



KAISER PERMANENTE®
SCHOOL OF MEDICINE



APPENDIX S-01

Faculty Handbook

DRAFT

Kaiser Permanente School of Medicine
94 S. Los Robles Avenue
Pasadena, CA 91101

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Welcome to the Kaiser Permanente School of Medicine (KPSOM). The purpose of this Handbook is to orient you as a faculty member to the School and its policies. The Faculty Handbook is not a comprehensive statement of all policies and procedures, nor does it preclude the implementation of changes in KPSOM policies or procedures. All official policies for the School are published in the Academic Bulletin and are considered the governing policies for the School. Changes to KPSOM policies, procedures, or requirements will be communicated in emails, on the KPSOM website, or in information memos. Please keep this Handbook as a reference. It can also be found on the Office for Academic and Community Affairs website.

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MESSAGE FROM THE DEAN

The social mission of a medical school is to elevate the health of the nation and the globe through the education of future leaders of medicine and science. Students bring their energy and idealism to the enterprise and staff members create the systems in which those students will thrive. But, it is the faculty who are the lifeblood of a medical school, sharing their experience and wisdom with class after class, serving as role models for students to emulate, and building new approaches to education that will inspire the next generation.

The Kaiser Permanente School of Medicine (KPSOM) represents more than a decade of aspiration on the part of the Permanente Medical Groups, the Kaiser Foundation Hospitals, and the Kaiser Foundation Health Plan. The distinct approach to healthcare that our founding organizations have pioneered will be an exceptional environment in which to educate the healthcare leaders of tomorrow. As an inaugural faculty member of KPSOM, you will be translating that vision into the practical training of these future doctors. I seek to support you in this mission and to learn from you as we continue to develop a world-class academic community that embraces diversity, wellness, and the total care of the patients and communities we serve.

This Handbook provides tools to assist you in your faculty role. The full leadership team of KPSOM is available to support your success as a faculty member. I look forward to welcoming you personally to your faculty position and to building a new paradigm for medical education together.

Sincerely,



Mark A. Schuster, MD, PhD
Founding Dean and CEO
Kaiser Permanente School of Medicine

INTRODUCTION

Welcome to the Kaiser Permanente School of Medicine (KPSOM). As a KPSOM faculty member, your role is critical in helping us achieve our KPSOM mission, vision, and values. These aspirations reflect the collective commitment of our faculty to create a medical education experience grounded in the highest ideals of our founding institutions.

Our Mission

To provide a world-class medical education that ignites a passion for learning, a desire to serve, and an unwavering commitment to improve the health and well-being of patients and communities.

Our Vision

Our graduates will be a diverse community of compassionate healers, lifelong learners, and courageous leaders of change within the profession and in society. They will have the skills, capabilities, and resilience to lead the transformation of healthcare delivery in the nation and a lifelong commitment to the highest values of the profession.

Our Values

We are committed to:

- teaching the delivery of person-centered, evidence-informed healthcare in true partnership with patients;
- assuring accountability for the quality, safety, and appropriateness of care, and the ethical stewardship of patients' and families' health and resources;
- achieving health equity for all and the elimination of health disparities wherever they exist;
- promoting inclusiveness and diversity in the health professions;
- developing courageous leaders who challenge the status quo with inquiry and innovation;
- advocating for change in medical education, the profession, and the healthcare system;
- creating and promulgating new knowledge in service to patients and communities; and
- establishing a learning environment that supports the health, well-being, and resilience of our graduates and enables them to serve as exemplars for patients and the profession.

SECTION 1: OVERVIEW

1.1 OUR PERSPECTIVE

Examining the external environment and Kaiser Permanente's (KP) strengths, the School identified opportunities to seek to make a difference in medical education in partnership with educators, patients, communities, health professionals, researchers, and policymakers. The School leverages the values, innovations, and performance of KP's widely regarded, humanistic, and integrated care model to effect change in the areas of curriculum; educational integration; well-being; and equity, inclusion, and diversity.

At KPSOM, students are immersed in a teaching environment grounded in the practice of person-centered care within an integrated health system. We will equip graduates with the skills to be successful in any healthcare setting in which they choose to practice, teach, conduct research, or lead.

1.2 UNIQUE ASPECTS

In developing the curriculum, KPSOM seeks to define the essentials of physician education and leverage technology to facilitate learning the context of patient care and population health. The School weaves classroom, clinical, and community experiences in an educational environment that values student well-being and resilience. KPSOM students will be prepared to advance population health and equity, while working to increase diversity and inclusion in the physician workforce.

1.3 STRATEGIC GOALS

The strategic goals and defining attributes of the School are to:

- **Redefine** the essentials of physician education to improve the health and health equity of individuals and communities
- **Reimagine** the approach and methods for learning medicine to develop patient- and population-focused lifelong learners
- **Reinvent** the medical school environment to foster an inclusive culture and the total health of students
- **Reflect** learnings and drive change in medical education, the profession, the community, and the healthcare system

1.4 OUR CONTEXT

KPSOM will leverage the values and capabilities of the KP integrated health system, and the unique relationship between the independent Permanente Medical Groups (PMG) and the not-for-profit Kaiser Foundation Hospitals/Health Plan (KFH/HP) organization, to prepare students for future-facing clinical practice, health system leadership, advocacy, and scholarly innovation.

1.5 PROFESSIONALISM

In keeping with its stated values, KPSOM holds all its officers, directors, administrators, faculty, staff, and students to the highest ethical and professional standards. As part of the School's commitment to equity, inclusion, and diversity, all members of the community are expected to demonstrate respect, civility, and collaborative engagement in the academic enterprise.

