

CoM Faculty Council, MN 136, February 21, 2017
Minutes

Basic Sciences	Clinical
Jones, Davy	Bailey, Paula
Kelly, Tom	Erickson, Deborah
Kilgore, Michael	Iocono, Joe
Peterson, Martha	Jicha, Greg
Sullivan, Pat	Kiessling, Stefan
	Martin, Julia
In attendance	Sloan, Paul

Guests: Dean DiPaola Dr. Becky Dutch Dr. Michael Rowland

In Dr. Jicha's absence, Dr. Kilgore called the meeting to order at 5:03.

Dean DiPaola reviewed proposed changes to the CoM regulations under the Practice Plan Addendum addressing outside consulting procedures and reimbursements as well as procedures for addressing Conflicts of interest. It was widely agreed that these procedures would streamline approval and reimbursement and provide guidance to protect both faculty and the University. Discussion also focused on where the regulations are to be placed. Copies of the draft proposal can be found here.

[View Pd1a](#)

[View Pd1b](#)

[View Pd1c](#)

Dr. Dutch, Associate Dean for Biomedical Education, updated the council on the block funding initiative promulgated from the Graduate School and how these changes will be implemented. The changes in funding and the proposed distribution of the block funds were presented and the slides can be found here.

Dr. Dutch also updated the FC on the UKCOM engagement in Undergraduate education and highlighted how critical our participation is to a range of majors. She also outlined how our role is growing. Additional discussion focused on other teaching responsibilities in regards to mission goals and faculty merit. Dr. Dutch also reported on preparations for upcoming meetings with the Provost's office to clarify the University's commitment to ensuring the CoM's continued support for the undergraduate teaching and research missions.

[View Pd2](#)

Dr. Michael Rowland, Associate Dean for Faculty Affairs, addressed the council on the progress in developing a new evaluation rubric for the Basic Sciences faculty. The draft is available here.

[View Pd3](#)

New course proposals, TOX 560 Ecotoxicology and BSC 425 Introduction to Integrative and Alternative Medicine, were discussed and unanimously approved.

With no other business being discussed the meeting was adjourned at 6:13.

3.44 The Conflict of Interest Committee:

- a. Charge: The Conflict of Interest Committee will review requests submitted to the Dean made by College of Medicine faculty members to perform (a) professional or educational outside activities, (b) services on boards, committees, commissions, or the like, (c) speeches or lectures, or (d) oversight, supervision, or other participation with any entity or person involved with health or medical care where the remuneration, fee, compensation, or honoraria exceeds \$5,000 from an individual vendor or organization or \$25,000.00 in the aggregate in a given fiscal year. The outside opportunity must be reviewed by the committee to advise the Dean on a determination of whether a conflict of commitment or a conflict of interest exists, and how much, if any, of the remuneration, fee, compensation, or honoraria must be included in the College of Medicine Practice Plan.
- b. Membership: The Conflict of Interest Committee shall be composed of the Associate Dean for Faculty Affairs, who will chair the committee as a non-voting member, one faculty member appointed by the Dean, two members nominated by Faculty Council, a representative from the Office of Legal Counsel, and a representative from the UK HealthCare Office of Corporate Compliance.

5.0 Outside Consulting By College of Medicine Faculty:

- 5.1 Before a faculty member engages in outside consulting, the faculty member must submit a formal proposal in writing using a copy of Form F to the Department chair for approval as required by AR 3:9. The proposal shall specifically state whether the amount that will be received by the faculty member will exceed \$5,000 with respect to the specific consulting opportunity, or whether the amount that will be received will lead to the faculty member receiving in excess of \$25,000 of consulting revenue in the aggregate for the fiscal year.
- 5.2 Outside consulting may not create a Conflict of Interest or a Conflict of Commitment in violation of GR XIV.
 - a. Consulting activities must occur on personal time.
 - b. Faculty members may not cancel clinical activities, including but not limited to scheduled clinics, in order to participate in outside consulting.
- 5.3 The University of Kentucky does not provide liability insurance coverage for faculty performing outside consulting services.
- 5.4 Prior to commencing outside consulting services, the faculty member must submit the consulting agreement to the University of Kentucky Office of Legal Counsel for review.
 - a. Faculty members may not enter into consulting agreements that infringe upon the faculty member's or the University's intellectual property rights.
 - b. Faculty members may not enter into consulting agreements that limit their ability to publish or present publicly their research findings.

