The hearing shall be conducted by the Medical Center Hearing Committee and shall conform to procedural guidelines noted below.

c. Procedural Guidelines for the Hearing

- i.** Each party shall provide a list of witnesses to all other parties, and the Vice Chancellor for Academic Affairs, five business days prior to a hearing. Notifying witnesses of a request to appear and testify is the responsibility of each party--the respondent and aggrieved party/complainant.
 - ii.** At least five business days prior to the hearing, each party shall provide to all other parties and the Vice Chancellor for Academic Affairs at list of documents and supporting materials that will be presented at the hearing.
 - iii.** The hearing will include examination of all relevant documentation, supporting materials, and witnesses. The Medical Center Hearing Committee will determine if such documentation, materials, and witnesses are relevant to the process. If the Medical Center Hearing Committee determines that any materials or witnesses are not relevant to the hearing, the Medical Center Hearing Committee may decline to review such materials or hear from the witness.
 - iv.** The aggrieved party/complainant and respondent shall be entitled to full examination and hearing of the relevant information, including the right to question witnesses presented by the other party.
 - v.** The aggrieved party/complainant and respondent may be self-represented or may be represented by an adviser of his or her own choice.
 - vi.** Relevant statements and/or information obtained in any previous hearing or informal attempts at resolution or in the course of a previous administrative proceeding may be obtained at the discretion of the committee, but all information obtained in this manner must be relevant in order to be entered into the hearing record.
 - vii.** The Committee may request that specific individuals related to the allegation/complaint/grievance appear before the committee to be present for questioning.
 - viii.** The respondent shall have the privilege of remaining silent and may decline to present any information, documents, or witnesses during a hearing.
 - ix.** The hearing shall be transcribed by a professional reporting service and transcripts of recorded statements shall be made.
- d.** The hearing of information by the committee shall be completed within 16 calendar weeks from the date on which the committee members are cleared of conflicts by the Vice Chancellor for Academic Affairs.
- e.** Recommendations of the Medical Center Hearing Committee shall be based solely on materials, information, and documentation made a part of the record either during the hearing or by submission of written briefing or other documentation to the Hearing Committee prior to the hearing date. The Medical Center Hearing Committee recommendation may include any of the sanctions listed below.

- f. The Medical Center Hearing Committee shall render its recommendations to the Vice Chancellor for Academic Affairs within 10 business days from the date on which the hearing has been completed. The committee's recommendation shall be forwarded by the Vice Chancellor for Academic Affairs to the applicable dean for decision as well as to the complainant and the respondent.
- g. The dean shall report his or her decision regarding the matter, in writing, within 10 business days of receiving the committee's recommendation, to the chair of the Faculty Assembly Steering Committee and the Vice Chancellor for Academic Affairs. The dean may fully accept or reject the committee's recommendations, or accept part of the recommendations and reject part of the recommendations. Whether the dean accepts or rejects all or part of the committee's recommendations, the dean may decide that a different sanction, or no sanction is appropriate. The Vice Chancellor for Academic Affairs will report the dean's decision to the complainant(s) and his or her supervisor(s) as well as to the respondent and the Executive Vice Chancellor.

6. Sanctions

The sanctions listed here are formal sanctions and are steps taken beyond local complaints at the program or department level about a faculty member's performance; i.e., verbal admonitions to improve or change one's behavior, or negative comments concerning a faculty member's performance as may be stated in the annual evaluations. One or more of the following sanctions, listed in order of increasing severity, may be imposed for proscribed conduct by a faculty member.

Although listed in order of severity, the sanctions need not be applied serially, and a more serious sanction may be applied without a less serious one having been previously applied. Sanctions i, ii, iii, and iv below are considered corrective and are not subject to appeal. Sanctions under v below are considered punitive and may be appealed.

a. Warning.

Notice in writing that continuation or repetition of conduct found wrongful, within a period of time stated in the warning, may be cause for more severe disciplinary action.

b. Restitution.

Reimbursement for damage to or misappropriation of property. This may take the form of appropriate service or other compensation.

c. Recommendation of Censure.

Recommendation to the dean of the applicable school that a faculty member be formally reprimanded.

d. Recommendation of Suspension with Pay.

Recommendation to the dean of the applicable school that a faculty member be excluded from teaching and other specified privileges or activities for a definite period not in excess of two years.

e. Recommendation of Suspension without Pay or Dismissal.

Recommendation to the dean of the applicable school that a faculty member be suspended without pay or dismissed.

7. Appeal and Adjudication of Corrective Actions and Non-Punitive Measures

If the Dean's decision results only in the imposition of corrective actions or non-punitive measures, there is no appeal, and the decision of the dean shall be final.

8. Adjudication Procedure

If the dean's decision results in a punitive sanction such as suspension without pay or dismissal, the respondent may appeal the decision through the appropriate procedure contained in [Section VIII.L.](#) of this Handbook.

9. Records Management

The Vice Chancellor for Academic Affairs and the Medical Center Hearing Committee are delegated responsibility for preparing and maintaining all documentation and information gathered or generated during the hearing. Documentation of an allegation/complaint/grievance that was not followed by a hearing shall be sufficiently detailed to permit a later assessment of the reasons for determining that a hearing was not warranted. All records shall be maintained in a secure manner in the office of the VCAA for a period of at least five years after termination of the inquiry or completion of the hearing.

10. Changes and Amendments to Policy and Procedures

Policy changes to these procedures shall be made in consultation with the Executive Vice Chancellor, the Vice Chancellor for Academic Affairs, deans of the respective schools, the Faculty Assembly Steering Committee and the Faculty Assembly.

G. Infringement of Academic Freedom Complaint Procedure

1. General Principles

The University of Kansas has a long tradition of dedication to the principles of academic freedom and has sought to implement these principles as they are embodied in the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors and the American Association of Colleges. As outlined in the AAUP policy, academic freedom affords faculty an important right in fulfilling their teaching obligation: freedom in the classroom in discussing their subject. However, the faculty "should be careful not to introduce into their teaching controversial matter which has no relation to their subject." An important right that academic freedom affords faculty in performing their research obligation is "full freedom in research and in the publication of the results."

While academic freedom affords faculty some important rights and freedoms, it should not be construed to mean that it provides protection for all actions a faculty person may choose in an effort to fulfill his or her academic responsibilities. For example, academic freedom does not confer the right to a faculty person to choose to perform his or her research and/or teaching obligations at the expense of other academic and/or service responsibilities. Also, academic freedom does not protect a faculty person from suspension if the faculty person engages in activities deliberately designed to, and which resulted in disruption of the normal and ordinary process of education and training offered at the University. The University of Kansas Medical Center recognizes that rights a faculty person may think are afforded him or her by academic freedom may be open to different interpretation. Accordingly, the University of Kansas Medical Center is committed to resolve at the earliest and most informal level complaints by a faculty person or faculty

group that academic freedom has been infringed.

2. Resolution Strategies

Individuals are urged to first seek remedy for a complaint at the level of their immediate supervisor (e.g., chairperson) as outlined in the Complaint Procedure section below. The complaint should be brought to their supervisor's superior (e.g., dean of the respective school) if the supervisor is the person alleged to have violated the faculty member's academic freedom. The Vice Chancellor for Academic Affairs may be consulted to resolve confusion as to where the initial complaint should be filed. The initial resolution attempt may resolve the matter. However, the University recognizes that such a resolution attempt may fail for a variety of reasons, including (a) the parties cannot agree as to whether or not academic freedom has been infringed; (b) the parties agree that academic freedom has been infringed but do not agree as to the remedy; or (c) the supervisor does not have the authority to enforce an agreed-upon remedy. When the initial resolution attempt fails, a written request for a hearing may be sent to the Vice Chancellor for Academic Affairs as outlined in the Complaint Procedure section below.

3. Purpose and Jurisdiction of the Academic Freedom Complaint Procedure

The procedure is restricted to complaints that allege that a faculty person's (or faculty group's) academic freedom has been infringed by some single act or combination of acts of the University and/or university faculty person or faculty group. The procedure is internal to the University and applies to incidents that take place at the University and its affiliated off-site locations or are related to University operations. Individuals who may use this procedure include all individuals with faculty appointments (tenured, non-tenured, clinical, research). Aggrieved parties are referred to as complainants. Persons alleged to have infringed on the academic freedom of the complainants are referred to as respondents.

4. Responsibility for Implementation

The Executive Vice Chancellor delegates to the Vice Chancellor for Academic Affairs responsibility for university compliance with academic freedom protections afforded to university faculty.

5. Timelines

Time limits set forth in these procedures may be extended by the Vice Chancellor for Academic Affairs, at his or her discretion, or upon written request to the Vice Chancellor for Academic Affairs from the complainant, respondent, or the supervisor (or supervisor's superior when appropriate). The Vice Chancellor for Academic Affairs shall inform the parties when extensions of the time limits are made.

6. Complaint Procedure

The procedural steps are outlined in a flow chart at the end of [Section VIII](#).

a. Details of Complaint Procedure

- i.** The complainant(s) files a written complaint with his or her (their) immediate supervisor(s), or the supervisor's superior when appropriate. If a single event is the cause, then the complaint should be filed within 20 business days of the event alleged to infringe academic freedom. If the complaint was precipitated by a series of events over a period of days, months or years when viewed in culmination, then the complaint should be filed within 20 business days of the last in the series of events. The date upon which a written complaint is received by the complainant's supervisor (or supervisor's superior when appropriate) shall be referred to as the complaint filing date.
- ii.** The written complaint must detail:
 - a. the time and date of the event(s) that caused the complaint;
 - b. the reason why the event is viewed by the complainant(s) as an infringement of academic freedom;
 - c. the identification of the respondent (person(s) or group) that committed the alleged violation; and
 - d. the proposed remedy.
- iii.** Upon receipt of the complaint, the supervisor(s) (or the supervisor's superior) will respond in writing to the complainant(s) acknowledging the time and date he or she received the complaint and will inform the respondent in writing about his or her involvement in the complaint concerning alleged violation of academic freedom.
- iv.** The supervisor(s) (or the supervisor's superior) will investigate the complaint. This investigation and related responses are to be completed within 15 business days of receipt of the complaint. As part of this investigation, the supervisor(s) (or the supervisor's superior) will:
 - a. meet with the complainant(s) and respondent(s) to discuss the complaint and proposed remedy; and
 - b. make an earnest attempt to reach a resolution agreeable to all parties.
- v.** If an agreement is reached, a written statement detailing the resolution will be signed by the complainant(s) and supervisor(s) (or the supervisor's superior) with copies given to all involved parties to the resolution.
- vi.** If a mutual resolution is not reached, the supervisor(s) (or the supervisor's superior) will respond in writing to the complainant(s). The response must contain, as a minimum, the following information:
 - a. whether or not he or she agrees that the complainant(s) has alleged a valid complaint which involves academic freedom;
 - b. the steps that were taken to reach a resolution; and

- c. details as to why a mutually agreeable resolution was not accomplished.
- b. If the above-mentioned resolution attempt fails, the complainant(s) may send a written request for formal review by the Medical Center Hearing Committee to the Vice Chancellor for Academic Affairs who will refer the request to the Faculty Assembly Steering Committee. The request must be presented to the Vice Chancellor for Academic Affairs within 30 business days after the last attempt at complaint resolution (see Timeline above). In the request, the complainant(s) must document that he or she (they) has (have) attempted, in good faith, to resolve the complaint at the appropriate administrative level. At a minimum, this documentation must include:
 - i. a copy of the original written complaint;
 - ii. the written response of the supervisor(s) indicating time and date of receipt of the complaint (i.e., filing date);
 - iii. details as to time and date of previous meetings to discuss complaint and seek resolution;
 - iv. the complainant's opinion as to why the resolution attempt failed; and the written response of the supervisor(s) (or the supervisor's superior) detailing why the resolution attempt failed.
- c. The Vice Chancellor for Academic Affairs will notify the dean of the applicable school, and the Executive Vice Chancellor of the request for formal review.
- d. The Faculty Assembly Steering Committee will review the initial complaint and supporting documents to determine if there is reasonable possibility that academic freedom has been infringed.
- e. The Faculty Assembly Steering Committee will have 30 business days to complete its initial review. If the Faculty Assembly Steering Committee determines, based on the information presented, that there is not a reasonable possibility that academic freedom has been infringed, there will be no additional appeal or hearing possible.
- f. If the Faculty Assembly Steering Committee determines, based on the information presented, that there is a reasonable evidence that academic freedom has been infringed, then the Medical Center Hearing Committee will be established within 30 business days. Establishment of the Medical Center Hearing Committee shall not preclude continued effort to seek a conciliatory solution.
- g. Once assembled, the Medical Center Hearing Committee will establish its process and the information it will review/is needed in order for the committee members to reach decisions related to two issues: first, whether or not the academic freedom of the complainant(s) has been infringed as alleged; and second, if academic freedom has been infringed, the recommended remedy, which need not be agreeable to or the suggestion of either the complainant(s) or the respondent(s). If possible, the review process shall be completed within 30 business days from the date on which the Medical Center Hearing Committee was established. The committee shall render its written

recommendations to the Vice Chancellor for Academic Affairs within 15 business days from the date on which the review process has been completed. The committee's recommendation shall be forwarded to the Executive Vice Chancellor and the appropriate dean and the complainants within 15 business days.