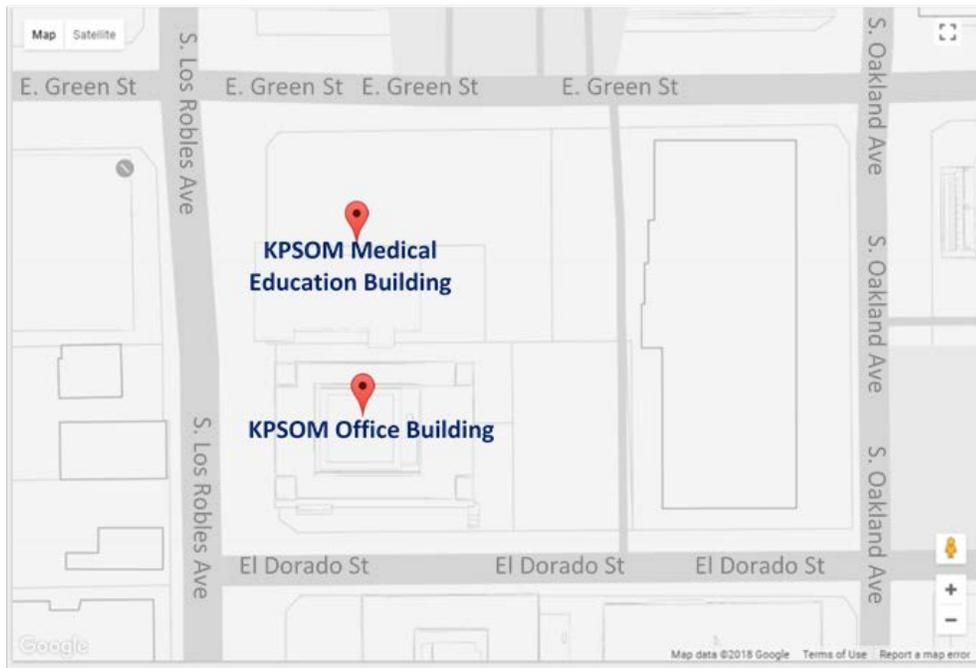
1.6 LOCATION

The Kaiser Permanente School of Medicine address is:

Kaiser Permanente School of Medicine
94 S. Los Robles Avenue
Pasadena, CA 91101

The KPSOM North building is located at the cross street of Green and Los Robles. This 80,000 square-foot, four-story structure contains state-of-the-art educational and simulation space, as well as student support services and other key medical school administrative services.

KPSOM SITE MAP



Facility

The KPSOM physical space and environment play a key role in creating an innovative model of medical education. Special attention was given to ensuring that the building design fosters innovation and allows for a dynamic response to the rapid evolution of technology and approaches to education. Learning and collaboration among students, faculty, and the community are at the heart of the design, with attention to promoting wellness and learning as well as supporting a culture of inclusion.

SECTION 2: BACKGROUND AND HISTORY

2.1 HISTORY OF THE KAISER PERMANENTE SCHOOL OF MEDICINE

KPSOM leverages KP's position as a prevention-focused, population-based organization with a social mission and world-class specialty care for its members. The School's most important differentiator is that the students will learn in the context of the KP Medical Care Program, an integrated model of care and financing focused on the total health of populations. Students will learn to be physician leaders and advocates for health.

KP has a long history of engaging in education with residents, fellows, and medical students, supporting rotations and other experiences in the medical setting. Over the years, KP physicians and leadership explored the possibility of creating a medical school, building on the organization's decades-long commitment to medical education through these respected and successful residency and fellowship programs.

In late 2015, the KFH/HP Board of Directors (BOD) approved establishment of the Kaiser Permanente School of Medicine, as well as the basic parameters for overall governance, financing, and operations.

SECTION 3: GOVERNANCE

3.1 KAISER PERMANENTE SCHOOL OF MEDICINE BOARD OF DIRECTORS

The KPSOM model establishes a medical school with institutional autonomy, while integrating the School with, and leveraging the assets of, Kaiser Foundation Hospitals (KFH), Kaiser Foundation Health Plan (KFHP), and the Permanente Medical Groups (PMG). KFH formed a California not-for-profit public benefit corporation, Kaiser Permanente School of Medicine, Inc., which operates the KPSOM. KFH is its sole corporate member.

Consistent with Western Association of Schools and Colleges Senior College and University Commission (WSCUC) standards and policies, the KPSOM BOD is composed of 11 external (independent) directors and seven internal directors from KFH/HP, PMG, and KPSOM.

The BOD was established in September 2016 and governs the School by establishing policy and exercising fiduciary responsibility for the long-term well-being of the institution.

For a list of current members of the KPSOM Board of Directors please see the following link:
<https://schoolofmedicine.kaiserpermanente.org/board/>

3.2 DEAN

The Dean is the Chief Academic and Administrative Officer, and the Chief Executive Officer and President of KPSOM. (See *Faculty Bylaws, Article 7: Role and Responsibilities of the Dean*).

The Dean is expected to hold a faculty position commensurate with her/his/their experience as determined and approved by the BOD.

The Dean, by virtue of office, is an *ex officio*, non-voting member of all committees of the BOD, except committees of the Board defined in Section 2 of Article V of the KPSOM BOD Bylaws, unless expressly appointed by the BOD to serve as a voting member of a particular committee.

SECTION 4: BUILDING ACCESS, SECURITY AND COMMUNICATION

4.1 KPSOM MEDICAL EDUCATION BUILDING ACCESS AND SECURITY

To ensure the safety and security of all faculty, students, and staff in the KPSOM, identification and access badges must be worn at all times.

Identification badges and access cards for the KPSOM Medical Education Building are issued on the first day of hire. These cards are required to enter exterior doors into the building, will allow access after-hours, and must be presented to the building security guards if requested. If a card is lost or stolen, contact the Office of Academic and Community Affairs as soon as possible for replacement information.

After normal business hours, all main entrances will be locked and accessed only with a School of Medicine identification badge and access card. The card reader/identification badge system will allow access to the

classrooms and faculty areas of the School of Medicine building. Each night, the campus is patrolled by certified security personnel with access to a network of surveillance cameras. Alarms are monitored 24 hours a day, seven days a week, at the security dispatch center at Kaiser Permanente's Walnut Center. In addition, the Kaiser Permanente Security Department provides a security escort to assist all faculty, staff, and students on campus at any time, day or night.

As part of new faculty/staff orientation, new employees are advised of all available campus security systems and processes, and an Emergency Action Plan for the School of Medicine building is included with the orientation materials. In addition, all plans, policies, and procedures are posted on the School's website, and emergency exit plans are posted on every floor in the building. Periodic fire/emergency evacuation drills are conducted to ensure readiness if such an event were to occur.

The security measures described above are also applicable to the clinical and hospital sites under the auspices of Kaiser Permanente. These measures include 24-hour on-campus security, emergency call boxes located at pedestrian walkways and parking lots, video surveillance of the campus, and badge access to all facilities.