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COLLEGE OF MEDICINE PRACTICE PLAN ADDENDUM

Preamble: This Addendum (the “Addendum”) supplements Administrative Regulation (AR) 3:14 and provides specific information concerning the practice plan of College of Medicine (the “College” or “Unit”). It may be referred to as the College of Medicine Unit Practice Plan Addendum.

General: An annual contract (the “Annual Contract”) is is not (check one) authorized with an approved Fiscal Agent (not required if Fund serves as Fiscal Agent). If authorized, the annual contract is part of this Addendum and incorporated by reference, herein. If a conflict in terms arises between the Annual Contract and the College or Unit Addendum, terms of the Annual Contract shall take precedence.

Specific: College or Unit Addendum Modifications, below, are made in reference to the specific paragraphs of *Administrative Regulation (AR) 3:14, Practice Plans for Health Science Colleges and University Health Services*.

I. Introduction.

The terms set forth in AR 3:14, Paragraph I, are not subject to local modification.

II. Scope.

The Plan Members are faculty in the: full time clinical faculty and all designated part time having M.D. or D.O. degree

Services provided by Plan Members incident to the care of patients and to all other activities which are a part of the health care programs of the University are included in the Plan. This includes compensation, income and payments (direct or in kind, and whether characterized as fees, retainers, or otherwise) for professional services rendered or to be rendered, including, but not limited to, those relating to: (a) the diagnosis, treatment, and evaluation of patients; (b) the provision of therapeutic products for patients or others; and, (c) consultation with patients.

In addition, the following professionally generated income is included in the plan¹: (check “yes” or “no”)

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YES NO Direct and in-kind payments (excluding actual out-of-pocket costs) for providing (a) advice, (b) professional consulting services, (c) service on boards, committees, commissions, or the like, and (d) oversight, supervision, or other participation with any entity or person involved with health or medical care are included in the Plan.

¹ If the remuneration, fee, compensation, or honoraria for the items below checked “NO” exceeds \$5,000 from an individual vendor or organization or \$25,000.00 in the aggregate in a fiscal year, the outside opportunity must be reviewed by a committee appointed by the Dean to advise the Dean whether a conflict of commitment or a conflict of interest exists, and how much, if any, of the remuneration, fee, compensation, or honoraria must be included in the Plan

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YES ___ NO Witness fees and payments relating to depositions, testimony, or other evaluations in the capacity of a witness;

YES ___ NO Professional fees and compensation for educational consulting in medical and pharmacy focused programs in conjunction with the pharmaceutical industry and/or other external agencies;

YES ___ NO Honoraria for lectures;

YES ___ NO Unassigned income from publications;

YES ___ NO Prizes for personal past achievements and not for services rendered;

YES ___ NO Special administrative stipends paid by the University for performing administrative assignments beyond those normal to academic appointments;

YES ___ NO Income for a profession or activity unrelated to the professional education, experience, or training that qualifies members of the Plan for a University appointment;

YES ___ NO Payments for service to NIH or other governmental peer review research project site visits or review activities;

YES ___ NO Any reimbursement and fees associated with regular continuing education programs funded by the College;

YES ___ NO Other income which relates to or would not exist but for the professional education, experience, or training that qualifies members of the Plan for a University appointment.

III. Definition Details.

The Fiscal Agent, if other than the Fund, of the Plan is: Kentucky Medical Services Foundation, Inc. (KMSF).