- h. The Executive Vice Chancellor shall report his or her decision regarding the matter within 15 business days to the Chair of the Faculty Assembly Steering Committee, and the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs will report the Executive Vice Chancellor's decision to the complainant(s), their supervisor(s), and their dean within 15 business days.

7. Records Management

The Office of the Executive Vice Chancellor shall maintain all records for complaints filed pursuant to these procedures, including the complaint, the response, investigative summaries, materials considered in the course of the investigation, the administrative response, and any documentation which confirms that administrative actions were taken. Records shall be retained in the Executive Vice Chancellor's Office or in archived files for at least five years.

8. Changes and Amendments to Policy and Procedures

Policy and/or procedural changes and amendments to this process shall be made jointly by the Faculty Assembly Steering Committee, the Vice Chancellor for Academic Affairs and the Executive Vice Chancellor.

H. Improper Use of Social Media Procedure

1. General Information

In the event that a faculty member (or other employee or student) potentially violates the KBOR Social Media Policy, the University of Kansas Medical Center has outlined procedures to review and make recommendation on whether the incident(s) constitute improper use of social media.

- [KBOR Social Media Policy](#) (II.F.6)
- [KUMC Improper Use of Social Media Procedure](#)

2. Recommendation to Appropriate University Disciplinary Procedure

The Initial (3-person) Review Panel may recommend the issue of improper use of social media by a faculty member be elevated to the appropriate university disciplinary procedure. Should the matter be referred to the Social Media Review Committee, the Social Media Review Committee may recommend the issue of improper use of social media by a faculty member be elevated to the appropriate university disciplinary procedure.

The Initial (3-person) Review Panel and the Social Media Review Panel shall report such recommendation to the Executive Vice Chancellor (EVC) and the individual who is the subject of the review.

The Executive Vice Chancellor delegates responsibility for responding to allegations, complaints and grievances about faculty including improper use of social media to the Vice Chancellor for Academic Affairs. On receiving the recommendation from the EVC that the

issue of improper use of social media by a faculty member be elevated to the appropriate university disciplinary procedure, the Vice Chancellor for Academic Affairs will initiate processes/procedures for allegations, complaints and grievances as identified in [Section VIII.F.](#)

I. Promotion and Tenure Appeal Procedure

1. General Principles

The University of Kansas Medical Center is committed to ensuring that proper procedures are followed in reaching a decision to promote and/or award tenure to a faculty person. Accordingly, procedures related to the promotion and tenure decision process exist at three levels in relation to a faculty person's appointment: (a) department affiliation, (b) school affiliation, and (c) the University. While it is expected that appropriate procedures for reviewing a faculty member's academic and scholarly performance will be utilized in the decision process, it is recognized that this may not always occur. Accordingly, a faculty member who asserts that a decision to deny promotion and/or tenure has been made in violation of established procedures of the school may appeal the decision. This process allows review of procedural issues at the school level to determine whether the faculty member was afforded full opportunity for academic review, and to confirm, that there was no arbitrary or capricious action during any part of any component of the review process.

2. Resolution Strategies

There are no informal resolution strategies available for an aggrieved faculty member to attempt reversal of the school's decision to deny the aggrieved faculty member promotion and/or tenure. Rather, the Promotion and Tenure Hearing Committee will be activated once an aggrieved faculty member files a written appeal of the school's decision.

3. Purpose and Jurisdiction of the Promotion and Tenure Appeal Procedure

The procedure is restricted to appeals based only on the grounds that proper procedure was not followed in the decision-making process that resulted in a dean's recommendation that promotion and/or tenure be denied a faculty member. Improper procedure may include (a) failure by a department and/or school to follow the school's guidelines related to the review of a faculty member's academic and/or scholarly performance for promotion and/or tenure purposes, (b) failure by a department and/or school to afford a faculty member full opportunity for academic review, or (c) arbitrary and capricious actions during the review process that could have contributed to the negative outcome in the decision-making process. Individuals who may use this procedure include all individuals with faculty appointments on the following tracks: tenure, clinical scholar, clinical, research, and educator. The aggrieved faculty person is referred to as the appellant. There is no respondent since this procedure constitutes a review that proper procedure was followed in the decision-making process and not that the appellant was harmed directly by an identifiable faculty person or faculty group.

4. Responsibility for Implementation

The Executive Vice Chancellor has the responsibility for compliance by the University of Kansas Medical Center with protections afforded faculty in the review of academic and scholarly performance for the purpose of awarding a promotion and/or tenure. This procedure is staffed by the Office of the Vice Chancellor for Academic Affairs, from which all correspondence and materials relevant to the appeal will be developed and filed.

Associated costs will be assumed by the school in which the faculty member has primary appointment.

5. Timelines

The date upon which a written appeal from the appellant is received by the Office of the Vice Chancellor for Academic Affairs shall be referred to as the case filing date. Time limits set forth in these procedures may be extended by the Vice Chancellor for Academic Affairs at his or her discretion. The Vice Chancellor for Academic Affairs shall inform the parties when extensions of the time limits are made.

6. Appeal Procedure

The procedural steps are outlined in a flow chart at end of [Section VIII](#).

a. Details of Appeal Procedure

- i.** The appellant files a written appeal with the Office of the Vice Chancellor for Academic Affairs. This appeal must be filed within two calendar weeks of receipt of written notification by his or her dean informing the appellant that promotion and/or award of tenure will be denied. The following must be included:
 - a. A copy of the dean's or dean delegate's letter to the appellant.
 - b. Written school guidelines for promotion and tenure related to the appellant.
 - c. Written department guidelines for promotion and tenure related to the appellant.
 - d. The appellant's curriculum vitae.
- ii.** The appellant must also detail the procedures that were not followed properly in the decision-making process and/or why he or she was not afforded full opportunity for academic review. The appellant may consult the following policies or documents to access information regarding procedural issues and opportunities for academic review related to promotion and/or tenure decisions:
 - a. University of Kansas Medical Center Faculty Handbook Promotion and Tenure Appeal Procedure
 - b. School-based Promotion and Tenure Policies and Procedures
 - c. Department-based Promotion and Tenure Policies and Procedures
 - d. Procedures for Comprehensive Mid-Cycle Review of Tenure-Track Appointees
- iii.** Upon receipt of the appeal, the Vice Chancellor for Academic Affairs will refer the appeal to the Faculty Assembly Steering Committee to appoint in a timely manner a Promotion and Tenure Hearing Committee.
- iv. Role of the Committee.**

The Promotion and Tenure Hearing Committee considers promotion and/or tenure appeals from individuals who have been denied

recommendation by a dean. The committee shall only consider procedural issues.

v. Composition of the Promotion and Tenure Hearing Committee

- a. The committee shall consist of seven voting faculty members and the Vice Chancellor for Academic Affairs (or designee). Faculty members serving on this committee must be tenured and, when possible, should hold the highest professorial rank in their school. The seven members shall include four faculty members who have been (but are not currently) members of the Promotion and Tenure committees of the three schools (one from the School of Health Professions, one from the School of Nursing, and two from the School of Medicine, including one from the Wichita campus) plus three additional faculty members, one from each of the three schools.
 - b. **Committee Chair.** The Vice Chancellor for Academic Affairs (or designee) shall chair the committee and be entitled to vote in case of a tie.
 - c. **Conflict of Interest Restriction.** No member of the committee may have an apparent or real conflict of interest regarding the issues or participants for a given appeal. The Vice Chancellor for Academic Affairs has the responsibility of clearing individuals of conflicts.
- vi.** Members of the committee will be notified in writing of the agenda and time of the meeting. In addition to the materials provided by the appellant, the Vice Chancellor for Academic Affairs shall provide a written summary of the deliberations of the school's promotion and tenure committee, as well as any other materials available to them. Material may be added to the file by the faculty member involved or by others at any time prior to or during review by the committee. The committee will review the materials provided in a timely manner.
- vii.** The appellant will be notified in writing by the committee chair in advance of the meeting that the charge of the committee is to review procedural issues and that this will be the basis upon which a decision will be rendered.
- viii.** The appellant will be allowed to make an oral presentation to the committee, after which the committee will be allowed time for questions. Upon completion of this process, the appellant will be excused. The committee may consult with legal counsel concerning procedural issues and may request testimony on those issues from additional persons.
- ix.** The findings and recommendations of the committee will constitute the minutes of the meeting.
- x.** The Promotion and Tenure Hearing Committee shall make its recommendation to the Executive Vice Chancellor.

- xi. The Executive Vice Chancellor will respond in writing to the recommendation of the Promotion and Tenure Hearing Committee, documenting the reasons for agreeing or disagreeing with the committee's recommendation. This response will be sent to the chair of the Promotion and Tenure Hearing Committee, the Vice Chancellor of Academic Affairs, the appellant's dean and chairperson, and the appellant.

b. Records Management

The Vice Chancellor for Academic Affairs shall maintain all records for appeals filed pursuant to these procedures, including the appeal, the response, investigative summaries, materials considered in the course of the investigation, the administrative response, and any documentation that confirms administrative actions were taken. Records shall be retained in the Vice Chancellor for Academic Affairs' Office or in archived files for at least five years.

c. Changes and Amendments to Procedure

Changes and amendments to this process shall be made jointly by the University of Kansas Medical Center Faculty Assembly Steering Committee, the Vice Chancellor for Academic Affairs and the Executive Vice Chancellor.

J. Procedure for Appeal of Dismissal (Financial Exigency) and Infringement of Reinstatement Rights during Emergence of Financial Exigency

See [Section IX.B.](#) Financial Exigency

K. Procedure for Appeal of Dismissal (Program Discontinuance)

See [Section IX.D.](#) Program Discontinuance

L. Procedure for Appeal of Suspension without Pay or Dismissal (Failure to Meet Academic Responsibilities, Personal or Professional Misconduct, Improper Use of Social Media, Discrimination, or Research Misconduct)

1. General Principles

Circumstances that might result in a recommendation for dismissal or suspension without pay include, but are not be limited to a for-cause disciplinary sanction arising from failure to meet academic responsibilities, personal or professional misconduct, improper use of social media, discrimination, or research misconduct.

There are no informal resolution procedures to reverse a decision for dismissal. Questions concerning faculty appeal rights should be addressed to the Vice Chancellor for Academic Affairs.

2. Purpose and Jurisdiction of the Appeal Procedure

The procedure is restricted to appeals based on the following grounds: (a) that the dean had no reasonable basis in fact for selecting the appellant for suspension without pay or dismissal, or the selection was arbitrary and capricious, or (b) that improper procedures were followed in dismissing the appellant. Individuals who may use this procedure include

all tenured faculty and probationary faculty whose dismissal will occur before the end of their term appointment,

Regarding procedural issues related to suspension without pay or dismissal, the appellant may use the following links to access information related to the subject.

