

**DEPARTMENT OF FAMILY AND COMMUNITY MEDICINE (DFCM)**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURES**

**I. GENERAL PROCEDURES**

The Department Chair leads the department faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. The Department Chair presides at all department meetings, except as the Department Chair may delegate this function, and is an ex officio member of all department committees. The Department Chair has administrative responsibility for implementing the department's policies and programs within the limits established by the Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, and the Rules of the College of Medicine.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the Department Chair, and within the bounds set by the college and the university, the department faculty shall establish procedures to be used within the department concerning: (1) Recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint, (2) the Faculty performance evaluations, and (3) Preparation of budget requests. The department faculty shall develop statements describing the evidences of activity in instruction, research, and service that are appropriate to their field for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements shall be submitted by the Department Chair to the College of Medicine dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, shall also be submitted by the department chair to the dean for review and final approval.

Faculty Involvement in Educational, Research, and Service

1. Medical student education – The Department Chair of the Department of Family and Community Medicine (DFCM) will appoint a Director of Medical Student Education who shall have responsibility for overseeing the Department's course offerings in the first, second, third, and fourth year medical school curriculum. Faculty in the Department will participate in one or more of the Department's course offerings as directed by the Department Chair and/or as it is aligned with the faculty member's distribution of effort; this participation will be negotiated with the Department Chair yearly after the Director of Medical Student Education, in collaboration with the Vice Chair, has determined faculty needs for the Department's course offerings. The department follows the education policies established in the Administrative Regulations, AR 3:8.B4 regarding polices to serve public service functions.
2. Graduate Medical Education Programs – The Department Chair will appoint a Residency Program Director, at least one Associate Residency Program Director, and Core Residency Program faculty for each DFCM residency program, in compliance with all UK College of Medicine policies and pertinent accrediting bodies. Each Residency Program Director will be responsible for the successful operation of his/her assigned residency program. The Department Chair may assign educational oversight for DFCM graduate medical education (residency) programs as a whole to the DFCM Vice Chair and/or applicable Division Chief. Off-site family medicine residency programs required to have substantial amounts of training at UK Lexington facilities (e.g. The UK-St Claire Morehead Family Medicine Residency Program) will be directed by the Program Director for the Lexington program, who will

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supervise a Site Director at the rural training facility. The Department Chair shall appoint a Director for each ACGME-accredited fellowship program administered by the DFCM. Fellowship program directors will be responsible for appointing core program faculty contingent on approval by the Department Chair. Each fellowship program director shall be responsible for the successful operation of his/her assigned program.

3. Research Programs – The Department's research activities strive to explore and report upon issues and concepts which influence: 1) family physicians' education and practices, and 2) the health and well-being of patients or populations, especially as they relate to primary care and in the context of their communities. The Department's research activities may include work in multiple areas including, but not limited to: dissemination/ implementation research, survey research, quality improvement and systems of care, practice-based research, infrastructure and capacity building, chronic care models, quantitative and qualitative research methods, secondary analysis of existing data, clinical research, and translational research. Faculty are expected to participate in and/or initiate research programs or projects that are, at a minimum, consistent with their distribution of effort that is approved by the Department Chair. Participation may include having an active role in the formation and/or implementation of research programs or projects, contributing to the development and submission of grants, and/or developing and disseminating scholarly works, such as manuscripts and presentations. A Department Chair designee will serve a coordinating function for the department's research activities.
4. Service Functions – Department faculty serve on departmental, college, and university committees as assigned or approved by the Department Chair, with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department's commitments to the service of its patients and the education of its students and residents take precedence over other activities.

#### Faculty involvement in other UK functions outside of the Department of Family and Community Medicine

Department faculty may be assigned by the College of Medicine Dean, the Executive Vice President for Health Affairs, the UK Provost, the UK President, or their designees to perform functions for the College, UK HealthCare, or the University. These assignments shall be approved by the Department Chair, unless this approval authority is specifically denied to the Department Chair by the College of Medicine Dean, the Executive Vice President for Health Affairs, the UK Provost or the UK President.

Department faculty may devote time and effort to service, teaching, research or administration for another department, center or college within UK. Such activities and pertinent funding must be approved by the Department Chair.

#### Faculty Involvement in faculty appointment, promotion and tenure procedures

The Department Chair shall consult with appropriate faculty employees of the unit in preparing recommendations for appointments, reappointments, promotion and/or the granting of tenure, such consultation being in accordance with GR Part VII, section B.5. See also Appendix I (Matrix of Consultations and Written Judgments).

Appointment, reappointment, and/or promotion of voluntary faculty procedures and criteria for the appointment, reappointment, and promotion for faculty appointed to a position in the voluntary series in the DFCM will follow Administrative Regulations AR 2:10.