4.2 COMMUNICATION

Ongoing communication among students, faculty, staff, and the various offices within KPSOM is essential to providing program and activity information in a timely manner, and to enabling new initiatives and issues of concern to be shared and discussed. Routine, planned sessions will be scheduled in advance throughout the year, including faculty meetings and town halls. Special meetings may be necessary for effective communication and will be announced with as much advance notice as possible.

Email is the official means of written communication between KPSOM and faculty. The official email address for faculty members is the assigned KPSOM email. Faculty are required to check their KPSOM email daily for all information and respond to any requests promptly and professionally.

To ensure effective communication, faculty are responsible for alerting the Office of Academic and Community Affairs of address and/or name changes in a timely fashion.

SECTION 5: EDUCATIONAL PROGRAM

5.1 CURRICULUM OVERVIEW

The educational program for the MD degree at KPSOM lays the foundation for advancement across the continuum from undergraduate medical education to graduate residency training. The curriculum integrates the foundational, clinical, and health systems sciences and takes an approach of revisiting topics over all four years with successively greater complexity (known as a spiraling curriculum) to facilitate deeper learning of medical knowledge, clinical skills, and patient care responsibilities. Case presentations introduced in Phase 1 will be presented again in Phase 2 with the incorporation of co-morbidities; complications; complex medical and psychosocial findings; and broader healthcare system, community, population health, and policy implications. Courses continue across multiple phases of the curriculum, differing primarily in the difficulty and complexity of the information and skills that are presented to the students. Thus, the spiral curriculum, using a case-presentation and small-group pedagogy, is designed to provide students with a solid understanding of the biomedical, psychosocial, and professional foundations for the practice of medicine; help students develop a

cooperative team approach to practicing medicine as integral members of a healthcare delivery team; foster the development of critical thinking and problem-solving skills; and support students in becoming adept at independent, lifelong learning.

The curriculum is divided into three phases across four years, with each phase reflecting the goals and objectives for students at that stage of their training. Concerted, longitudinal integration of foundational, clinical, and health systems sciences occurs across all four years, with varying emphasis on each of these sciences, depending on the phase in which the student is immersed.

Longitudinal curricular threads are woven throughout all phases, courses, and clinical experiences in the curriculum, providing a continuous focus on elements of healthcare essential to the practice of medicine. In each phase of the educational program, these threads will be integrated in the courses and clerkships through cases, clinical experiences, projects, and special sessions. In addition to the longitudinal integration, opportunities for students to obtain a deeper understanding of the focus of each curricular thread is offered through Phase 1 and 2 selectives. The longitudinal curricular threads are Equity, Inclusion, and Diversity; Interprofessionalism; Health Promotion; and Leadership and Innovation.

KPSOM competencies and program-level objectives are posted on the Learning and Curriculum Management System, Elentra.

SECTION 6: FACULTY DESIGNATIONS, RESPONSIBILITIES, AND RECRUITMENT

6.1 FACULTY EXPECTATIONS

The terms ‘faculty’ or ‘faculty member’ denote individuals appointed by the Dean and approved by the BOD who contribute to the educational mission of KPSOM. Minimal expectations for a faculty appointment include active engagement annually in KPSOM educational activities, documented service to the School, participation in required faculty development activities, completion of an annual career conference with a Department Chair or her/his/their designee, and compliance with rules and regulations as specified in this Handbook.

A full-time faculty appointment requires at least 0.8 FTE at KPSOM, KP, or KP and KPSOM combined.

For a listing of faculty contributions and responsibilities to the academic life of the School, please see *Article 5 of the Faculty Bylaws: Faculty Ranks, Appointment and Promotion Criteria, and Responsibilities*.

6.2 FACULTY DESIGNATIONS

Faculty designations and ranks are as follows:

Core Faculty: Individuals who are employees of KPSOM or Kaiser Permanente with educational and/or assessment duties in the School of Medicine. Core Faculty are appointed as Lecturer, Senior Lecturer, Instructor, Assistant Professor, Associate Professor, or Professor. Lecturers and Instructors are non-voting. Ranks of Assistant Professor or above are voting.

Adjunct Faculty: Individuals not employed by KPSOM or Kaiser Permanente, who have their primary appointment with another academic institution, and who have teaching and assessment duties within the

School of Medicine. Adjunct Faculty are appointed as Adjunct Lecturer, Adjunct Senior Lecturer, Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. These appointments are non-voting appointments.

Visiting Faculty: Individuals who hold an active faculty appointment at another institution, nationally or internationally, and are contributing to KPSOM as an educator. Appointments are for one year and may be renewed for up to 1 additional year. KPSOM will extend a visiting appointment at the same rank the individual holds at her/his/their home institution. These appointments are non-voting.

6.3 FACULTY RECRUITMENT

Recruitment of faculty presents the opportunity to enhance the diverse expertise of the KPSOM community. The following are minimal expectations for appointment of new faculty:

- The Department Chair will propose to the Dean in writing the need for new faculty in her/his/their Department, identifying the proposed role of the new faculty member and the resources necessary for the recruitment.
- If the recruitment proposal is approved by the Dean, a search committee consisting of at least three members from the Department and at least one faculty member from another Department will be proposed to the Office of Academic and Community Affairs for approval.
- All committee participants will complete required Search Committee training prior to serving.
- The position description, all advertisements, and a plan for identifying an appropriate pool of candidates will be provided to the Office of Academic and Community Affairs for review prior to commencement of the search.
- A narrative report of the search process will be submitted by the Department Chair with the initial appointment dossier.

SECTION 7: FACULTY RANKS, APPOINTMENT, AND PROMOTION

7.1 DATES AND TERMS OF APPOINTMENTS

Faculty appointments are made for a stated term following approval. Absent unusual circumstances, appointments end on June 30, and reappointments are effective on July 1. Initial appointments and promotions are typically effective on the first day of the month following the promotion or appointment review. There is no set time by which a promotion must be considered and there is no tenure of position, title, or salary at KPSOM.