- a. [Research Misconduct](#)
- b. [Personal or professional misconduct](#)
- c. [Improper use of social media](#)
- d. [Discrimination](#)
- e. [Post Tenure Review](#)
- f. [Failure to meet academic responsibilities](#)

3. Burden of Proof

The faculty member shall bear the burden of proof in appeals under this procedure to show that the dean had no reasonable basis for selecting the appellant for dismissal or the selection was arbitrary and capricious or that improper procedures were followed.

4. Access to Information

The faculty member shall have access to all relevant information in the possession of the administration to aid in preparing his or her case in an appeal.

5. Responsibility for Implementation

The Executive Vice Chancellor is responsible for administering the appeal mechanism to review faculty claims that resulted in dismissal or termination or suspension without pay.

6. Timelines

The date upon which a written appeal from the appellant is received by the Office of the Executive Vice Chancellor shall be referred to as the appeal filing date. Time limits set forth in these procedures may be extended by the Vice Chancellor for Academic Affairs at his or her discretion, or upon written request to the Vice Chancellor for Academic Affairs from the appellant or the University. The Vice Chancellor for Academic Affairs shall inform the parties when extensions of the time limits are made.

7. Appeal Procedure

The procedural steps are outlined in a flow chart at end of [Section VIII](#),

a. Details of Appeal Procedure

The appellant must file a written appeal with the Office of The Executive Vice Chancellor within 20 business days after receiving written notification of proposed dismissal or suspension without pay. The appeal must include the basis for the appeal and provide information that supports that basis. For example, if an appeal is based on procedural violations, the appellant must explain what procedures were applied and why they were improper.

- i. Upon receipt of the appeal, the Executive Vice Chancellor shall inform the Vice Chancellor for Academic Affairs that an appeal has been filed.
- ii. The Executive Vice Chancellor will request briefings from the complainant and respondent, as well as information from the appropriate hearing committee (e.g. Medical Center Hearing Committee, Research Misconduct Committee).
- iii. The Executive Vice Chancellor will review the information and provide a final written decision to the complainant, respondent, the Vice Chancellor for Academic Affairs and the applicable dean within 20 business days from receipt of all materials requested of the parties and the applicable committee. The Executive Vice Chancellor may request an extension from the Vice Chancellor for Academic Affairs.

b. Records Management

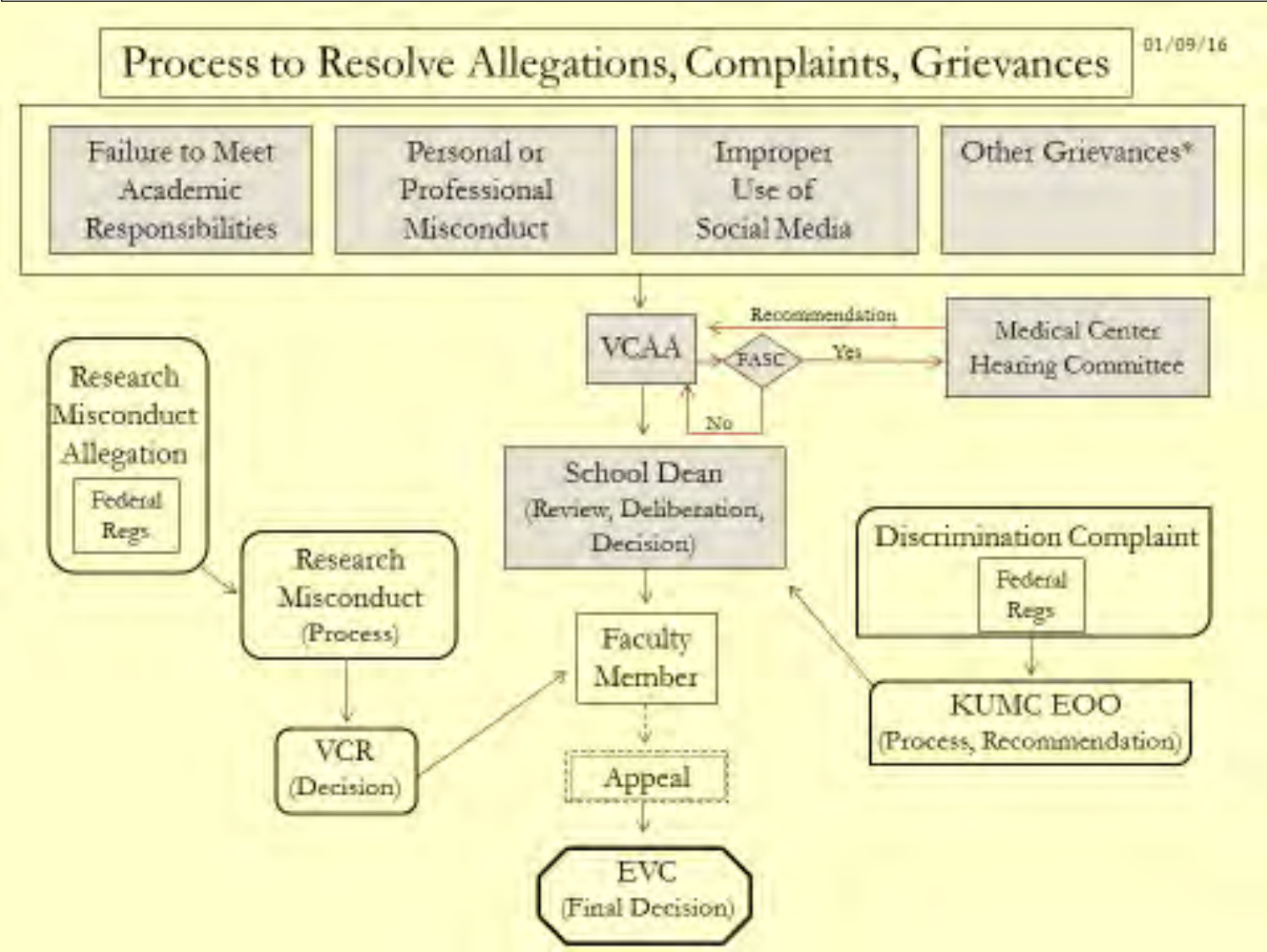
The Vice Chancellor for Academic Affairs shall maintain all records for appeals filed pursuant to these procedures, including the appeal, the response, summaries, and other pertinent materials considered in the course of the process, the administrative response, and any documentation which confirms that administrative actions were taken. Records shall be retained in the Vice Chancellor for Academic Affairs for at least five years.

c. Changes and Amendments to Policy and Procedures

Policy and/or procedural changes and amendments to this process shall be made jointly by the Faculty Assembly Steering Committee, the Vice Chancellor for Academic Affairs, and the Executive Vice Chancellor.

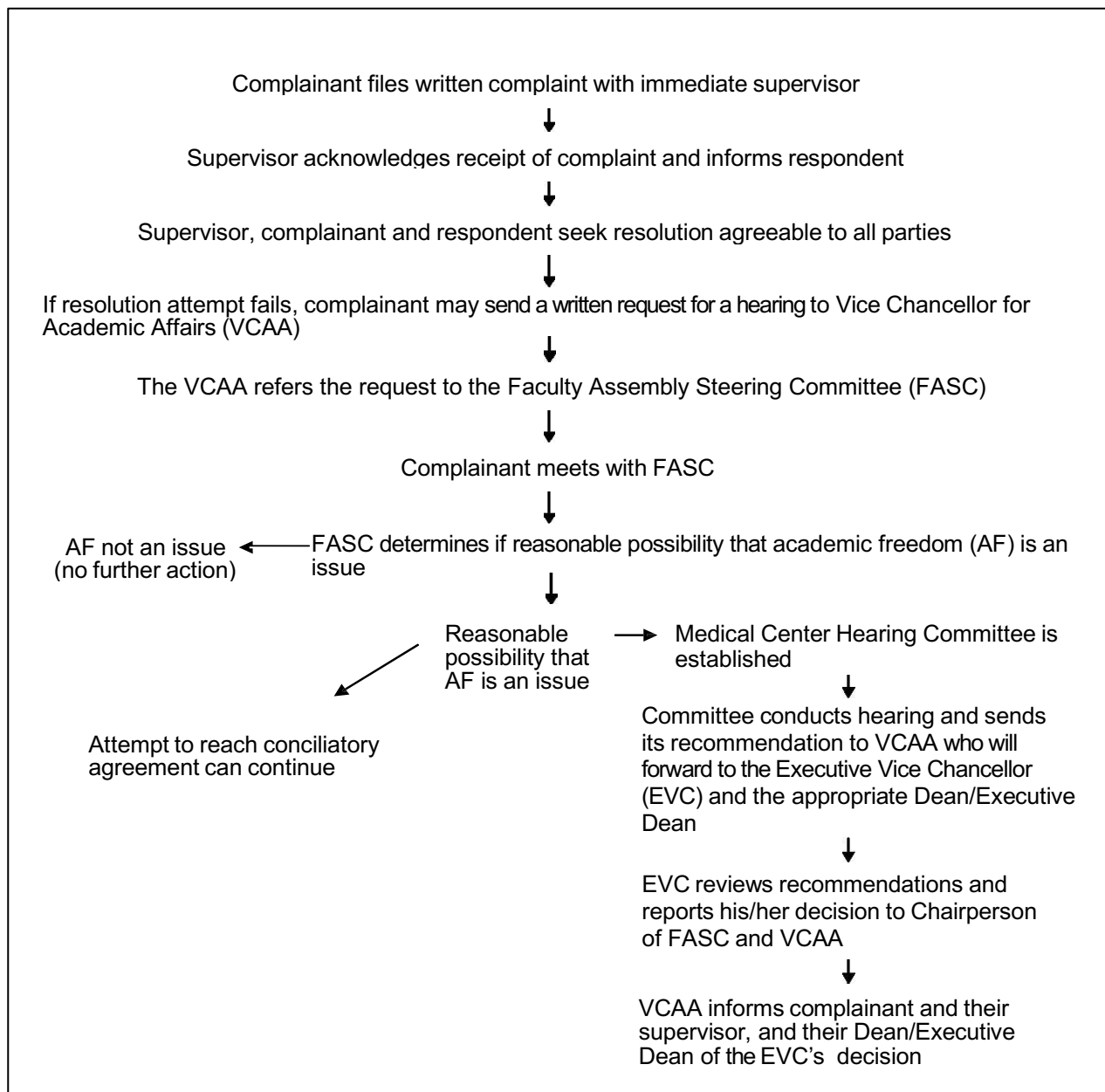
M. Flow Charts

FLOW CHARTS FOR GRIEVANCES AND APPEALS



* Other grievances for which the faculty member requests the opportunity for a hearing or peer review by a faculty committee.
Note: EOO = Equal Opportunity Office; EVC = Executive Vice Chancellor; FASC = Faculty Assembly Steering Committee;
 KUMC = University of Kansas Medical Center; Regs = Regulations; VCAA = Vice Chancellor for Academic Affairs; VCR = Vice
 Chancellor for Research.