The Practice Plan Committee consists of: All elected members of the KMSF Board

Department or Division Plans are ___ are not authorized. If authorized, the following requirements apply (first five apply, unless an exception is granted by the Provost and EVPHA:

Written Document

Approval by Dean

Approval by Provost

Approval by EVPHA

Legal Review

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Annual Audit

Other: _____

The Plan Service Account is maintained by: _____ the Fund; Other
Specify KMSF

The Billing Agency is: KMSF

The Plan Member Documents include:

Practice Agreement
 Assignment for Billing to: KMSF
 Non Compete or Restrictive Covenant
____ Other (specify) _____

An example of the form of each is attached hereto, as Collective Attachment III, and incorporated by this reference.

IV. Underlying Principles.

The principles set forth in AR 3:14, Paragraph IV, are not subject to modification.

V. Setting of Charges.

Any special terms concerning the setting of fees are attached hereto as Attachment V, which is attached hereto and incorporated herein by this reference.

VI. Billing and Collection.

The college billing and collection process, if in more detail than AR 3:14, Paragraph VI, is described in Attachment VI, which is attached hereto and incorporated herein by reference. (See General Attachment)

VII. Use of Funds Deposited in the Plan Services Account.

The terms set forth in AR 3:14, Paragraph VII, are not subject to modification.

VIII. Plan Administrator and Budget.

The Plan Administrator is: KMSF

The College budget process, if described in more detail than AR 3:14, Paragraph VIII, is described in Attachment VIII, which is attached hereto and incorporated herein by reference.

IX. Provisions for Faculty Salary Supplemental Compensation.

The percent of net revenue to be allocated for supplemental compensation, as determined by the EVPHA and the Provost.

The College shall retain 8% percent of collected fees for its use in professional* development, educational promotion, academic enrichment and related endeavors. Any

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special retention of funds or fees is described in Attachment VII, which is attached hereto and incorporated herein by reference.

The Frequency of Distributions is: x monthly; quarterly; other
(Specify) Department Plans may specify other distribution.

X. The Practice Plan Committee.

The terms set forth in AR 3:14, Paragraph X, are not subject to modification.

XI. Limitations on Practice by Plan Members.

Any additional modifications or limitation on practice are attached as Attachment XI, which is attached hereto and incorporated by this reference. The Board action of June 19, 1978, and subsequent amendments are incorporated herein by this reference and attached as Attachment XI. It is the intention for this Addendum to be administered in accordance with its terms to the extent practicable.

XII. Exceptions and Appeals.

Any modifications to the grievance procedure are described in Attachment XII, which is attached hereto and incorporated by this reference.

Any Special Provisions are attached hereto, as the Special Provisions Attachment, and incorporated by this reference. If any Attachment referenced herein is not included, the Attachment is conclusively presumed to be omitted intentionally.

XIII. Effective Date.

This Addendum shall be in force for a term beginning July 1, 2009 and ending June 30, 2010. It shall automatically renew for any number of successive one year terms unless terminated or modified by a writing signed by the approving parties, below.

APPROVING PARTIES:

DEAN, College of Medicine

(Signature)

PROVOST:

(Signature)

EVPHA:

(Signature)

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Block Funding from the Graduate School

Overall concept: The graduate school has replaced a large number of funding mechanisms with a block of funds given directly to colleges

Programs replaced by block funding: KOF, GSAY, Multi-year Fellowships, Dissertation Year Fellowships, Reedy Award, Gillis Award, Travel Award, Dissertation Enhancement Award

Remaining programs include Dean's Tuition Scholarships, Presidential Fellowships, Lyman T. Johnson Fellowships

Goal for Block funding

- Improve incoming Graduate Student quality – looking at metrics of GRE scores, diversity, GPA, etc for entering classes
- Improve quality of graduating Graduate Students – publications, presentations, placement, etc.
- Improve quality of Graduate Programs – retention, years to graduation.