7.2 DEFINITIONS OF FACULTY RANKS

RANK	DESCRIPTION	QUALIFICATIONS	LEVEL OF REPUTATION	TERM AND VOTING STATUS
Lecturer	Teaching appointment not on the promotion ladder	Typically, an advanced degree in discipline or area of specialty	Typically local	Annual, non-voting; renewable
Senior Lecturer	Teaching appointment not on the promotion ladder	Typically, an advanced degree; leading and substantial accomplishment in one's field	Typically national	Annual, non-voting; renewable
Instructor	Entry-level appointment on the promotion ladder Instructors are expected to contribute to educational activities, service, and scholarship	Completion of post-doctoral training program Board certification/eligibility in specialty as applicable	Among peers and leaders in the communities they have served	Annual, non-voting; renewable
Assistant Professor	Appointment on the promotion ladder Assistant Professors have demonstrated some evidence of educational service and scholarly contributions	Completion of post-doctoral training program Board certification/eligibility in specialty as applicable Typically, two or more years of teaching or scholarship activity	Strong local, and, in some cases, regional reputation	Three-year, voting; renewable
Associate Professor	Appointment on the promotion ladder Associate Professors have demonstrated substantial educational service and scholarly contributions	Completion of post-doctoral training program Board certification/eligibility in specialty as applicable Typically, four or more years of teaching or scholarship activity Outstanding* record in at least one of the following: Teaching, Service, or Scholarship Exceeds Expectations* at least two of the following: Teaching, Service, or Scholarship	Strong regional, and, in some cases, national reputation in discipline or specialty and/or research	Four-year, voting; renewable

Definitions of Faculty Ranks (continued)

RANK	DESCRIPTION	QUALIFICATIONS	LEVEL OF REPUTATION	TERM AND VOTING STATUS
Professor	Highest rank on the promotion ladder Professors have demonstrated outstanding educational service and scholarly contributions	Completion of post-doctoral training program Board certification/eligibility in specialty as applicable Typically, six or more years of teaching or scholarship activity Outstanding* record in at least two of the following: Teaching, Service, or Scholarship. Exceeds Expectations* in at least one of the following: Teaching, Service, or Scholarship	Strong national, and, in some cases, international reputation in discipline or specialty and/or research	Five-year, voting; renewable

*See section 7.3 below for definitions

7.3 EVALUATION CRITERIA FOR APPOINTMENT AND PROMOTION

Metrics below are informed by the KPSOM/KP environment. Equivalent achievements in outside institutions will be considered for initial appointments of candidates new to KPSOM/KP.

The specific criteria outlined below serve as examples. Department Chairs/appointment committees may consider other achievements not listed below.

7.3.1 Teaching

KPSOM places a priority on teaching. Teaching refers to all instructional activity (undergraduate, graduate, and/or continuing medical education) within KPSOM. Clinical teaching and supervision is highly valued and recognized for its essential contribution to the education and training of healthcare professionals.

Contributions considered as teaching include teaching in courses, clerkships, residency training programs, workshops, or symposia; engaging in development of curricular and educational programs; development of educational materials and learning activities; establishment of effective methods of learner assessment; administrative teaching leadership; development of competency-based methods of teaching and assessment, as well as mentoring for scholarly activity of students, residents, post-docs, and fellows.

Contributions to teaching are evaluated as follows:

a. Outstanding

A faculty member's contributions are recognized as **Outstanding** if she/he/they meets four of the following achievements over the previous term of appointment:

- average learner and peer evaluations of 4.5 or greater on 5-point Likert scale, where higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different);
- documentation of positive student, resident, or faculty learner outcomes based on formal internal and external metrics;
- demonstrated application of student-centered, active-learning pedagogy;
- demonstrated effectiveness in mentoring students and/or peers;
- administrative teaching leadership;
- demonstrated innovation and creativity in the development and application of learning activities;
- clinicians who teach in a patient care setting may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice;
- research faculty may provide alternate forms of evidence that may be unique to their environment and field; this should include a clear explanation of the connection between their teaching and the advancement of learners in research activities;
- demonstrated national and/or international recognition for teaching and/or curricular contributions; or
- a combination of two of the following achievements:
 - peer-reviewed publication on educational topics;
 - teaching awards from students, residents, or fellows;
 - teaching of peers beyond KPSOM or KP at regional or national professional meetings (CME/workshops/symposia);
 - receipt of a career teaching award; and/or
 - service as a principal investigator for a training grant awarded to the faculty member's department.

b. Exceeds Expectations

A faculty member's contributions are recognized as **Exceeds Expectations** if she/he/they meets three of the following achievements over the previous term of appointment:

- average learner and peer evaluations of 4.10 to 4.49 on 5-point Likert scale, where higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different);
- documentation of positive student outcomes based on formal internal and external metrics;
- demonstrated excellence in mentoring students and/or peers;
- administrative teaching leadership;
- documentation of participation and leadership in curricular development and integration and in teaching-related faculty development activities;
- evidence of active learning in the classroom, and innovation in teaching and assessment;
- clinicians who teach in a patient care setting may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice;

- research faculty may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in research activities;
- preliminary evidence of national recognition for teaching and curricular accomplishments; or
- a combination of any two of the following achievements:
 - peer-reviewed publication on educational topics;
 - teaching awards from students, residents, or fellows;
 - teaching of peers beyond KPSOM or KP at regional or national professional meetings (CME/workshops/symposia);
 - receipt of a career teaching award; or
 - service as a principal investigator for a training grant awarded to the faculty member’s department.

c. Meets Expectations

A faculty member’s contributions are recognized as **Meets Expectations** if she/he/they meets two of the following achievements over the previous term of appointment:

- average learner and peer evaluations of 3.70 to 4.09 on a 5-point Likert scale, where higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different), with favorable letters from a course, clerkship, or training program director;
- administrative teaching contributions;
- documentation of participation in teaching-related faculty development activities as a learner;
- participation in curriculum development;
- clinicians who teach in a patient care setting may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice. This may include mentoring; or
- research faculty may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in research activities.

d. Acceptable, with Improvement Needed

A faculty member’s contributions are recognized as **Acceptable, with Improvement Needed** if she/he/they meets the following achievements over the previous term of appointment:

- average learner and peer evaluations of 3.69 or less on a 5-point Likert scale, where higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different), with favorable letters from a course, clerkship, or training program director;
- documentation of participation in teaching-related faculty development activities as a learner;
- clinicians who teach in a patient care setting may provide alternate forms of evidence that may be unique to her/his/their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice. This may include mentoring; and
- research faculty may provide alternate forms of evidence that may be unique to their environment and field – this should include a clear explanation of the connection between their teaching and the advancement of learners in research activities.