Academic Freedom Complaint Procedure



Promotion and Tenure Appeal Procedure

Appellant files written appeal with the Vice Chancellor of Academic Affairs (VCAA)



The Promotion and Tenure Hearing Committee is formed and relevant files are forwarded to the Committee



The Committee reviews the written appeal and relevant files and then sends its recommendation to the Executive Vice Chancellor (EVC)



The EVC responds in writing to the Chairperson of the Committee, the VCAA, the appellant's Dean and Chairperson, and the appellant documenting his/her reasons for agreeing or disagreeing with the Committee's recommendation

Suspension without Pay and Dismissal Appeal Procedure
(e.g. Failure to Meet Academic Responsibilities, Personal or Professional Misconduct,
Improper Use of Social Media, Discrimination, or Research Misconduct)

Appellant files written appeal with Office of The Executive Vice Chancellor (EVC)
detailing grounds for appeal



The EVC informs the Vice Chancellor of Academic Affairs (VCAA) that an appeal has been filed



EVC obtains information from all parties within 20 business days from appeal notification and may request
briefing from the complainant and respondent



EVC reviews and makes final decision within 20 business days of receipt of materials from all parties



EVC responds in writing to appellant, respondent, VCAA
and applicable dean' (i.e. SOM, SON, or SHP) as to his/her recommendation

Note: SOM = School of Medicine, SON = School of Nursing, SHP = School of Health Professions

IX. GENERAL POLICIES AND PROCEDURES

A. Equal Opportunity/Affirmative Action/Nondiscrimination – Policies and Procedures

1. Affirmative Action

a. Affirmative Action Policy Statement

It is the policy of the University of Kansas Medical Center to recruit talented and diverse faculty through the development and implementation of an effective Affirmative Action Program. The [KUMC Affirmative Action Plan](#) focuses on increased recruitment of applicants from traditionally underrepresented groups. The University shall report annually the results of its Affirmative Action Compliance Program in a written Affirmative Action Plan [41 CFR 60-1.40(a)] which shall conform to current state and federal guidelines as defined by the Office of Federal Contract Compliance Programs and the State of Kansas.

b. Legal Basis

The University of Kansas Medical Center is a federal contractor subject to requirements of Titles VI and VII of the Civil Rights Act of 1964, the Equal Pay Act of 1963, the Age Discrimination in Employment Act of 1967, the Age Discrimination Act of 1975, Executive Order 11246, Title IX of the Education Amendments of 1972, Section 503 and 504 of the Rehabilitation Act of 1973, The Americans with Disabilities Act, the Vietnam Veterans Readjustment Assistance Act of 1974, the Jobs for Veterans Act of 2002, the Kansas Acts Against Discrimination, and all other applicable civil rights and nondiscrimination statutes.

c. Responsibility for Implementation

The Executive Vice Chancellor has overall responsibility for promoting and enforcing the Affirmative Action Plan and ensuring that resources necessary for implementation of the plan remain a priority in the University budget. The director of the Equal Opportunity Office reports to the Vice Chancellor for Compliance and has the authority to administer the Affirmative Action Plan for both the University of Kansas Medical Center and the University of Kansas Schools of Medicine in Wichita and Salina. The director's name, title, location, and telephone number will be included on all internal and external communications regarding the Affirmative Action Plan.

The director of the Equal Opportunity Office is responsible for:

- i. developing and maintaining effective internal complaint procedures, facilitating informal resolution of concerns whenever feasible, investigating complaints of illegal discrimination, and participating in the determination of administrative responses;

- ii. providing training, education and advice to the campus community regarding university policies and procedures governing Affirmative Action, equal opportunity, nondiscrimination, illegal harassment, discrimination complaint procedures and reasonable accommodation; and
- iii. developing effective and meaningful monitoring, auditing and reporting mechanisms to ensure compliance with state and federal requirements governing employment, academic admissions and financial aid, and acting as the institution's Title IX Coordinator.

Vice Chancellors and deans are responsible for ensuring the success of affirmative action efforts in their divisions. Specific responsibilities include utilizing the appropriate nondiscrimination clause in all contracts, monitoring subcontractor compliance with federal and state nondiscrimination law, and ensuring that employees participate in the University's affirmative action/equal employment opportunity training program. The responsibility for ensuring compliance with AA/EO policies and procedures may be delegated to one or more equal opportunity liaisons in each division, who will be responsible for receiving training from the Equal Opportunity Office. Each vice chancellor and dean will review annually with the Equal Opportunity Office the effectiveness of the affirmative action program in each operating unit under his/her authority.

All members of the University of Kansas Medical Center community, including affiliated sites and campuses, are charged with creating an atmosphere conducive to attracting and retaining a diverse workforce. Department heads are responsible for ensuring that recruitment and selection guidelines are followed, that required documentation is maintained, and that good faith effort is demonstrated toward the achievement of goals for eliminating underutilization. Affirmative action efforts shall be a part of the evaluation of the performance of administrators and supervisors.

d. Notification of Commitment

The University of Kansas Medical Center is obligated to notify all students, applicants, residents, and members of the public of its commitment to affirmative action, equal opportunity, and nondiscrimination. The KUMC's equal opportunity statement and related policies and procedures can be found on the [Equal Opportunity Office](#) website. Additionally, all materials produced by the University to solicit applications for employment or educational programs, publicize activities or services, or otherwise describe programs and departments must contain the notice that KUMC is an equal opportunity employer.

e. Record Retention

Any personnel or employment record made or kept by the University shall be preserved for a period of not less than two years from the date of the making of the record or the personnel action involved, whichever occurs later. Such records include, but are not limited to, documents pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms

of compensation, selection for training or apprenticeship, reasonable accommodation requests, results of physical examinations, job advertisements and posting, applications and resumes, and any and all expressions of interest through the Internet or related electronic data technologies as to which the contractor considered the individual for a particular position, such as on-line resumes or internal resume databases, and records identifying job seekers contacted regarding their interest in a particular position [41 CFR 60-1.12(a)]. Records maintained in accordance with this regulation must be able to identify the gender, race and ethnicity of each employee, and where possible, the gender, race, and ethnicity of each applicant [41 CFR 60-1.12(c)].

f. Internal Auditing, Monitoring and Reporting Requirements

As part of its affirmative action program, the University must monitor and audit University of Kansas Medical Center and KUSM-W employment decisions and compensation systems to evaluate their impact on affected groups [41 CFR 60-2.10(2)]. In order to identify departments with an underrepresentation of diversity in their workforce, the Equal Opportunity Office shall evaluate personnel activity (applicant flow, hires, terminations, promotions and other personnel actions); compensation systems; selection, recruitment, and other personnel procedures; and any other areas that might impact the success of the affirmative action program [41 CFR 60-2.17(b)]. In addition, the Equal Opportunity Office shall report annually on the attainment of EEO objectives, review results with management, advise senior administrators of program effectiveness, and develop recommendations to improve unsatisfactory performance [41 CFR 60-2.10(d)].

g. Recruitment

The Human Resource departments on both the Kansas City and Wichita campuses oversee recruitment. When the position belongs to a job group that is underrepresented, the search shall include recruitment efforts that are targeted to attract members of the underrepresented group. Such efforts may include advertising in publications known to reach the underrepresented group, making personal contacts with affected group members, or contacting professional associations that serve affected groups. The Equal Opportunity Office shall provide annually a list of underrepresented job groups to the Human Resource departments.

Information regarding Recruitment and Selection policies/procedures can be found on the Medical Center Human Resources website and the Board or Regents website:

- [Human Resources Recruitment Policy](#)
- [Human Resources Hiring Guide](#)
- http://www.kansasregents.org/about/policies-by-laws-missions/board_policy_manual_2/chapter_ii_governance_state_universities_2 (C.2.b.ii and C.2.b.iv)

2. Equal Opportunity and Nondiscrimination

The University of Kansas Medical Center is committed to providing an equal opportunity for all qualified individuals to be considered for employment and to receive benefits and conditions of employment, and to participate in or benefit from education programs and activities, regardless of race, religion, color, ethnicity, sex, disability, national origin, ancestry, age, status as a veteran, sexual orientation, marital status, parental status, gender identity, gender expression, or genetic information.

The University of Kansas Medical Center's Nondiscrimination policy, is available at [Nondiscrimination, Equal Opportunity, and Affirmative Action | Policy Library](#). This policy is university-wide and applies to all campuses. Discrimination complaint resolution procedures are described at www.kumc.edu/equal-opportunity-office.html. The discrimination complaint resolution process applies to all University of Kansas Medical Center campuses (Kansas City, Wichita, Salina).

Questions concerning discrimination or harassment should be directed to the Director, Equal Opportunity Office. The Director should also be contacted to file a complaint of discrimination or harassment.

3. Sexual Harassment and Sexual Violence

a. Definition

Sexual harassment and sexual violence are forms of sex discrimination, prohibited by Title VII of the Civil Rights Act of 1964, Title IX of the 1972 Education Amendments, and Kansas state laws. Sexual harassment or sexual violence can occur between any persons without regard to gender, age, appearance, sexual orientation, or professional status and may arise from either supervisory actions or co-worker interactions.

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when:

- i. submission to such conduct or activity is made either explicitly or implicitly a term or condition of an individual's employment or academic progress;
- ii. submission to or rejection of such conduct or activity is used as the basis for employment or evaluation;
- iii. such conduct or activity interferes with an individual's employment or educational advancement; or
- iv. such conduct or activity creates an intimidating, hostile or offensive environment.

Sexual violence is defined as any physical act which is sexual in nature that is committed by force or without the full and informed consent of all persons involved. Sexual violence may include but is not limited to rape, sexual assault, sexual battery, sexual exploitation, stalking, and forms of domestic violence and dating violence. Also see: <http://www.kumc.edu/equal-opportunity-office/discrimination/sexual-violence.html>

b. Sexual Harassment Policy Statement

The University of Kansas Medical Center is committed to providing a positive learning and working environment for its faculty, staff, residents, and students. Sexual harassment and sexual violence in any form is not tolerated. The Sexual Harassment Policy is university-wide and can be found [here](#). Anyone who violates this policy may be subject to a range of sanctions, including written reprimand, termination, or expulsion. When the University becomes aware of sexual harassment or sexual violence allegations, it is bound by state and federal law to investigate those allegations, stop the harassment if it is found to exist, and take all necessary action to prevent sexual harassment from recurring. Additionally, if any faculty member or employee becomes aware of an allegation of sexual violence, they are required to report the allegation to the KUMC Title IX Coordinator. The Title IX Coordinator will investigate allegations of sexual harassment and sexual violence allegations in accordance with the [Discrimination Complaint Resolution Process](#) and the [KUMC Title IX Policy](#).

4. Other Forms of Harassment

a. Policy Statement

The University of Kansas Medical Center is committed to fostering dignity and respect among all members of the University of Kansas Medical Center community at all affiliated locations. Severe or pervasive behavior that is intended to harass or intimidate an individual because of his/her race, ethnicity, age, religion, disability, gender, sexual orientation, gender identity, gender expression, genetic information, status as a veteran, ancestry, marital status, parental status or national origin and has a negative impact on that individual's work or learning environment is prohibited.

Anyone who violates this policy may be subject to a range of sanctions, including written reprimand, termination, or expulsion. When the University becomes aware of allegations, it is obligated to investigate those allegations, stop the harassment if it is found to exist, and take all necessary action to prevent illegal harassment from recurring.

5. Accommodation of Individuals with Disabilities

The University of Kansas Medical Center is committed to providing reasonable accommodations to qualified individuals with known impairments that meet the statutory definition of a covered disability except where such accommodation would impose an undue hardship or present the threat of harm. The policy prohibits discrimination and retaliation against individuals who request accommodations. The accommodation details are provided in the Human Resources [Accommodation Policy and Purpose](#).

B. Financial Exigency

Financial exigency is defined by the [Board of Regents](#) (II.C.5) as the formal recognition by a state university that known reductions in budget or authorized number of positions have required the elimination of nontenured positions and operating expenditures to such a point that further reductions in these categories would seriously distort the academic programs of the institution; hence, further budget or position reductions would require the nonreappointment of tenured members of the faculty or the failure to meet the standards of notice for nonreappointment of faculty. It is not a requirement of financial exigency that

all or most nontenured positions throughout the University be first eliminated.

The procedures to be followed when a state of financial exigency is declared are found below. These procedures align with [Article VII of the Rules and Regulations of the University of Kansas Senate](#).