The membership of the departmental faculty consists of the Department Chair, full-time faculty, part-time faculty, adjunct faculty and voluntary faculty. Full-time faculty members possess voting rights by virtue of their primary appointments in the department. The “UK College of Medicine (COM) Procedures for Appointment, Promotion and Tenure” document defines the COM appointment, promotion and tenure procedures; these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. All recommendations on matters listed below, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department.

1. **Appointing Faculty Members** – The Department Chair shall consult appropriate full-time department faculty members as delineated below for new faculty appointments. Letters stating each consulted faculty member’s level of support will be requested.
  - a. **Tenure eligible candidates:** All full-time tenured faculty and tenure-eligible faculty with a rank at or above the rank to which the individual being considered would be appointed shall be consulted.
  - b. **Tenure ineligible candidates:** All full-time faculty in the same title series with a rank at or above the rank to which the individual being considered would be appointed shall be consulted.
2. **Reappointments** – All tenured faculty in the department shall be consulted for reappointments of non-tenured faculty. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean of the College of Medicine.
3. **Terminating Faculty** – The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used to terminate a faculty member who has been on the full-time faculty for at least two years shall include consultations with the full-time faculty members of the department as delineated below. The Department Chair shall notify the faculty member of the consulted faculty recommendation before a departmental recommendation is made to the Dean of the College of Medicine. In each case, rules and regulations for due process as set forth by the College and the University apply.
  - a. **Tenure eligible candidates:** All tenured faculty.
  - b. **Tenure ineligible candidates:** All tenured faculty and tenure-eligible faculty with a rank at or above the rank of the individual being considered for termination.
4. **Decisions to not Reappoint** – The Department Chair shall consult full-time tenured faculty for decisions to not reappoint a faculty member who has been on the full-time faculty for at least two years and is either tenure eligible or ineligible. The Department Chair shall notify the faculty member of the consulted faculty recommendation before a departmental recommendation is made to the Dean of the College of Medicine.
5. **Post-Retirement Appointments** – Same as Reappointment Above.
6. **Granting Promotion and Tenure** – College of Medicine rules govern the promotion and/or tenure of faculty members. The Department Chair shall consult the following department faculty for faculty promotion and/or tenure.

*Promotion:*

- a. **Tenure eligible candidates:** All full time tenured faculty and tenure-eligible faculty with a rank at or above the rank to which the individual being considered would be consulted.
- b. **Tenure ineligible candidates:** All full time tenured faculty and tenure-eligible faculty, and those full time tenure-ineligible faculty in the same title series with a

rank at or above the rank to which the individual being considered would be promoted.

*Tenure:*

The Department Chair shall consult tenured faculty for decisions for tenure of a faculty member who is tenure eligible.

Establishing Rules

Rules of Procedures for the department are established by the Department Chair with consultation from department faculty. Faculty shall vote to approve the Rule of Procedure for the DFCM. Subsequent approval by the Dean of the College of Medicine, and the Provost is required.

Modifying Rules

The Rules and Procedures of the DFCM are subject to change and/or amendment according to the developing circumstance and needs of the faculty, College of Medicine, or University. Faculty shall vote to approve any modifications or amendments to the Rules of Procedure for the DFCM, with subsequent approval by the Dean of the College of Medicine, and the Provost required.

Copies of Rules to All Faculty

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff. Rules of Procedures are disseminated upon request of faculty, for new faculty hires, and/or when any amendments or updates are finalized.

## II. MEETINGS

Regularly Scheduled Department or Unit Meetings

Department Meetings will occur on a regular basis, to be determined by consensus of the members. Special meetings may be called at the discretion of the Department Chair. Department meetings specific to DFCM units external to the main DFCM unit in Lexington shall be called by the Department Chair or designee according to the needs of the external unit. For the DFCM unit based in Hazard, Kentucky, these meetings will occur at least monthly, unless the Department Chair or designee and the involved faculty decide to cancel a meeting. Draft minutes of these meetings will be reviewed and approved by the Department Chair or designee for their respective meetings. The minutes of each Department Meeting will be circulated to the full-time faculty members and the Chief Resident (s) of the affected unit(s) of the Department.

Notification of Meetings – The Department Chair or the Chair's designee will establish the agenda for the Department Meetings and will circulate this agenda to the department members of the affected unit(s). Any member of the department may suggest items for the agenda.

Full time and part-time faculty members, and Chief Residents, are expected to attend Department meetings whenever possible. Department faculty who work away from the main Lexington unit are expected to attend Department Meetings in person or via Tele-Video conferencing when the meeting agenda calls for their attendance; these faculty are always welcome to attend. Department staff expected to attend Department Meetings are designated by full-time faculty members or the Department Administrator.