KPSOM highly values faculty service to the medical school, healthcare system, communities, and the profession. Faculty members participate actively in a broad range of clinical, intellectual, social, and governance activities. They lend their expertise to advance their specialty and discipline through innovative approaches and methodologies and through work with internal and external organizations. In addition, faculty service may take the form of efforts in support of equity, inclusion, and diversity and advocacy for communities, patients, and education.

a. Outstanding

A faculty member's contributions are recognized as **Outstanding** if she/he/they meets three of the following achievements over the previous term of appointment:

- service in an administrative role for multiple years at the department level or above, with supervision and oversight of faculty, with responsibilities for a teaching/training, clinical, or scholarly activity program;
- service to the profession in an administrative or leadership role for multiple years in a state, regional, national, or global program, with responsibilities for the oversight of a teaching/training research or clinical activity program – the faculty member's service in this area must have received state, regional, national, or international recognition;
- state, national, or international recognition of excellence in some aspect of patient care, healthcare policy, or healthcare research;
- demonstrated citizenship and exemplary service to KPSOM through consistent and effective leadership on committees and innovative teams;
- demonstrated commitment to diversity efforts, service in the community, and wellness initiatives; or
- leadership in community, patient, government, or educational advocacy.

b. Exceeds Expectations

A faculty member's contributions are recognized as **Exceeds Expectations** if she/he/they meets two of the following achievements over the previous term of appointment:

- service through an administrative or leadership role at the department level or above;
- recognition by peers at the state, regional, national, or international level for a leadership role in a professional organization;
- state, regional, national, or international recognition for excellence in some aspect of patient care, healthcare policy, and/or healthcare research;
- demonstrated citizenship and consistent service to KPSOM through effective participation and leadership on committees and innovative teams;
- demonstrated commitment to diversity efforts, service in the community, and wellness initiatives; or
- leadership in community, patient, government, or educational advocacy.

c. Meets Expectations

A faculty member's contributions are recognized as **Meets Expectations** if she/he/they meets two of the following achievements over their current term of appointment:

- demonstrated high level of effectiveness at the department level or above by carrying out assigned administrative or committee responsibilities;
- participation in one or more local, state, regional, national, or international professional organizations;

- demonstrated citizenship and consistent service to KPSOM through effective participation on committees and innovative teams;
- involvement in community, patient, government, or education advocacy; or
- contributions to diversity efforts, service in the community, and wellness initiatives.

d. Acceptable, with Improvement Needed

A faculty member's contributions are considered **Acceptable, with Improvement Needed** if she/he/they meets the following achievements over the previous term of appointment:

- effectiveness in carrying out assigned administrative or committee responsibilities;
- citizenship and contributions to consistent service to KPSOM through effective participation on committees; and
- commitment to diversity efforts, service in the community, and wellness initiatives.

7.3.3 Scholarship

KPSOM has adopted a definition of **scholarship**, drawing from examples from Boyer, that includes: 1) scholarship of teaching; 2) scholarship of integration; 3) scholarship of application; and 4) the traditional research-oriented scholarship of discovery.

Scholarship of teaching may include the development of new courses, curriculum, new educational models, novel approaches to interprofessional education, and new ways to merge educational processes with service learning and aid to communities.

Scholarship of integration may include synthesis of knowledge from disparate disciplines to create new, integrated resources for science and learning; leveraging novel platforms and tools to disseminate existing findings; and preparation of review articles, chapters, and books that draw upon and integrate original research by others.

Scholarship of application may include interpreting new knowledge in such a way that is applicable to actual clinical environments; comparative effectiveness research; external consulting activities (e.g., in industry relevant to the work of the faculty member); partnerships with various entities to solve problems; and dissemination of innovative health practices to the community.

Traditional research scholarship may include fundamental discoveries in population science, biostatistics, health policy, bioinformatics, epidemiology, and clinical trials, among others.

Scholarship dissemination may take the form of peer-reviewed publications, books, chapters, online resources, software, multimedia presentations, and emerging forms of information technology and social media, among other formats.

a. Outstanding

A faculty member's contributions are recognized as **Outstanding** if she/he/they has achieved at least three of the following over the previous term of appointment:

- publications of significance that demonstrate various roles, including as a collaborative team member, principal investigator, or first or senior author. The scope and influence of the work will be weighed in each case, in lieu of designating a precise number of publications. In weighing merit, the following will be considered:
 - publication in high-impact venues or journals;

- highly cited publications; or
- collaborative clinical or curricular publications that advance the teaching and clinical mission of KPSOM.
- peer-reviewed, published, curricular materials (with consideration given to effort required to develop the materials and level of influence);
- development and dissemination of far-reaching healthcare policy locally, regionally, nationally, or internationally;
- funding of investigator-initiated research grant(s) as single or multiple principal investigator;
- consistent mentoring of junior faculty and students in scholarly/research activity; or
- regional, national, or international recognition of scholarship evidenced by any three of the following:
 - approval of a competitive grant as the principal investigator;
 - editorship of a refereed professional or scientific journal;
 - appointment to a study section as a permanent member or a task force or advisory group for NIH or other government or professional board;
 - participation in a national or international task force or committee to establish clinical practice standards; or
 - consistent record of invited presentations at national and/or international scientific or professional meetings.

b. Exceeds Expectations

A faculty member's contributions are recognized as **Exceeds Expectations** in scholarship if she/he/they meets at least two of the following achievements over the previous term of appointment:

- publications of significance that demonstrate various roles, including as a collaborative team member, principal investigator, or first or senior author. The scope and influence of the work will be weighed in each case, in lieu of designating a precise number of publications. In weighing merit, the following will be considered:
 - publication in high-impact venues or journals;
 - highly cited publications; and
 - collaborative clinical or curricular publications that advance the teaching and clinical mission of KPSOM.
- peer-reviewed, published curricular materials (consideration given to effort required to develop the materials and to level of influence);
- influence on healthcare policy locally, regionally, nationally, or internationally;
- funding of investigator-initiated research grant(s) as co-investigator or site PI;
- book reviews, letters to the editor, abstracts; or
- regional, national, and/or international recognition of scholarship, evidenced by any one of the following:
 - approval of a competitive grant as the principal investigator;
 - editorship of a refereed professional or scientific journal;
 - regular reviewer for a recognized peer-reviewed journal;
 - regular reviewer or appointment to a study section for a recognized competitive grant-awarding organization;
 - appointment to a study section as a permanent or *ad hoc* member or a task force or advisory group for NIH or other government or professional board;
 - participation in a national and/or international task force or committee to establish clinical practice standards; or