1. Introduction

- a. Financial exigency is a grave threat to the survival of any university. Financial exigency can undermine academic freedom; it damages morale, and it encourages non-productive competition among units in the hope of protecting their faculty positions – all of which are detrimental to quality education. With preventive planning, financial exigency need never occur at the University. The important activities that the University must undertake to protect its strength and vitality are best pursued prior to the occurrence of financial exigency. Therefore, steps should be taken toward preventing mandatory faculty reductions and the potential weakening of the University that such reductions would entail. Accordingly, the three basic considerations underlying all of this document are:
 - i. the maintenance of a strong and vigorous university;
 - ii. the awareness of the implications for the entire university community of all procedures set forth here;
 - iii. due process not only for individual faculty members, but also for the various units which may be affected, as set forth in [Section IX.B](#) in the University of Kansas Medical Center Faculty Handbook.
- b. In the text that follows, the terms "University of Kansas," and "University" refer to the University of Kansas Medical Center; the term "unit" refers to a budgetary unit such as a department or a program; the term "Chancellor" is to be interpreted to mean that although the Chancellor will ordinarily make use of his/her staff and consult with appropriate individuals, the responsibility and authority to act are the Chancellor's.

2. Definition

- a. The University of Kansas Medical Center is one of the quality institutions of higher learning in the nation. Only as a last resort, after all possible alternatives calculated to preserve the survival of the University of Kansas Medical Center as a quality institution of higher learning have been examined in good faith, and utilized or rejected, should the University of Kansas Medical Center consider the release of any tenured member of the faculty on the basis of financial exigency. Financial exigency would be a condition descriptive only of the University of Kansas Medical Center as a whole, a unique and compelling financial crisis that would jeopardize the ability of the University of Kansas Medical Center to maintain its status as a quality institution unless faculty positions are reduced by the release of one or more tenured faculty members other than "for cause," as defined in the Handbook for Faculty (University of Kansas Medical Center).
- b. The need for such reductions means that, considering its total resources, the

University of Kansas Medical Center has demonstrated that it has no other reasonable alternative, including appropriate reductions in administrators and administrative support staff, and that such reductions will substantially alleviate its fiscal situation and give it the best opportunity to regain its status.

- c. Where retention of untenured faculty or staff in some areas will demonstrably enhance the viability of the University of Kansas Medical Center, such retention is not inconsistent with the reduction of tenured positions elsewhere to the same end. However, unlike financial stress or budgetary constraint, financial exigency is of such a magnitude that it precludes faculty or staff expansion in any area through new positions filled by appointments from outside the University of Kansas Medical Center, except in extraordinary circumstances where a serious distortion in the academic program of the University of Kansas Medical Center as a whole would otherwise result. The Chancellor will consult with the Faculty Assembly Steering Committee about these extraordinary circumstances and any resulting serious distortion in the academic program before taking such actions.
- d. Financial exigency is a temporary condition and upon declaration the situation must be continually reevaluated.

3. Declaration of Financial Exigency

a. University of Kansas Medical Center-Wide Declaration

- i. The Chancellor determines that a state of financial exigency is imminent. The decision to declare a state of financial exigency should be, insofar as is possible, arrived at by the Chancellor in consultation with the faculty and students at the University of Kansas Medical Center. The Chancellor shall, therefore, be in consultation with the Faculty Assembly Steering Committee and the University of Kansas Medical Center Student Governing Council during all stages leading up to this decision.
- ii. In consultation with administrators and planning and technical staff, the Chancellor shall prepare documentation in support of the necessity for declaration of financial exigency consistent with definition above.
- iii. The Chancellor shall present a written summary of the documentation and decision, including a presentation of his/her efforts to avert financial exigency, to the Faculty Assembly Steering Committee and the University of Kansas Medical Center Student Governing Council prior to a special meeting at which the Chancellor shall document the necessity for the proposed declaration. If it appears that faculty members must be released with less than one full year's notice, the Chancellor shall present to the committee evidence that one-year notice is impossible.

- iv. The Faculty Assembly Steering Committee and the University of Kansas Medical Center Student Governing Council shall, within 30 working days of the meeting described above, jointly submit a written response for the Chancellor's proposal.
- v. Having received the response and having decided to declare Medical Center-wide financial exigency, the Chancellor shall do so to the University of Kansas Medical Center community, documenting the reasons at that time, making public the joint report and the Faculty Assembly Steering Committee response.

b. Unit Designation and Unit Due Process

- i. Following this declaration, the Chancellor, utilizing the most appropriate advice available, including the Faculty Assembly Steering Committee, shall designate one or more units within which tenured faculty members are to be released. In each unit so designated, the Chancellor shall indicate the total funds associated therewith. Supporting documentation shall include appropriate financial information, program evaluation, and evidence demonstrating that the proposed reduction, when contrasted with other possible solutions, will least seriously damage the University of Kansas Medical Center. The documentation shall indicate why the reductions have to come from the particular school(s) and, within any school, from the particular unit(s).
- ii. The designation and documentation specified above shall be made available to all members of the Faculty Assembly.
- iii. No later than seven working days after the Chancellor's action, the chair of Faculty Assembly Steering Committee shall give notice to the members of the Faculty Assembly and to any unit(s) designated by the Chancellor under 3.b.i above, that the Faculty Assembly Steering Committee, acting as a hearing body, will convene at a specified date and time. This date and time is to be no sooner than seven nor later than 21 working days from the date of the notice, at which time any member of the faculty or staff of the designated unit, or of any unit which claims to be significantly affected by the proposed action, or any student primarily identified with the designated unit, may submit written or oral evidence.
- iv. The Faculty Assembly Steering Committee after hearing all appropriate evidence, and no later than seven working days after the hearing of evidence has been concluded, shall vote whether or not it concurs with the Chancellor's designation of units and extent of proposed reductions in tenured faculty and shall report to the Chancellor and make public a written summary of the deliberations and a record of the vote on each issue. The Faculty Assembly Steering Committee may not recommend a reduction in a unit not previously designated by the Chancellor.

- v. If possible within seven working days, the Chancellor shall respond in writing to the recommendations of the Faculty Assembly Steering Committee, documenting reasons for agreeing or disagreeing and the actions to be taken.
- vi. A designated unit may propose a plan for fractional appointments as an alternative to the release of any tenured faculty member. Such a plan will not be recommended to the Chancellor if any faculty member whose position is regularly budgeted as a line item in that unit, and whose term of appointment would be affected by the plan, does not agree to it.
- vii. If a plan for fractional appointments has been approved by all affected faculty members in a unit, the Chancellor shall normally accept it in lieu of releasing tenured faculty members. Otherwise, the Chancellor, utilizing the most appropriate advice available, shall designate the individual faculty members to be released, as specified in Individual Designation and Due Process in the following section.

c. Individual Designation and Due Process

- i. After consultation with faculty, students and administrators of the designated unit, the Chancellor shall designate which individual tenured faculty members are to be released. The principal criterion shall be the ability of the unit to carry out its teaching, research, and service mission most effectively. Faculty members to be released shall be given every opportunity to relocate internally, and all units throughout the University of Kansas Medical Center shall make every effort to assist released faculty to be relocated internally. If the faculty member(s) to be released cannot be relocated within the University of Kansas Medical Center, the Chancellor shall communicate in writing the decision and the reasons for it to such designated individual(s) at least one full year, whenever possible, before the effective date of release. If it is not possible to give one full year's notice before the effective date of release, such notice shall be given as early as possible. (The "Faculty Assembly," in accord with the existing University of Kansas Medical Center policy and the national AAUP policy, considers a one-year notice to be the minimum acceptable period.)

- ii. In addition, due process must be scrupulously followed either under or in anticipation of financial exigency. All of the rights and privileges of a faculty member to seek remedy for an alleged infringement of academic freedom or violation of established University of Kansas Medical Center tenure policies and procedures that now provide him/her access to an appeal process [see [Section VIII](#)] shall also apply to such allegations regarding actions taken by the University of Kansas Medical Center under or in anticipation of conditions of financial exigency. A faculty member who has received notice of release may appeal the Chancellor's decision to an Medical Center Hearing Committee Appeal must be in writing, be filed within 30 working days of the date of notification, and may be based on any of the following grounds:
 - a. The Chancellor had no reasonable basis in fact for selecting the appellant for release;
 - b. The selection of appellant failed to follow procedures here prescribed; and
 - c. The selection of appellant was based on age or on constitutionally impermissible reasons.

The Chancellor shall bear the burden of proof in appeals based on the first and second grounds. The faculty member shall bear the burden of proof in appeals based on the third ground. The faculty member shall have access to all relevant information in the possession of the administration to aid in preparing his/her case in an appeal based on any of the three grounds.

- iii. If an appeal is received from a faculty member that meets the procedures set forth in 3.c.ii above, the Medical Center Hearing Committee shall afford the appellant a hearing within 30 working days of notice of appeal. Testimony and other evidence shall be taken in accordance with usual procedures of the committee as set forth at the time in the appropriate University of Kansas Medical Center governance documents.
- iv. After receiving testimony and other evidence, the committee shall make its determination of whether the notification of release received by the appellant was in violation of the standards set forth in 3.c.ii above. The committee shall then issue a written opinion delineating its decision, the reasons therefore, and its recommendation for disposition. Copies shall be sent to the appellant and to the Chancellor. It is anticipated that the committee will issue its opinion within 30 working days of the date of hearing, but in no case shall the committee delay longer than 60 working days.
- v. Within 14 working days the Chancellor shall respond in writing to the recommendations documenting the reasons for agreeing or disagreeing.

4. Emergence from Financial Exigency

a. Annual Reappraisal and Reports

- i. The Chancellor shall, during the period of financial exigency, report at least annually to the Faculty Assembly Steering Committee, updating the documentation presented at the time the initial declaration was made.
- ii. The Faculty Assembly Steering Committee shall advise the Chancellor on reappraisal and termination of financial exigency and shall monitor the process of emergence from financial exigency, with particular regard to protection of reinstatement rights of individual faculty members as defined under Reinstatement Rights of Individuals [in [this section, below](#)].
- iii. In any year in which the documentation fails to indicate that further reductions in tenured faculty positions are needed for the survival of the University of Kansas Medical Center as a quality institution, the Chancellor shall declare that the state of financial exigency, as defined above, no longer exists. Effective at the time of such a declaration, no additional release of tenured faculty members may be accomplished except for cause (as defined in this Handbook).
- iv. The obligation of the University of Kansas Medical Center to units and individuals affected by financial exigency shall continue until fulfilled as provided below. The Chancellor shall promptly initiate the steps below to reinstate the released and the relocated tenured faculty.

b. Unit Allocation of New Positions

- i. Positions added after a period of financial exigency are to be assigned to units on the same basis as are new positions under ordinary circumstances, except as specified below.
- ii. Before any new positions are allocated by the University of Kansas Medical Center, units that have released tenured faculty members or have adopted a substitute plan to reduce positions under financial exigency shall be given the first opportunity to argue for the assignments of new positions to them. Affected units shall present their plea to the Faculty Assembly Steering Committee, which shall forward its recommendations to the Chancellor.

c. Reinstatement Rights of Individuals

- i. After a period of financial exigency, the University of Kansas Medical Center must honor the reinstatement rights of faculty members released or relocated under financial exigency as follows: except for an individual found to be unqualified for the new position, former faculty members applying for a position in their former unit shall be offered the position, with a reasonable time to accept or decline it; in other cases, once a unit is granted permission to recruit for a new faculty position, and as the position is advertised, the Chancellor shall formally invite all former faculty members of the University of Kansas Medical Center released under financial exigency to apply for the position.
- ii. So long as there remain any faculty released or relocated under financial exigency, the University of Kansas Medical Center shall follow the above procedures each time it allocates a new faculty position.
- iii. Faculty members released or relocated under financial exigency who claim that their reinstatement rights as defined herein have been infringed shall have access to the Medical Center Hearing Committee for the purpose of a hearing on such claims.
- iv. The committee shall provide to the Chancellor and to the claimant a written recommendation and the basis for such recommendation. It is expected that the University of Kansas Medical Center will ordinarily accede to the findings of the committee.

d. Termination of Obligations Incurred Under Financial Exigency

The obligation of the University of Kansas Medical Center to released faculty members shall cease only when all tenured faculty members released under financial exigency have been reinstated, have exhausted recourse for reinstatement through due process proceeding, or have formally indicated that they no longer wish to be reinstated.