Historical Funding for COM Grad Programs

- COM given \$209,383 for 2017-2018, which is about 80% of what we historically received from these mechanisms
- A wide variation in historical funding/student has been present in COM graduate programs

Historical Averages

PhD programs

ANA – averaged \$3454 per year, all travel awards

BCH – averaged \$30,360 per year; travel awards, one KOF per year, 1 GSAY in the three years

BSC – averaged \$16,227 per year; but program unaware of graduate school funds

*IBS – averaged \$56,240 per year. Grad School promised block funding of \$69,000 per year for this year and upcoming two years.

MIC – averaged 18,488 per year. About \$2800 per year in travel awards, a KOF in 2015.

*N-S – averaged 35,176 per year. Travel awards about \$2000 per year, 1 – 2 KOF awards per years, 1 GSAY per year, Gillis award about half the time, Reedy awards.

PGY – averaged 3036 per year. Travel awards.

PHA – averaged 858 per year. Travel awards.

*TOX – averaged 22,089 per year. Travel awards. One KOF per year, one year with dissertation fellowship. One Reedy Award.

*Programs which directly recruit in PhD students. Average per year, 22 IBS; 4 Tox; 4 N-S.

Master's Programs

MS/MS – no funds from graduate school.

NUS – averaged 8,103 per year.

RAS – averaged 15,326 per year. Gillis awards.

Average intake (estimated): MS/MS 25; NUS 11; RAS 8.

Proposed use of Graduate School Block Funds (209,383 per year plus 8 tuition scholarships)

1. Provide a block funding amount to each of the three Ph.D. programs that directly recruit students, as the pool of incoming students is very important. Suggest that this amount is proportional to the size of the incoming class:

IBS - \$69,000 per year plus 6 tuition scholarships

N-U - \$13,000 per year plus 1 tuition scholarship

Tox - \$13,000 per year plus 1 tuition scholarship

2. Provide travel awards in a similar manner to the Graduate School has previously done, to be administered through the Office of Biomedical Education. Participation in conferences is very important to producing high quality graduates, and conference participation is also a recruiting fund.

Set aside \$20,000 for this fund, based on previous years usage.

Proposed use of Graduate School Block Funds (209,383 per year plus 8 tuition scholarships)

3. Distribute remaining funds as competitive ½ stipend fellowships (\$12,500 per year), with students nominated by their DGS. Competitive fellowships would reward quality and performance. Estimate that there would be funds to cover 7 of these fellowships per year.

4. Provide a small amount to each master's program to assist in recruiting.

Note: The new Radiation Sciences PhD program will involve direct admits, and funds will need to be distributed to this program in a similar manner to IBS, N-U and Tox once it begins recruiting.

Teaching/Undergraduate Issues

- COM continues to have a major UG teaching role – key large courses, electives, honors courses – many of these integral to multiple UG majors
- COM is part of the Neuroscience major and Microbiology minor
- A new Pharmacology minor has been submitted
- Funding to support current and proposed initiatives is unclear – meeting with Provost's office budget people next week about COM instructional effort

Teaching/Undergraduate Issues

Questions:

- *Do we have an obligation to keep teaching our current UG courses?* – no one else to replace these, many are critical for UG, general fund dollars are partially for these
- *Is teaching in Honors likely to continue?* – Honors College proposal does include incentive funds, Faculty Fellows program
- *Should we proceed with new minors/majors?*
- *How do we staff these courses in the future?*