- multiple invited presentations at national and/or international scientific or professional meetings.

c. Meets Expectations

A faculty member’s contributions are recognized as **Meets Expectations** in scholarship if she/he/they meets at least two of the following over the previous term of appointment:

- publications of significance, including peer-reviewed and non-peer-reviewed manuscripts, with faculty member as first author, senior author, or principal collaborator; the scope and influence of the work will be weighed in each case, in lieu of designating a precise number of publications. In weighing merit, the following will be considered:
 - publication in high-profile venues or journals; and
 - collaborative clinical or curricular publications that advance the teaching and clinical mission of KPSOM.
- peer-reviewed, published curricular materials (consideration given to effort required to develop the materials and to level of influence);
- active participation in research grants; or
- book reviews, letters to the editor, abstracts (published or unpublished).

d. Acceptable, Needs Improvement

A faculty member’s contributions are considered **Acceptable/Needs Improvement** in scholarship if she/he/they has achieved one of the following over the previous term of appointment:

- publications of significance, including peer-reviewed and non-peer reviewed manuscripts, with faculty member as first author, senior author, or principal collaborator; the scope and influence of the work will be weighed in each case, in lieu of designating a precise number of publications. In weighing merit, the following will be considered:
 - publication in high-impact venues or journals; and
 - collaborative clinical or curricular publications that advance the teaching and clinical mission of KPSOM.
- applications for research grants;
- book reviews, letters to the editor, abstracts (published or unpublished); or
- papers submitted but not yet accepted for publication.

7.4 APPOINTMENT and PROMOTION PROCESS

7.4.1 Process for Initial Appointment

Academic appointments are initiated with submission of a dossier by the candidate’s Department Chair to the Office of Academic and Community Affairs. The Office of Academic and Community Affairs will review the dossier for completeness and forward it to the Advisory Committee on Appointments and Promotions (ACAP). The committee meets at scheduled intervals. The ACAP may be called upon to meet on an *ad hoc* basis as needed for new faculty recruitment and hiring.

After review and approval by the ACAP or its designated sub-committee, the Senior Dean for Academic and Community Affairs will review and approve the appointment before a formal offer is extended by the Dean. If the decision is made by an ACAP sub-committee, the full ACAP will review and ratify the appointment at its next scheduled meeting.

If the ACAP or its subcommittee members concur with the Department Chair's proposed rank, the Office of Academic and Community Affairs, in collaboration with the Office of Human Resources, when applicable, on behalf of the Dean, will extend a formal written offer, including:

- the proposed faculty rank;
- terms and conditions of employment, including privileges;
- benefits (Permanente Medical Group members will receive notification that there are no changes in benefits);
- compensation, including policies on practice earnings (Permanente Medical Group members will receive notification that there is no change in compensation – however, there is a teaching incentive); and
- responsibilities in teaching, service, scholarship/research, and where relevant, patient care.

If the ACAP (or its designated subcommittee) or the Senior Associate Dean for Academic and Community Affairs does not support the proposed appointment, the dossier will be referred back to the Department Chair for further discussions with the Dean's Office.

A complete dossier for **initial appointment** at all ranks includes:

- Department Chair cover letter: This letter documents the individual's accomplishments and background as they relate to the faculty role and the rank being requested, and how she/he/they will contribute to KPSOM (a template is available from the Office of Academic and Community Affairs)
- candidate's current CV (a template is available from the Office of Academic and Community Affairs)
- candidate narrative describing previous teaching, service, research, and scholarship, which must be supported by samples/evidence to substantiate the most significant accomplishments in each of these areas
- search Process documentation
- for Assistant Professor and above, letters of reference (the required number of letters is based on rank):
 - Assistant Professor – two letters
 - Associate Professor – three letters
 - Professor – five letters
- for PMG faculty only, the Chief of Service letter of support

7.4.2 Process for Promotion

Faculty may seek promotion at any time as long as they meet the criteria as defined by this Handbook.

Candidates seeking promotion submit CVs, narratives, and teaching evaluations from outside the KPSOM system to their academic Department Chair who will determine whether candidates' accomplishments meet the criteria for promotion.

If the Department Chair approves the candidate's request for promotion, the Chair will assemble a dossier as described below and she/he/they will submit it to the Office of Academic and Community Affairs. If the candidate for promotion is a Department Chair, the dossier will be assembled by the Senior Associate Dean for Academic and Community Affairs and submitted directly to the Dean for initial review, after which she/he/they will forward it to the Office of Academic and Community Affairs.

The Office of Academic and Community Affairs will review the dossier for completeness; candidates and Department Chairs will be advised after an initial review of any additional materials, documentation, or modifications required. Completed dossiers will be forwarded to the Advisory Committee on Appointments

and Promotions (ACAP). ACAP formally reviews the promotion dossiers based on the annual ACAP schedule of meeting dates.

Such promotion, if approved, will become effective on the first day of the month following the ACAP meeting. A new title may be assumed based on an effective date. Salary adjustments, when applicable, are reviewed annually and separately based on the academic budget cycle, and do not apply to faculty employed by a PMG.

The Department Chair will report to the Office of Academic and Community Affairs any candidate dossier she/he/they has received but did not advance, clearly indicating the reasons for the lack of support.

If the Department Chair does not support a faculty member's promotion, within 10 days of being notified that the case will not advance, the candidate may request in writing that the ACAP review the portfolio. This request must be addressed to the Office of Academic and Community Affairs, which in turn will submit the request to the Chair of ACAP for consideration at the next scheduled ACAP meeting.

Promotions requests not supported by ACAP may be appealed. Within 10 days of being notified that ACAP did not support the promotion, the candidate may request in writing, to the Office of Academic and Community Affairs, a special review of her/his/their candidacy. In such cases, the Office of Academic and Community Affairs will appoint an *ad hoc* committee consisting of two members of the Dean's Cabinet not previously involved in the review and two professors, at least one of whom will represent the Faculty Executive Committee. No appeal is permissible if the Dean, the Senior Associate Dean for Academic and Community Affairs, and the ACAP have assessed that the candidate is not eligible for promotion. In the event a dossier is rejected, the candidate may not resubmit for consideration for a minimum of one year.