5. Timely Notice

- a. As soon as possible, all units are to be furnished a documented estimate of anticipated financial support for unclassified positions for the following fiscal year.
- b. The Chancellor shall make every effort to complete the proceedings of [Section B](#), including due process for units and Declaration of Financial Exigency, if any, by March 15 of the year in which notice to a faculty member of non-reappointment is expected to be issued.
- c. Individual faculty members must be notified according to the provisions of Individual Designation and Due Process [see above].

C. Program Reviews

[Kansas Board of Regents' Program Reviews](#) (II.A.5) began in 1983. In cooperation with the state universities, the Board maintains a program review cycle and a review process that will allow the universities to demonstrate that they are delivering quality programs consistent with their mission. The review of degree programs shall encompass all levels of

academic degrees from associate to doctoral.

Each department or division is scheduled for periodic review. At the University of Kansas, Program Reviews are self-reviews by the departments involved. "Program" means an academic plan that is approved by the appropriate governing board and leads to an award, for example, a degree or a career/technical certificate. The Vice Chancellor for Academic Affairs shall provide guidelines for the Program Review process, and, as part of the review of institutional reports, will include consideration of the Board-approved minima tables.

D. Program Discontinuance

1. General Policies and Procedures

In the life of a university, as knowledge expands and new academic programs flourish, some programs may diminish or become outmoded. In the processes of growth and diminution, academic programs may be discontinued when there is no valid educational reason for their continuance. In the process of discontinuing programs, three basic considerations must prevail:

- a. the maintenance of a strong and vigorous University;
- b. the fulfillment of the commitments to students in the process of completing discontinued programs; and
- c. the fulfillment of established faculty rights and due process to individual faculty and unclassified staff members on probationary or tenured appointments who may be subject to dismissal.

The determination that an academic program shall be discontinued because of bona fide academic and educational reasons shall be made by the Chancellor after careful investigation. To assure that such recommendations are reached by just and equitable means and to protect the rights and interests of programs, faculty, unclassified staff and students affected by such recommendations, the following procedures will be adhered to by all relevant units of the University.

To fall within the purview of this article, program discontinuance shall be based strictly upon educational considerations as determined by the faculty as specified in this article. "Educational considerations" must reflect long range judgments on the academic mission of the program and not cyclical or temporary enrollment variations. Long-range judgments shall be based upon such objective criteria as program reviews, accreditation studies and other instructional data.

2. Definitions and Exclusions

An "academic program" at the University of Kansas is a "course of study leading to a certificate or degree." "Program discontinuance" is the decision by the Chancellor, upon recommendation by the Executive Vice Chancellor that the University shall, for bona fide educational considerations, cease to offer such a program. Bona fide educational considerations are distinct from those of financial exigency. Programs subjects to discontinuance under these procedures are those programs listed in the "Degree and Certificate Program Inventory for Regents Institutions." Program discontinuance may take the form of the abolition of the academic unit (school, department or division) in which the certificate or degree is offered, or it may take the form of the abolition of a specific

certificate or degree program with no other change in the academic unit.

The term "program" is applied to a wide variety of other academic and administrative activities of the University. These include areas of emphasis or academic subspecialties within existing certificate or degree programs, inter- disciplinary studies programs that do not offer a certificate or degree, and academic support services. Such "programs" are not subject to discontinuance under these procedures unless they are wholly contained within a program that is being discontinued.

If an academic unit offers more than one certificate or degree program, its faculty are not subject to dismissal for reasons of program discontinuance unless all degree and certificate programs offered by that unit are discontinued or unless the faculty member is demonstrably unqualified for appointment in the continuing program.

3. Recommendations for Program Discontinuance

The individual or academic unit initiating the Recommendation of Program Discontinuance shall present such recommendation to the dean. The recommendation shall be made in writing and shall include:

- a. an explicit rationale for the recommendation; and
- b. a description of the projected impact on the academic mission of the University and the students and faculty of the program.

If the dean concurs with the recommendations, copies of the recommendations together with the rationale, academic reviews of the program, and an impact statement shall be provided to the appropriate faculty and Executive Vice Chancellor at the time the recommendation is initiated. The Executive Vice Chancellor shall, upon receipt of the Recommendation for Program Discontinuance, refer the recommendation to the Faculty Assembly Steering Committee. Within 60 working days of the receipt of the recommendation, the Faculty Assembly Steering Committee shall submit, in writing, to the faculty of the program, the dean of the school, and the Executive Vice Chancellor its own recommendation for or against the Recommendation for Program Discontinuance. Its recommendation shall indicate whether the proposed program discontinuance is in the best academic interests of the University, makes adequate provisions for the present students in the program, and makes adequate provision for the rights of the faculty of the program. Such "adequate provision" may include, but shall not be limited to, relocation of faculty of the program in another academic unit of the University. The recommendation shall include appropriate supporting evidence and commentary, including adverse comments received.

The Executive Vice Chancellor shall report his/her recommendation for or against program discontinuance to the Chancellor and shall concurrently inform the appropriate faculty, dean, and governance bodies. Such recommendation shall be submitted in writing and shall include an explicit statement or rationale, including responses to the recommendation(s) of the Faculty Assembly Steering Committee.

The Chancellor shall evaluate the recommendations and communicate his/her final decision for or against program discontinuance to the appropriate faculty, dean, Council of

Chief Academic Officers, and the Kansas Board of Regents, and shall, where appropriate, specify the subsequent date of discontinuance.

4. Notice to the Faculty of Non-Reappointment Due to Academic Program Discontinuance

Dismissal of an appointment with continuous tenure, or of a probationary or specified appointment before the end of a specified term, may occur as a result of program discontinuance. The Executive Vice Chancellor, upon the recommendation of the appropriate dean, shall recommend to the Chancellor which faculty members within the discontinued program are to be dismissed. Before the notice of the intent to dismiss is given, every reasonable effort shall be made to place the faculty member in another suitable position within the University. If placement in another position would be facilitated by a reasonable period of retraining, financial and other support for such training will be proffered.

The Chancellor shall give written notice of the intent to dismiss the faculty member. Notice shall include:

- a. a statement of the basis for the initial decision to dismiss;
- b. a description of the manner in which the initial decision to dismiss was arrived at; and
- c. a disclosure of the data upon which the Chancellor relied; and
- d. a statement of the faculty member's right to respond to the dismissal.

Such notice shall be given:

- a. not later than March 1 of the first academic year of service; or if the appointment terminates during an academic year, at least three months in advance of its completion;
- b. not later than December 15 of the second academic year of service, or if the appointment expires at the end of the year; at least six months in advance of its termination;
- c. at least 12 months before the expiration of an appointment after two or more years in the institution.

Faculty on continuous tenured appointments who are scheduled for dismissal for reasons of program discontinuance will be retained for the years in which their programs are being phased out in accordance with Impact on Students [see [this section](#), below] and will receive their full salaries. During the time in which students in a discontinued program are permitted by Impact on Students to complete their degrees, tenured faculty members shall be continued in their previous duties, or shall, by mutual consent, be reassigned to other suitable positions within the University in accordance with Emergence from Financial Exigency. [See [this section](#) above.]

Due process must be scrupulously followed during program discontinuance. All of the rights and privileges of the faculty member to seek remedy for an alleged infringement of academic freedom, or violation of established University tenure policies and procedures that now provide faculty access to the Faculty Assembly Appeals Committee, shall also apply to such allegations regarding actions taken by the University under program

discontinuance. A faculty member may appeal the Chancellor's decision to dismiss. Such appeal shall be made in writing and shall be filed within 30 working days of the date of notification. The appeal may be based only on the grounds that:

- a. the dismissal was based on a statutory or constitutionally impermissible reason; or
- b. the procedure surrounding the dismissal was improper. Improper procedure includes (but is not limited to):
 - i. Violation of the procedures outlined in Declaration of Financial Exigency [see this section, above] for arriving at the recommendation of discontinuance of the program in question. Such appeal, however, shall not address the substance of the recommendation.
 - ii. A violation of the procedures outlined in Emergence from Financial Exigency [see this section, above] for arriving at the recommendation of non-reappointment of the individual.
 - iii. Use of incomplete or erroneous data or information in the decision-making process by the Chancellor that led to the dismissal; that is, that the Chancellor had no basis in fact for selecting the appellant for dismissal.
 - iv. Lack of a reasonable effort to place the faculty member in another suitable position in the University before the Notice of Intent to Dismiss.

Where the basis of the appeal is statutory or constitutional impermissibility, the burden of proof is on the faculty member; where the basis of appeal is improper procedure, the burden of proof is on the Chancellor. The faculty member shall have access to all relevant information in the position of the administration to aid in preparing the case based on any of the grounds listed above.

The Medical Center Hearing Committee shall conduct an informal hearing within 30 working days of notice of the appeal. Testimony and other evidence shall be taken in accordance with usual procedures of the committee as set forth at the time in the appropriate University governance documents. The parties may have an advisor of their choice present at the hearing. Within 30 working days of the hearing, the committee shall issue a written opinion stating its decision, the reasons for its decision, and its recommendation for disposition. Copies of the opinion shall be sent to the faculty member and the Chancellor.

Normally, the committee's decision shall be final and binding and the case shall be deemed closed. If, however, the Chancellor disagrees with that decision, he or she shall respond in writing to the recommendations of the Medical Center Hearing Committee within 15 working days, documenting the reasons for disagreement. It is understood that the final administrative authority resides with the Chancellor, who is the appointed representative of the Board of Regents.

If the program that has been discontinued should be reinstituted within five years from the date of declaration as specified in Section D, faculty positions in that program shall not be filled unless the dismissed faculty member has been offered reappointment at the same

rank and tenure status as held previously, unless the faculty member is demonstrably unqualified for appointment in the reinstituted program. A reasonable time in which to accept or decline the offer must be afforded the faculty member. If, after the five-year period, a position in the area of previous service of a dismissed faculty member is advertised, the faculty member shall, if possible, be notified.

5. Impact on Students

Following a decision to discontinue a program under the process described herein, the program will be phased out over a maximum of three years immediately following the date of discontinuance announced by the Chancellor in accordance with Emergence From Financial Exigency [see [this Section](#), above]. The students in the program shall be publicly so notified and shall be allowed to finish their course of studies. If it is not possible for students to complete their degree programs within three years, the University shall make reasonable efforts to accommodate such students. Such efforts should include, but not be limited to the following:

- a. permitting the student to complete their degree program by taking work in related departments;
- b. permitting the student to complete their degree program at another institution;
- c. making provisions in the case of graduate students, for supervision of dissertations and administration of graduate examination by faculty at other institutions; and
- d. honoring existing multi-year fellowships.

Once program discontinuance has been declared, no new students shall be admitted to the program.

E. Campus Speakers

The University of Kansas Senate adopted the following policy statement on May 14, 1963:

Free trade in ideas is the fundamental operating principle of our democratic society. It would be expected, therefore, that every educational institution would support that principle. Such support, while only to be expected of education institutions generally becomes, however, in the case of the University of Kansas, mandatory. Precisely because the University is a public education institution, a branch of the organized political force of a democratic society, it is incumbent on the University not merely to support but indeed to foster the fundamental principles of that society. So the University of Kansas must, at all times, make of itself a competitive marketplace for the free interchange of ideas.

The assembly places of the University must, therefore, be open to any properly invited speaker who comes to persuade by the expression of ideas. Only the speaker who would use the free expression of ideas in such a manner as to incite immediate riot or rebellion could reasonably be excluded . . .