BASIC SCIENCES EVALUATION RUBRIC **DRAFT**

	5= Outstanding Score: ≥ 4.8	4= Very Good Score: 4.0-4.79	3=Good Score: 3.0-3.99	2=Needs Improvement Score: 2.0-2. 99	1=Unsatisfactory Performance is Deficient; NA/Not Applicable Score: ≤ 2.0
I. INSTRUCTION/TEACHING	<p>Demonstrate and meet the following criteria for this rating:</p> <p>Classroom 1 Developed new course materials and/or course documents to reflect current and relevant information and data</p> <p>2. Develops innovating teaching or testing methods</p> <p>3 Student evaluations rated high Exceptional feedback from course director or highly rated course as course director</p> <p>And/or</p> <p>4 Received teaching award (e.g. Abraham Flexner Award)</p>	<p>Demonstrate and meet the following criteria for this rating:</p> <p>Classroom 1 Developed/Refined course materials and/or developing new curriculum</p> <p>2. Above average ratings by students</p> <p>OR</p> <p>3. Serve as course director with average or above course ratings</p> <p>Mentoring 1. Evidence of publications by mentees</p> <p>2. Evidence of presentations at conferences by</p>	<p>Demonstrate and meet the following criteria for this rating:</p> <p>Classroom 1 Student evaluations rated average 2 Good feedback from the course director 3 Average rating from course director 4. Teaching time matches effort on the DOE</p> <p>Mentoring 1. Evidence of presentations at conferences by mentees</p>	<p>Meet the following criteria:</p> <p>Classroom 1. Below average student and course director evaluations or removed from teaching in a course by the director</p> <p>Mentoring 1. Has mentees with little evidence of progress</p>	<p>Faculty member meets the following criteria for rating</p> <p>1. Has teaching effort on DOE with no evidence of teaching activity or mentoring.</p>

	Mentoring 1 Guides highly productive student research as evidenced by student awards, fellowships funded, travel awards, publication in high impact journal, and presentations at international, national conferences	mentees			
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RESEARCH DRAFT

	5= Outstanding Score: ≥ 4.8	4= Very Good Score: 4.0-4.79	3=Good Score: 3.0-3.99	2=Needs Improvement Score: 2.0-2.99	1=Unsatisfactory Performance is Deficient; NA/Not Applicable Score: ≤ 2.0
II. RESEARCH Publications Presentations Research Projects Grant Funding Professional Recognition	Demonstrate and meet the following criteria for this rating: 1. Greater than 70% of research effort is funded 2. Evidence of publication of 3 or more high impact articles in refereed publications 3. Evidence of presentations at international or national, conference and invited seminars at other institutions	Demonstrate and meet the following criteria for this rating: 1. Greater than 50% of research effort is funded with no more than 30% unfunded 2. Evidence of publication of 2 or more high impact articles in referred publications 3. Evidence of presentations at national, international, or regional conferences and/or invited seminars at other institutions	Demonstrate and meet the following criteria for this rating: 1. Less than 50% of research effort funded and no more than 30% unfunded research effort with evidence of grant submission 2. Evidence of publication of 1-2 article in referred publication 3. Evidence of presentations at national, regional or local conference or presentations outside UK	Meet the following criteria: 1. No more than 30% unfunded research effort Evidence of submission of grants 2. Evidence of submission of 1 manuscript for publication in refereed journal 3 Evidence of submission internal grant or bridge funding to conduct research 4 Develops plan for improvement	No evidence of publications, presenting research, or seeking grant funding