Candidates and their Department Chairs have the right to withdraw, without penalty, the candidacy for promotion at any stage in the process. Requests for withdrawal will be made in writing to the Office of Academic and Community Affairs, who will advise the ACAP and the Dean's Office of the withdrawal action.

A complete dossier for **promotion appointment** at all ranks includes:

- Department Chair cover letter: This letter documents the individual's accomplishments and contributions to KPSOM as an educator, and their record of service, scholarship, and level of reputation (a template is available from the Office of Academic and Community Affairs)
- candidate's current CV (a template is available from the Office of Academic and Community Affairs)
- candidate narrative describing recent teaching, service, and scholarship, which must be supported by samples/evidence to substantiate the most significant accomplishments in each of these areas
- when available, student and peer evaluations of teaching
- for Assistant Professor and above, letters of reference (the required number of letters is based on rank)
 - Assistant Professor – two letters
 - Associate Professor – three letters
 - Professor – five letters
- faculty member's most recent annual performance review
- for PMG faculty only, the Chief of Service letter of support

7.5 PROCESS FOR REAPPOINTMENTS

This process applies to individuals who hold an active faculty appointment and are eligible for reappointment.

All faculty appointments are typically renewable if appropriate to further the mission and needs of the School of Medicine, provided that the level of continuing contributions justify such renewal. The renewal process will occur in the last year of the current appointment period. Please see Table 1 in this section for faculty terms of appointment.

Faculty are not required to advance in rank. They are, however, expected to demonstrate a level of achievement in teaching, scholarship, and service that is, at a minimum, commensurate with their current rank.

All faculty with an expiring appointment term will be informed in January of the year of term expiration to submit reappointment documents to their Department Chair by March 1. The Department Chair or designee will meet with the faculty member to review and discuss the reappointment documents described below and the faculty member's performance and activities (please see Section 7.8, Annual Career Conference, for details). The Department Chair, or designee, and faculty member, will discuss terms and goals for a proposed new period of appointment, if applicable. The Chair will keep the Dean apprised, through the Senior Associate Dean of Academic and Community Affairs, of any circumstances that may result in non-renewal or of any obstacles to renewal.

Following this meeting or meetings, the Department Chair will submit the faculty member's reappointment dossier together with her/his/their letter of recommendation for reappointment to the Office of Academic and Community Affairs by June 1. The Office of Academic and Community Affairs will then forward a recommendation to the Senior Associate Dean for Academic and Community Affairs for approval.

The Office of Academic and Community Affairs will provide a confirmation of academic reappointment within 30 days of the conclusion of the review. All documents requiring acknowledgment must be signed and returned to the Office of Academic and Community Affairs within 10 business days after receipt. The faculty member may request an extension not to exceed 30 days for signature to allow for additional consideration or review.

A complete dossier for **reappointment** includes:

- Department Chair cover letter: This letter documents the individual's accomplishments in education, service, and scholarship since her/his/their last appointment, and also includes a statement of integrity and confirms that the individual is in good standing (a template is available from the Office of Academic and Community Affairs)
- candidate's updated CV (a template is available from the Office of Academic and Community Affairs)
- faculty member's most recent annual activity report
- for PMG faculty only, proof of continued, active, Permanente Medical Group employment.

PMG faculty are contracted through the Permanente Federation, not KPSOM, and therefore, their employment contracts will be reviewed and renewed according to Permanente Federation policies and guidelines. However, PMG faculty appointments in KPSOM are subject to the same review and reappointment process as all other faculty.

7.6 PROCEDURE FOR NON-RENEWAL OF FACULTY APPOINTMENT

If a faculty member's term comes due for review and it is decided that the faculty member's appointment will not be renewed, the following procedure applies:

- The faculty member will be notified in writing of appointment non-renewal by the Department Chair at least one month prior to the expiration of the faculty member's term. The Department Chair will consult with the Senior Associate Dean for Academic and Community Affairs and the Dean at the time of any decision for non-renewal.
- Within 10 days of being notified of non-renewal, the faculty member may request in writing, to the Office of Academic and Community Affairs, a special review of their non-renewal. In such cases, the Office of Academic and Community Affairs will appoint an *ad hoc* committee consisting of two members of the Dean's Cabinet not previously involved in the review and two professors, at least one of whom will represent the Faculty Executive Committee. No appeal is permissible if the Dean, the Senior Associate Dean for Academic Affairs, and the Department Chair have assessed that the candidate is not eligible for renewal. The appointment will typically be extended throughout the period of review.
- The faculty member will receive a determination from the Office of Academic and Community Affairs within 30 days of submitting the appeal. This determination will be final.

7.7 DISMISSAL OF FACULTY

1. KPSOM will terminate a faculty appointment before its specified end date only for cause, as specified in this Section. A recommendation for termination may be initiated by the faculty member's Department Chair, which will be made in writing and addressed to the Dean. If the termination action is recommended for a Department Chair, the process may be initiated by the Senior Associate Dean for Academic and Community Affairs or the Dean.
2. Adequate cause for dismissal will be related directly and substantially to the fitness of the faculty member in her/his/their role as an educator, researcher, administrator, and/or medical professional. The burden of proof that adequate cause exists rests solely with KPSOM. KPSOM reserves the right to place the faculty member on an administrative leave during the period of discovery.
3. Such a termination will not be used to restrain a faculty member in her/his/their exercise of academic freedom, or in her/his/their exercise of other rights normally granted to U.S. citizens.
4. Dismissal proceedings may be instituted only if one or more of the following apply:
 - continued neglect of scheduled duties, despite being notified of same in writing previously;
 - serious violation of the rights and freedoms of fellow faculty members, administrators, or students;
 - unethical professional behavior related to teaching, scholarship/research, or service, and/or unethical professional behavior with regard to the general standard of performance expected as a faculty member, and/or unethical professional behavior as dictated by the profession generally, which would normally lead to revocation of licensure or certification. In the context of scholarship/research, misconduct, as defined by federal policy, is fabrication, falsification, or plagiarism, in proposing, performing, or reporting research results;
 - conviction of a crime directly related to the faculty member's fitness to practice his or her profession;
 - intentional falsification of credentials or academic experience;
 - permanent loss of required professional licensure and/or certification (not including suspension without revocation);