In opening its doors to any performer or speaker thus sponsored, the University in no way places any official stamp of approval on the quality of the performance or the reasonableness of the ideas expressed. Since, however, the University will be inevitably

associated with that quality of performance or reasonableness of ideas, the University should be able to expect that the freedom of the sponsoring agency will be accompanied, as any freedom must, by a corresponding responsibility, to the end that the University will not be made a refuge for intentional violators of public or private law.

Over the years, the University of Kansas has generally operated in accordance with the principles stated above and, thereby, provided a setting for a wide variety of voluntary and officially sponsored forums, speeches, and performances. It is the hope of the Senate that affirmation of these principles may further strengthen the University's zealous dedication to them in the future.

1. Relevant Policies Relating to Use of and Access to University Property and Resources

- [KUMC Public Assembly Policy](#)
- [Vendor Relations Policy](#)
- [KUMC Policy on the Use of University Space and Resources](#)

F. Workplace Health and Safety

The University of Kansas Medical Center is committed to the conduct of its activities in a manner that protects the health and safety of employees, students, and the public. All faculty have an obligation to conduct their teaching and research activities safely and to instruct students and employees they supervise in proper safety and environmental protocols. A number of specific policies relating to the workplace health and safety apply to faculty and staff, including policies relating to the handling of hazardous materials, alcohol and drug use, workplace violence, and emergencies.

1. Environment, Health and Safety

The University of Kansas [Environment, Health and Safety Office](#) serves as a central management resource for information about and plans, policies, and procedures on matters related to environment, health, and safety as well as a service center.

2. Drugs, Alcohol, Smoking and other Health Issues

a. Drugs and Alcohol

The University of Kansas Medical Center and state policies address abuse of drugs and alcohol by faculty and staff.

- [KUMC Drug and Alcohol Use Policy](#)
- [State of Kansas Substance Abuse Policy](#)

These policies prohibit the unlawful possession, use, manufacture, or distribution of alcohol or drugs by employees and students on its property, or as part of its activities. The service and consumption of alcohol on state property for university events is prohibited with certain limited exceptions detailed in the policy below.

- [University Policy on Alcohol at University Events](#)

Confidential counseling and referral services is available for employees with drug or alcohol problems.

- [KUMC Policy on Employee and Student Drug Use and Alcohol Abuse Assistance Program](#)

- [Kansas State Employee Assistance Program](#) (EAP). The program has a 24-hour, toll-free assistance line (1-888-275-1205 [option 7], TDD 800-697-0353).

b. Smoking

In accordance with State law, the University of Kansas Medical Center prohibits smoking, and the sale or use of tobacco products and electronic cigarettes in any facility or on any part of the Medical Center's campuses, except in designated areas.

- [Policy on Sale of Tobacco Products](#)
- [KUMC Smoking, Tobacco Use and Electronic Cigarette Use Policy](#)

c. Other Health Issues

At some time, faculty members may be faced with a variety of personal problems that affect their wellness and job performance. The [Kansas State Employee Assistance Program](#) also provides short-term counseling, advice, and referrals from licensed professionals for eligible employees.

3. Workplace Violence

A number of policies are in place to prevent and respond to workplace violence. Under these policies, treats and threatening behavior, personal harassment, abusive behavior, and violence are prohibited.

- [State of Kansas Workplace Violence Policy](#)
- [University of Kansas Medical Center's Workplace Violence Policy](#).

The Kansas Board of Regents' Policy on Weapons Possession prohibits the use of weapons on each state university campus to the extent allowed by law. The KUMC Firearms and Weapons Policy outlines the policy on firearms and weapons for the University of Kansas Medical Center.

- [Kansas Board of Regents Policy on Weapons Possession](#) (II.E.14)
- [KUMC Procedures for Implementing University-Wide Weapons Policy](#)

Under the Board of Regents regarding criminal background checks and University policy, checks for felony and misdemeanor convictions and sexual offender registry searches will be conducted for all employees after an offer for employment is made or upon taking on an administrative position, and more extensive searches may be conducted when the nature of the position justifies it or where required by law.

- [Kansas Board of Regents Policy on Criminal Background Checks](#) (II.C.2.b.iv)

4. Emergency Management

The Department of Public Safety is committed to providing a safe living and learning environment for University and the surrounding neighborhoods. In the event of an emergency, the University of Kansas Medical Center has an Emergency Warning and Communication System, a detailed Emergency Plan, as well as a policy on Evacuation. In addition, the Medical Center's Inclement Weather Policy and Procedures apply when winter or other inclement weather creates unsafe conditions.

- [University of Kansas Medical Center Emergency and Warning System](#)

- [University of Kansas Medical Center Emergency and Campus Evacuation Plan\(s\)](#)
- [University of Kansas Inclement Weather Policy and Procedures](#)

G. Interaction with Legislature

1. Legislative Appearances and Committee Hearings

According to the Board of Regents, policy on [Interaction with Legislature and Other State Agencies](#) - Legislative Appearances and Committee Hearings (II.F.1.a), state university employees should make every effort to accommodate legislative committee requests to provide expert testimony on proposed legislation. The Executive Vice Chancellor's Office must be notified of the invitation and, in turn, they will notify the Chancellor and Board of Regents office.

Legislative appearances by employees of the Medical Center that are not a product of a legislative "request" and employee engagement with an elected or appointed government official to represent the University or for discussing University business should be reported, in advance, to the University of Kansas Medical Center Government Relations Director. The Government Relations Director should also be notified if an employee is contacted directly by a legislator or agency on a University matter.

H. Other University Policies and Procedures

Other University policies and procedures that may be relevant to Medical Center employees

- [Human Resources Policies and Procedures](#)
- [University of Kansas Medical Center Policies](#)

I. Methods for Amending this Handbook

Suggestions for procedural changes and amendments shall be forwarded to the Vice Chancellor of Academic Affairs and decisions will be made conjointly by the Faculty Assembly Steering Committee and the Executive Vice Chancellor. These proposed revisions shall be forwarded to the Chancellor for review and approval. Board of Regents' guidelines are to be followed in the development of all proposed changes.

Revisions in this Handbook are coordinated by the Vice Chancellor for Academic Affairs, with the assistance of the Faculty Assembly Steering Committee, vice chancellors, deans, University General Counsel, faculty and others. Recommendations for changes or additions to this Handbook may be communicated to the dean or the University of Kansas Medical Center Faculty Assembly Steering Committee chair.

When a major reorganization of this Handbook is contemplated, a committee that includes representatives of all schools of the University of Kansas Medical Center including a representative from the Wichita campus shall be convened by the Vice Chancellor for Academic Affairs. Comments and recommendations for changes shall be invited from all interested parties. All proposed changes, additions, and deletions shall be reviewed by the Faculty Assembly Steering Committee and by the appropriate administrative offices. Such changes in policies and procedures shall be made only after their adoption through

appropriate channels, such as the Faculty Assembly Steering Committee, Faculty Assembly, Vice Chancellor for Academic Affairs, the Executive Vice Chancellor and/or the Chancellor, and the Kansas Board of Regents.

Changes in policies and procedures that are adopted after the publication of any edition of this Handbook are effective upon adoption and will be included in the next revision. The official version of this Handbook can be found on the University of Kansas Medical Center's [Faculty Assembly Home Page](#). Electronic copies of the official Handbook will be housed in the Offices of the Executive Vice Chancellor, Legal Counsel, and Academic Affairs.

Unmodified Title Tracks		
Tenure Track	Clinical Scholar	Affiliate Track
Track Definition/Faculty Focus	Track Definition/Faculty Focus	Track Definition/Faculty Focus
Tenure Track appointments are full-time with an initial probationary period of seven years. Criteria for promotion includes significant achievements in teaching, research/scholarship, and service. The award of tenure is based on potential for sustained contributions, performing beyond expected duties, and demonstrating leadership and innovation in activities that enhance the reputation of the	The Clinical Scholar Track is for full-time faculty members who are heavily involved in clinical service, education, and related scholarship. This Track has two career paths: Clinician-Educator concentrating on teaching and Clinician-Investigator for concentrating on research/scholarship. Significant contributions in professional and academic service are required for both paths.	The Affiliate Track is available to individuals employed by research and health care institutions with formal affiliation agreements with the University. These are non-paid positions that require a significant commitment of the individual to the research and/or educational mission of the University.
Available Ranks	Available Ranks	Available Ranks
Instructor	Instructor	Instructor
Assistant Professor	Assistant Professor	Assistant Professor
Associate Professor	Associate Professor	Associate Professor
Professor	Professor	Professor
Available FTE	Available FTE	Available FTE
1.0 FTE only	1.0 FTE only	0 FTE Volunteer Only
Title Modification	Title Modification	Title Modification
None, all titles unmodified.	None, all titles unmodified.	None, all titles unmodified.
Terms Available	Terms Available	Terms Available
Full-Time Only	Full-Time Only	Volunteer Only
Appointment Terms	Appointment Contracts	Appointment Terms
<p>Tenured: A tenured appointment will be renewed annually unless the faculty member is dismissed through proper actions and procedures.</p> <p>Not Tenured: A tenure track appointment without tenure, will be renewed annually unless timely notice is given.</p>	<p>3-year rolling contract</p> <p>1-2-3 year term contract (for a maximum of four years, then must move to a rolling contract).</p>	<p>Probationary: appointments are probationary for six years at assistant level. At start of sixth year, faculty member must apply for promotion in the annual promotion cycle.</p> <p>Permanent: after promotion to associate professor, appointments are renewed annually.</p>
Additional Info	Additional Info	Additional Info
<p>Tenure Track faculty, hired without tenure, have a seven year probationary period with strict deadlines. For mandatory deadlines, use the calendar year of the start date, add two and three years to determine the academic year for the midcycle review; add five years to start year for the mandatory review. <i>For example, a faculty members starting in 2020 are required to have a midcycle review in the 2022-23 academic year and a 2025 mandatory review date.</i></p> <p>If not approved for tenure in the mandatory year, the faculty member will receive a letter of non-reappointment and may apply for tenure again at the end of the 6th year. If not approved a second time, the faculty member is termed at the end of the 7th year.</p> <p>Faculty members hired as assistant professors without tenure are the only ones <u>required</u> to apply for promotion and tenure at the same time. New associate and full professor hires may apply for <u>tenure only</u>, and have the same timeline as assistant professors applying for both promotion and tenure.</p>	<p>There are two pathways: the Clinician Educator and the Clinician Investigator, which are explained in the offer letter. A path is not expected to be declared by the faculty until applying for promotion.</p> <p>The educator path is for faculty focused on teaching, while the investigator path is more focused on research. Both typically having a substantial clinical schedule.</p> <p>Three year rolling contract. A rolling contract may be terminated by giving notice prior to June 30th of any year. The contract will then terminate at the end of current contract term (after two more years).</p> <p>1-2-3 year term contract (for a maximum of four years, then must move to a rolling contract). Faculty can only be on a term contract for four years and then must be put on a rolling or switch tracks/term.</p>	<p>These appointments are for faculty who work closely with the University, but are paid by an affiliated institution. There are a variety of rules that go along with these appointments, see the <i>Manual for Volunteer Faculty</i> for more information.</p>

Appendix A. Summary Guidelines for Faculty Appointments on the Medical Center Campus