SERVICE DRAFT

	5= Outstanding Score: ≥ 4.8	4= Very Good Score: 4.0-4.79	3=Good Score: 3.0-3.99	2=Needs Improvement Score: 2.0-2.99	1=Unsatisfactory Performance is Deficient; NA/Not Applicable Score: ≤ 2.0
<p>III. SERVICE TO INSTITUTION/PROFESSION</p> <p>University Committees</p> <p>Community Service projects</p> <p>University Peer Recognition</p>	<p>Faculty member must demonstrate and meet 3 of the following criteria for this rating:</p> <p>1 Chairs 1 or more university committees</p> <p>2 Serves on 3 or more university or college-level committees</p> <p>3 <u>Elected to University Senate, College Faculty Council, or similar representative body</u></p> <p>4 Chair/Leadership Role on Professional/Scientific Organization Committees</p> <p>5 Directs special program or projects for College or</p>	<p>Faculty member must demonstrate and meet 2 of the following criteria for this rating:</p> <p>1 Serves on 1 or more university committees</p> <p>2 Serves on 1 or more college-level committee</p> <p>3 <u>Chairs 1 or more college committees</u></p> <p>4 Is a standing member of a grant review panel</p> <p>5. Serves on the editorial board of a peer-reviewed journal</p>	<p>Faculty member must demonstrate and meet 2 of the following criteria for this rating:</p> <p>1 Faculty member serves on 1 department or college level</p> <p>2 Faculty member chairs a department committee</p> <p>3 Serve as an advisor to students or a student organization</p> <p>4. Serves on grant review panel</p> <p>5. Reviews manuscripts for peer-reviewed journals</p> <p>6. Participates in outreach activities such as science fair judging, speaking to a disease/disorder related support group, etc.</p>	<p>Faculty member must meet 1 of the following criteria:</p> <p>1 Faculty member serves on 1 college/ departmental committee</p> <p>2. Serves on 1 grant review panel</p> <p>3. Reviews manuscripts for peer-reviewed journals</p> <p>4. Participates in outreach activities such as science fair judging, speaking to a disease/disorder related support group, etc.</p>	<p>No evidence of service to institution or to the profession</p>

	University 6 Standing member on grant review panel and/or is a journal editor	6. Serves on 1 or more departmental committees				
IV. Clinical Service = N/A	N/A	N/A	N/A	N/A	N/A	N/A

ADMINISTRATION DRAFT

	5= Outstanding Score: ≥ 4.8	4= Very Good Score: 4.0-4.79	3=Good Score: 3.0-3.99	2=Needs Improvement Score: 2.0-2.99	1=Unsatisfactory Performance is Deficient; NA/Not Applicable Score: ≤ 2.00
VI. ADMINISTRATION	Demonstrate and meet the following criteria for this rating: Serves as Associate Dean in College or Senior Administrative role in COM or University Serves as Vice Chair of Department Serves as Director of Graduate Studies Serves as Course Director	Demonstrate and meet the following criteria for this rating: Serves as an Assistant Dean in College of Medicine Serves as Co-Course Director	Demonstrate and meet the following criteria for this rating:	Meet the following criteria for this rating:	Faculty member provides no evidence of administrative roles or duties within the College, University or Nationally

PROFESSIONAL DEVELOPMENT DRAFT

	5= Outstanding Score: ≥ 4.8	4= Very Good Score: 4.0-4.79	3=Good Score: 3.0-3.99	2=Needs Improvement Score: 2.0-2.99	1=Unsatisfactory Performance is Deficient; NA/Not Applicable Score: ≤ 2.00
<p>VI. PROFESSIONAL DEVELOPMENT</p> <p>Conference Attendance with presentation by faculty or trainee</p>	<p>Demonstrate and meet 3 of the following criteria for this rating:</p> <p>Attends professional/scientific conferences with presentation by faculty or trainee</p> <p>Attends local or regional workshops for training in leadership, teaching, grant writing, etc.</p> <p>Participates in Professional Development program (e.g. ELAM, AAMC Mid-Career Faculty Seminar, SECC, Harvard Macy Programs)</p>	<p>Demonstrate and meet the following criteria for this rating:</p> <p>Attends professional/scientific conferences with presentation by faculty or trainee</p> <p>Attends local or regional workshops for training in leadership, teaching, grant writing, etc.</p>	<p>Faculty member must demonstrate and meet 2 of the following criteria for this rating:</p> <p>Attends at least 1 professional/scientific conference with presentation by faculty or trainee or as an author on a poster</p> <p>Sabbatical- provide opportunities for study, research, creative effort, improvement of instructional or public service capabilities and methods, in order that the quality of each recipient's service to the University may be enhanced</p>	<p>Faculty member must meet 1 of the following criteria:</p> <p>Attends at least 1 professional/professional conference</p>	<p>Faculty member provides no evidence of publications, presenting research, or seeking grant funding</p> <p>No evidence of institutional or college-level involvement indicated</p>