- loss of right to reside or work within the United States; or
 - moral turpitude, extensive malpractice history, being/becoming uninsurable with regard to clinical status, and fitness to practice her/his/their profession, if relevant to the faculty member's duties.
5. The faculty member will have 30 calendar days after receipt of a certified letter in which the reason(s) for dismissal are clearly articulated to respond to the charges. In this written response, the faculty member may elect to have the KPSOM statement of charges reviewed by an *ad hoc* committee. In such cases, the Office of Academic and Community Affairs will appoint an *ad hoc* committee consisting of two members of the Dean's Cabinet not previously involved in the review and two professors, at least one of whom will represent the Faculty Executive Committee. The *ad hoc* committee will have 30 calendar days from the close of the hearing to make its recommendations and report to the Dean. Recommendations by the *ad hoc* committee are considered peer-reviewed recommendations, are advisory only, and do not imply any legal decision.
 6. A faculty member has the right to obtain personal legal counsel regarding any adverse decision by KPSOM.
 7. The faculty member has 30 calendar days to respond in writing, to the recommendation and report by the *ad hoc* committee. After considering the faculty member's response and the *ad hoc* committee's recommendation, the Dean will inform the faculty member and the committee, in writing, of her/his/their decision. If it is the Dean's decision to modify or reject the committee's recommendation, the Dean will state her/his/their reason(s) in writing.
 8. A decision by the Dean to sanction and/or dismiss a faculty member before the end of a specified term will be initiated only after the Dean has shared and reviewed the circumstances with the Board of Directors.

7.8 ANNUAL REVIEW

All faculty will have an annual review with the Department Chair or her/his/their designee. In preparation for this meeting, the faculty member will complete an Annual Activity Report, for which a template is available from the Office of Academic and Community Affairs, which documents accomplishments in teaching, service, scholarship, and goals for the coming year.

The review will consist of a performance evaluation and an assessment of the faculty member's contributions, academic achievements, and conduct during the year. The review will include a discussion of the faculty member's academic trajectory and potential for advancement. She/he/they will provide the faculty member a written assessment of her/his/their performance. PMG faculty reviews will also include input from the Medical Director. This process allows for a holistic review of the faculty member's contributions to the greater community, provides clarity, and mitigates the potential for differences in perception regarding the faculty member's status and obligations. The academic Department Chair is ultimately responsible for the annual performance evaluation of her/his/their faculty, and along with the faculty member, must sign the performance evaluation document to acknowledge having read and discussed it. All signed reviews will be filed with the Office of Academic and Community Affairs.

7.9 FACULTY DEVELOPMENT

Faculty are expected to improve and renew their knowledge, skills, abilities, and behaviors in their professional field, teaching, service, patient care, innovation, and scholarship. KPSOM, through the Office of Academic and Community Affairs, offers a menu of faculty development opportunities that allow for personalized development plans. Faculty should regularly refer to the KPSOM website for a menu and calendar of offerings.

All faculty are also required to participate in faculty development activities that are considered fundamental to KPSOM and that address mission, vision, and values, as well as important topics such as policies, communication strategy, the learning environment, and professionalism, among others. Such programs identified as mandatory will be made available to faculty through multiple media (e.g., in-person meetings, webinars) or repeated, in-person sessions.

7.10 FACULTY LEAVE

Faculty are eligible for unpaid leave as granted by the Family and Medical Leave Act (FMLA). Faculty should consult with Human Resources to initiate a request for such leave.

Faculty may also request a leave of absence for academic, personal, or other reasons. Faculty may request a leave for up to one year. Only in exceptional cases may a second year of leave be considered and no leaves beyond two years will be granted. Requests for leave should be presented in writing to the Department Chair, who will evaluate the feasibility of granting leave in the context of department planning. If the Department Chair decides a leave of absence is possible, she/he/they will submit the original faculty request and a letter of support to the Senior Associate Dean for Academic and Community Affairs for review. Faculty leaves will be considered in light of the overall academic needs of the School and cannot be guaranteed.

SECTION 8: POLICIES

Please refer to the Academic Bulletin for policy statements and policy numbers for complete policies. The following is a list of policy categories and titles [*Website Links for each category and policy TBD*].

8.1 ACADEMIC AFFAIRS: KPSOM.ACA.100.XXX

- Academic Freedom
- Academic Honesty
- Academic Workload and Duty Hours
- Admissions Policy
- Attendance and Excused Absence
- Award of Academic Credit
- Clinical Supervision
- Electives
- Fair and Timely Assessment and Grade Submission
- Formative Feedback and Assessment
- Narrative Assessment
- Non-involvement of Providers of Student Health Services in Assessment and Advancement

- Positive Learning Environment and Student Mistreatment
- Single Standard for Promotion and Graduation
- Student Challenge of Course and Clerkship Data and Grades
- Student Disciplinary Action and Due Process
- Transfer Credit

8.2 ADMINISTRATION: KPSOM.ADM.200.XXX

- Business Practices and Ethics
- Disaster and Emergency Preparedness Policy
- Equity, Inclusion, and Diversity
- Grievance
- Harassment-Free Environment
- Non-Discrimination (Employees)
- Non-Discrimination (Students)
- Student Tuition Recovery Fund
- Tuition Refund

8.3 FACULTY AFFAIRS: KPSOM.FAA.300.XXX

- Faculty Appointment, Renewal, Promotion, Tenure, Dismissal
- Faculty Development and Preparation
- Integrity in Scientific Research

8.4 GOVERNANCE: KPSOM.GOV.400.XXX

- Board of Directors Self-Evaluation
- Conflict of Interest
- Conflict of Interest Questionnaire: Directors, Officers
- Conflict of Interest Questionnaire: Employees
- Review and Performance Evaluation of KPSOM Dean
- Strategic Planning
- WSCUC Independent Governing Board

8.5 STUDENT AFFAIRS: KPSOM.STA.500.XXX

- Exposure to Body Fluids and Blood-Borne Pathogens
- Immunizations and Health Screenings
- Student Record Access and Confidentiality