The Department Meetings will be conducted in a manner so as to promote free and uninhibited discussion, and will include rules of order that ensure fair voting processes. The Department Chair may designate all, or a portion of, any Department meeting as an Executive Session for the purpose of discussing sensitive issues. These Executive Sessions shall include only full-time DFCM faculty members, unless the Department Chair designates anyone else to attend. Other personnel who regularly attend Department Meetings shall be informed that the Executive Session meeting will occur, but there is no requirement to inform them of the agenda for the Executive Session.

Conformity to Open Meeting Act – The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### Voting

Unless otherwise specified by the Department Chair, only full-time faculty members of the DFCM are eligible to vote. Issues submitted to vote will be decided by a simple majority (50%+1) of those present and eligible to vote. The following department-level decisions require a vote of the full-time faculty of the affected unit(s):

The Chief residents for each program are to be nominated by the Department of Family and Community Medicine residents from the affected residency program in April of each year and elected by vote of the department's full-time faculty from the specific residency program.

The Department Chair may choose to subject other decisions to a vote.

Department-level decisions requiring a vote will be presented to the faculty. If the matter at hand requires a vote by residents, then it must also be presented to the residents. Otherwise, only full-time faculty shall have voting rights, unless otherwise specified. For example, the faculty may choose to extend voting rights to residents for certain decisions at Department Meetings. A simple majority (in-person or via tele-conferencing) of the eligible voters based at each geographic DFCM unit affected by the issue under consideration shall constitute a quorum.

### III. COMMITTEES

The department shall have standing committees charged with guiding its education, service and research missions. There shall be at least one standing committee for each of these three major functions. The Department Chair shall designate the leadership of each of these committees.

Other departmental committees and task forces shall be established or dissolved by the Department Chair in consultation with department faculty, and in compliance with the rules and regulations of the College and the University.

The Department Chair shall serve as an ex-officio member of all departmental committees. The Department Chair may change any Committee Chair at will if he/she deems the change to be necessary. Committees specific to units external to the DFCM unit in Lexington shall be established by the Department Chair or designee, at least one of whom will serve as ex-officio to these unit-specific committees.

The Department Chair or the designee will provide information on the purpose, charge, membership, rules of order and functions to any full-time faculty member upon request.

### IV. FACULTY PERSONNEL ACTIONS:

### Distribution of Effort

The Department Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair. Distribution of Effort for each faculty member is subject to approval by the Dean.

### Faculty Performance Reviews

The performance of tenured faculty will be reviewed annually or, at the discretion of the dean, during the first year of each biennium with the rating applying for the biennium. Any tenured faculty employee, upon request, shall be granted an annual review. The performance of non-tenured faculty will be reviewed annually. Special attention will be given to the evaluation of persons in their first year of employment to maximize effective guidance.

### Standard Personnel File

The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

### Policy and Procedure for Periodic Review of Department Chair

Every two years, or at the Dean's discretion, the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Department Chair and uses the data result when making his recommendation to the Provost for the reappointment of the Department Chair.

### Appeals

Appeals regarding Department Chair, faculty and personnel actions will follow established University academic and personnel due process procedures.

### General leave/absence/vacation procedures

All appropriate forms must be completed and approved prior to making any arrangements for a leave request. All leaves requests require at least an 8 week notice to the Department Chair or Designate, and are subject to approval by the Department Chair and Medical Director. Any request with less than 8 week notice requires that the faculty member designate clinical make-up dates in order to minimize disruption of patient care, unless specifically excused by the Department Chair. The department will not be responsible for any costs associated with travel that is not departmental related and that was not approved. Requests may be denied by the Medical Director or Department Chair if it is determined that there is an insufficient number of faculty available to cover clinical services. A submitted request should not be perceived as approved until all signatures are obtained.

## V. DIVISION OF COMMUNITY MEDICINE

The Division is a formal division of the Department. The Department Chair will appoint a Chief of Community Medicine who will be responsible for executing and managing the community medicine related activities including education, research, and other activities designated by the Department Chair. Additional positions assigned to the Division will be determined by the Department Chair and the Chief of Community Medicine.

## VI. BUDGET PREPARATION:

Budgets for the department and its subunits shall be prepared and established in accordance with institutional requirements and the Department's Practice Plans. Each annual budget projects revenue, defines the allocation of resources, limits on expenditures, and management of the Department Budget.

Department budgets shall be prepared by the Department Chair and the Department Administrator, in consultation with each unit. Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution. Interim modifications in established Departmental budgets shall be made in accordance with institutional requirements and the Department's Practice Plans.