Modified Title Tracks*		
Clinical Track	Educator Track	Research Track
Track Definition/Faculty Focus	Track Definition/Faculty Focus	Track Definition/Faculty Focus
The Clinical Track emphasizes professional service in clinical settings. Clinical Track appointments are either one-year appointments, renewable annually or may be 1-3 year term appointments. These appointments carry modified titles and are available for full, part-time and volunteer appointments. **May carry unmodified title for .51 to 1.0 FTE, at chair's discretion.	The Educator Track is intended for faculty members whose primary contributions are to teaching and/or administration. At least 70% of effort must be toward teaching with the expectation of contributing to scholarship and service as well. Educator Track appointments are 1-2-3 year term appointments and must be renewed at the end of each term. *Full-time faculty on this track may carry an unmodified title at the discretion of the Chair.	The Research Track emphasizes the conduct of research in all relevant areas including basic sciences, clinical investigations, health policy, health care outcomes, or history and philosophy of medicine. Research track appointments are one-year appointments, renewable annually. These appointments carry modified titles and are available for full, part-time and volunteer appointments.
Available Ranks*	Available Ranks*	Available Ranks
(Clinical) Instructor	(Education) Instructor	Research Instructor
(Clinical) Assistant Professor	(Education) Assistant Professor	Research Assistant Professor
(Clinical) Associate Professor	(Education) Associate Professor	Research Associate Professor
(Clinical) Professor	(Education) Professor	Research Professor
Available FTE	Available FTE	Available FTE
1.0 FTE (full-time)	1.0 FTE (full-time)	1.0 FTE (full-time)
.51 to .99 FTE (full-time requirements)	.51 to .99 FTE (full-time requirements)	.51 to .99 FTE (full-time requirements)
.10 to .50 FTE (part-time requirements)	.10 to .50 FTE (part-time requirements)	.10 to .50 FTE (part-time requirements)
0 FTE (volunteer)	0 FTE (volunteer)	0 FTE (volunteer)
Title Modification	Title Modification	Title Modification
*Unmodified title at Chair Discretion, for .51 to 1.0 FTE appointments only	*Unmodified title at Chair Discretion for .51 to 1.0 FTE appointments only	All titles are modified.
Modified - all term, part-time and volunteer.	Modified - all term, part-time and volunteer.	Modified titles only - all ranks and FTE's.
Title may also be modified with Courtesy (0 FTE), Adjunct (0 - .49 FTE) or Visiting (0 - 1.0 FTE)	Title may also be modified with Courtesy (0 FTE), Adjunct (0 - .49 FTE) or Visiting (0 - 1.0 FTE)	Title may also be modified with Courtesy (0 FTE), Adjunct (0 - .49 FTE) or Visiting (0 - 1.0 FTE)
Terms Available	Terms Available	Terms Available
Full-Time, Part-time, and Volunteer	Full-Time, Part-time, and Volunteer	Full-Time, Part-time, and Volunteer
Term (a full academic year)	Term (a full academic year)	Term (a full academic year)
Limited Term (less than a full year)	Limited Term (less than a full year)	Limited Term (less than a full year)
Appointment Terms	Appointment Terms	Appointment Terms
Annual renewal appointment or 1-2-3 year term contract appointment.	Annual renewal appointment or 1-2-3 year term contract appointment.	Annual Renewal
Additional Info	Additional Info	Additional Info
These faculty members are expected to be involved with minimal teaching and research.	These faculty members are expected to be involved with minimal service or research.	These faculty members are expected to be involved with minimal teaching or service.

Appendix A. Definitions and Clarifications for Faculty Appointments on the Medical Center Campus

Clarifications - Definitions - Examples					
Courtesy Modifier	Adjunct Modifier	Visiting Modifier	VA Appointments	Volunteer Appointments	Joint Appointment
Faculty (0 FTE) employed by the University in another capacity and not paid for their faculty position.	Faculty (0 - .49 FTE) who provide service for the University, but do not fit into clinical, educator or research track roles. Used sparingly. Examples include appointments to participate on a specific committee or involvement in a specific task.	Faculty (0 - 1.0 FTE) who are appointed at the University for a short period of time (one year or less) and intend to return to another academic institution. May return on a semi-regular basis. Must be on clinical, research or educator track (0 - 1.0 FTE).	Faculty providing service to the University, but are paid primarily through the Veteran's Administrations. Only available on the clinical, educator and research tracks.	Faculty providing service to the University, but are paid through institutions.	For faculty holding a primary appointment in another University department, but with duties in a secondary department. FTE is held in the primary department. A joint appointment must hold same rank as primary appointment. Can be held for a term of three years, subject to annual review by chair and faculty member. <i>See memorandum.</i>
Unmodified Titles	Modified Titles	Teaching Associate	Paths	Part-Time	Full-Time
Unmodified titles are reserved for those faculty who go above and beyond for the University. Faculty who are expected to have expertise in two of the three domains, with some productivity in the third domain (teaching, service, research/ scholarship).	Modified titles are for those faculty who have expectations of expertise in only one out of the three domain, with some productivity in a second domain (teaching, service, research/ scholarship). Faculty hired for primarily clinical, education or research roles, are expected to have modified titles. Faculty on term or limited term	A title given to persons not holding a terminal degree (MD, PhD, MBBS), but has teaching responsibilities within the department. This is a limited faculty appointment - teaching associates are not counted in faculty counts, nor do they carry voting privileges. There is no track associated with this appointment.	The clinical scholar and affiliate tracks offer sub-specialty pathways to clarify the faculty's focus within the department. The Clinician Educator Path is for the faculty focused on teaching. The Clinician Investigator Path is for the faculty focused on research and scholarship. The Research Path is for	For faculty between .01 and .50 FTE. While anything under 1.0 FTE is considered "part-time" for HR purposes, the legal and University conditions of a faculty appointment change only when FTE is above or below .50.	For faculty between .51 to 1.0 FTE. While anything under 1.0 FTE is considered "part-time" for HR purposes, the legal and University conditions of a faculty appointment change only when FTE is above or below .50.
Term CONTRACT	Rolling CONTRACT	Term APPOINTMENT	Limited Term Appointment	Affiliate Track	Domains
Appointment ending at the end of a one, two or three year timeframe. Must be renewed at end of term specified or appointment is terminated. A new contract and appointment form are required to renew the appointment. *See also TERM APPOINTMENT	Only available on the Clinical Scholar Track. Contracts are three years at a time and automatically renewed after each year for another three years - unless notification of non-reappointment is given prior to June 30th, thus allowing the faculty to remain employed for the remainder of their contract (or another 2 years).	A Term APPOINTMENT a temporary appointment for a "term" of one full year. Use when a faculty member is only expected to be in the position for one year, such as Chief Residents. If the term appointment is extended, all new paperwork must be submitted. *See also TERM CONTRACT This is different from a Clinical/Educator Term CONTRACT because faculty with the contract are typically expected to stay longer than just the one year and are likely to be <i>permanent</i> .	A Limited Term Appointment is a faculty appointment that is expected to last for a period under one year. It is temporary. If the appointment is extended, all new paperwork must be submitted.	These appointments are for faculty who work closely with the University, but are paid by an affiliate institution. There are a variety of rules that go along with these appointments, so please pay extra care with anyone requesting an affiliate track appt. For example, if a CMH person also has an appointment with UMKC, they are not likely to be an affiliate track faculty, but a regular volunteer faculty. Always ask the dept when they request this type of appointment, many confuse Affiliate Track with the Adjunct modifier.	There are three domains: Teaching - lecturing, small groups, PBL groups (problem based learning), and clinic instruction, are examples. Service (clinical/professional/academic) - seeing patients, committee and society involvement, and community outreach, are examples. Research/Scholarship - grants, papers, books, lectures or poster presentations on research findings are examples. Expectations for productivity and achievements for the domains vary by track.

Appendix B. Summary Guidelines for Selection of Administrator Vacancy

	<u>Center Director</u>	<u>Department Chair</u>	<u>Dean SAH, SOM, SON</u>	<u>Dean Graduate Studies</u>	<u>Vice Chancellor Student Services</u>	<u>Vice Chancellor</u>
<u>1. Announce vacancy</u>	<u>School Dean</u>		<u>EVC</u>			
<u>2. Position description</u>	<u>School Dean</u>		<u>EVC</u>			
<u>3. SEARCH COMMITTEE</u>						
<u>3a. Starts process</u>	<u>Dean</u>		<u>EVC</u>			
<u>3b. Appointed by</u>	<u>Dean [consult with EVC]</u>	<u>Dean [consult with EVC]</u>	<u>EVC after consult with Steering Committee or equivalent group from involved school.</u>	<u>EVC after consult with Dean Graduate Studies (Lawrence) and Faculty Assembly Steering Committee</u>	<u>EVC after consult with other Deans.</u>	<u>EVC after consult with other Vice chancellors and Deans</u>
<u>3c. Membership</u>	<u>1) may have non-University members 2) at least 2 faculty from involved center 3) at least 1 director from another center</u>	<u>1) may include non-University members 2) at least 1 faculty from involved department 3) at least 1 student or resident from involved school 3 4) 1 advanced graduate student &/or resident or fellow if department offers graduate training.</u>	<u>1) May include non-University members 2) Constituted to reflect range of programs and major interests within involved school. 3) 1 student of advanced standing from involved school. 4) 1 advanced graduate student &/or resident or fellow if school offers graduate training. 5) If school has clinical departments, EVC should consult with KU Med CEO.</u>		<u>1) May include non-University members 2) Constituted to reflect range of student services provided to schools 3) at least 1 advanced student from each of 4 schools. 4) Vice Provost, Student Support, KU-L</u>	<u>1) include students 2) reflect interests of KUMC</u>
<u>3d. Committee Chair</u>	<u>Designated by Dean</u>	<u>Designated by Dean</u>	<u>Designated by EVC</u>		<u>Designated by EVC</u>	<u>Designated by EVC</u>
<u>3e. Convene 1st meeting</u>	<u>Dean</u>	<u>Dean</u>	<u>EVC</u>		<u>EVC</u>	<u>EVC</u>
<u>3f. Charge & Scope</u>	<u>Dean gives charge & scope (external, internal or both types of search)</u>	<u>Dean gives charge & scope (external, internal or both types of search)</u>	<u>EVC gives charge & scope (external, internal or both types of search)</u>		<u>EVC gives charge & scope (external, internal or both types of search)</u>	<u>EVC gives charge & scope (external, internal or both types of search)</u>
<u>3g. Clerical help from:</u>	<u>Dean's office</u>	<u>Dean's office</u>	<u>EVC's office</u>		<u>EVC's office</u>	<u>EVC's office</u>
<u>3h. Search funding from:</u>	<u>Dean's office⁴</u>	<u>Dean's office⁴</u>	<u>EVC's office⁴</u>		<u>EVC's office⁴</u>	<u>EVC's office⁴</u>
<u>3i. Top Candidates shall Interview with:</u>	<u>1) search committee & faculty in involved center 2) others as set by committee in consult with Dean</u>	<u>1) Search committee & faculty involved dept. 2) others as set by committee in consult with Dean</u>	<u>1) Search committee & faculty involved school. 2) others as set by committee in consult with EVC 3) At least with Deans, Vice Chancellors, EVC, & Chairs of departments in involved school.</u>		<u>1) Search committee & staff of Student Services. 2) others as set by committee in consult with EVC 3) At least with Deans, Vice Chancellors, EVC.</u>	<u>1) search committee & faculty of KUMC 2) others as set by committee in consult with EVC & Chancellor 3) At least with Deans, Vice Chancellors, EVC.</u>
<u>3j. Recommendation:</u>	<u>At least 3 unranked candidates to Dean</u>	<u>At least 3 unranked candidates to Dean</u>	<u>At least 3 unranked candidates to EVC</u>		<u>At least 3 unranked candidates to EVC</u>	<u>At least 3 unranked candidates to EVC</u>
<u>4. If search fails:</u>	<u>Dean re-initiates search</u>	<u>Dean re-initiates search</u>	<u>EVC re-initiates search</u>		<u>EVC re-initiates search</u>	<u>EVC re-initiates search</u>
<u>5. Decision</u>	<u>Dean [consult with KU Med CEO if clinical center]</u>	<u>Dean [consult with KU Med CEO if clinical department]</u>	<u>EVC after consulting with Vice Chancellors and KU Med CEO</u>	<u>EVC after consulting with Vice Chancellors</u>	<u>EVC after consulting with Vice Chancellors</u>	<u>EVC</u>
<u>6. Approval</u>	<u>EVC & Chancellor</u>	<u>EVC & Chancellor</u>	<u>Chancellor</u>		<u>Chancellor</u>	<u>Chancellor</u>

