



Office of Research Education

SCHOOL OF MEDICINE

UNIVERSITY OF COLORADO ANSCHUTZ MEDICAL CAMPUS

# Office of Research Education Policies and Procedures

Approved by Office of Research Education Graduate Council, April 2023

## CONTACTS:

Website	<a href="https://medschool.cuanschutz.edu/ore">https://medschool.cuanschutz.edu/ore</a>
ORE Associate Dean	Angeles Ribera <a href="mailto:angie.ribera@cuanschutz.edu">angie.ribera@cuanschutz.edu</a>
ORE Assistant Dean of Student Affairs	Andrew Bradford <a href="mailto:andy.bradford@cuanschutz.edu">andy.bradford@cuanschutz.edu</a>
ORE Business Services Program Director	Jodi Cropper <a href="mailto:jodi.cropper@cuanschutz.edu">jodi.cropper@cuanschutz.edu</a>
ORE Business Services Manager	Jared Vazquez <a href="mailto:Jared.vazquez@cuanschutz.edu">Jared.vazquez@cuanschutz.edu</a>
ORE Business Services Professional	Stephen Frazier <a href="mailto:Stephen.frazier@cuanschutz.edu">Stephen.frazier@cuanschutz.edu</a>

The Office of Research Education (ORE) PhD programs are affiliated with the University of Colorado Anschutz Medical Campus Graduate School. As affiliated-programs, ORE PhD programs must comply with the Policies and Procedures of the CU Anschutz Graduate School. ORE has prepared an annotated version of the GS Policies and Procedures available at <https://medschool.cuanschutz.edu/ore/forms-and-resources>.

The full version of the GS Policies and Procedures is available at:  
<https://graduateschool.cuanschutz.edu/forms-resources/resources>

The ORE Policies and Procedures presented here are in addition to the GS Policies and Procedures and describe policies that pertain specifically to ORE PhD programs. ORE Policies and Procedures described here constitute minimum standards, requirements, and procedures for the PhD programs that are under ORE auspices at the University of Colorado School of Medicine. With ORE review and approval, an ORE PhD Program may adopt more, but not less, stringent policies and requirements.

Abbreviations: AD, Associate Dean; AMC, Anschutz Medical Campus; CSPH, Colorado School of Public Health, CU, University of Colorado; GPA, grade point average; GS, Graduate School; OME, Office of

Medical Education; ORE, Office of Research Education; PA, Program Administrator; PD, Program Director; SOM, School of Medicine

## TABLE OF CONTENTS

<b>I. Organization</b> .....	<b>4</b>
A. Role of the Office of Research Education (ORE)	
B. Graduate School Affiliation	
C. ORE Administration	
1. ORE Positions	
a) ORE Associate Dean	
b) ORE Assistant Dean of Student Affairs	
c) ORE Business Services Program Director	
d) ORE Business Services Manager	
e) ORE Business Services Senior Professional	
f) ORE Senior Program Administrators (Sr. PAs)	
g) ORE Program Administrators (PAs)	
h) ORE Program Directors (PDs)	
D. ORE Committees	
1. ORE Leadership Committee	
2. Program Director Group	
3. Program Administrator Group	
4. Admissions and Recruitment Group	
5. Diversity, Equity, and Inclusion (DEI) Group	
6. ORE Graduate Council	
7. Graduate School Council	
<b>II. ORE and PhD Graduate Education</b> .....	<b>11</b>
A. ORE PhD Programs	
1. Admitting Program	
2. PhD Granting Programs	
3. Program-Specific Requirements – Program Handbooks	
4. Nomination and Approval of Graduate Faculty Appointments	
B. Approval and Review of Programs and Courses	
1. Review and/or Revision of Existing Graduate Degree Programs	
2. Developing New Tracks with an ORE PhD Program	
3. Developing a New ORE PhD Program Course	
C. PhD Student Recruitment and Admissions	
1. Allocation of slots for new first year students	
2. Applicant Interviews	
a) Budget	
b) Interview/Recruitment Week Schedules	
D. Matriculation	
1. On-Boarding Prior to Orientation	
a) Compliance	
b) CU-SIS Matriculation	
c) CU Anschutz email address	
d) Environmental Health & Safety and Laboratory Animal Research	
e) Occupational Health	
f) Human Subjects Training	
g) ORCID	

- 1. Establish ORCID
    - 2. Associate ORCID with CU Anschutz Systems
  - 2. New Student Orientation
    - a) ORE Event
    - b) Program-Specific Events
  - 3. Course Registration
- E. Degree Requirements
  - 1. Thesis Committee
  - 2. Publications
  - 3. Enrollment during thesis exam semester
  - 4. Time limit for completion of Degree
- F. Special Circumstances
  - 1. Leave of Absence
    - a) Medical
    - b) Other
  - 2. Transferring from one program to another
    - a) Continuing as an ORE PhD student
    - b) Leaving PhD program with a Masters degree ('exit' Masters)

**III. Academic Standards ----- 22**

- A. Student Conduct and Expectations
  - 1. Honor Code
  - 2. Individual Development Plans
  - 3. Professionalism
  - 4. Probation & Dismissal
- B. Faculty Expectations
  - 1. Professionalism
  - 2. Mentorship
- C. Grievances

**IV. Amendments ----- 24**

**Appendices ----- 25**

- A. ORE Organization Chart
- B. Role of a Program Administrator
- C. Role of a Program Director
- D. Training Grant Support Policies and Procedures
- E. Individual Development Plan (IDP) Template

## I. Organization

### A. Role of the Office of Research Education (ORE)

The Office of Research Education (ORE) resides within the Office of Medical Education (OME) within the School of Medicine (SOM). ORE serves as the administrative home for 1 umbrella-admitting program, Biomedical Sciences (BMSC), and 12 PhD granting programs: Cancer Biology (CANB); Cell Biology, Stem Cells & Developmental Biology (CSDV); Computational Biosciences (CPBS); Human Medical Genetics & Genomics (HMGGP); Immunology (IMMU); Integrated Physiology (IPHY); Microbiology (MICR); Molecular Biology (MOLB); Neuroscience (NRSC); Pharmacology (PHCL); Rehabilitation Sciences (RHSC); and Structural Biology & Biochemistry (STBB). In addition, students in the SOM Medical Scientist Training Program (MSTP) can receive their PhD training and degree via any of the ORE PhD granting programs.

The ORE PhD programs provide training in a wide variety of essential skills, including oral and written communication, leadership, and personal and professional integrity. The SOM and AMC support holistic training by prioritizing a diverse, inclusive, and safe environment for professional growth. As a result, ORE PhD students receive education and training that prepares them for a wide variety of careers in the biomedical field.

ORE functions as the major advocate for the PhD programs and research training in the SOM's and University's strategic plans. The ORE PhD programs collaborate to achieve three education and research goals:

- To train excellent and diverse PhD graduate students in the critical thinking, research design and methods required for impactful biomedical research.
- To provide an intellectual center that enriches and furthers the curiosity that draws students and faculty to scientific research, innovation, education, and communication.
- To foster strong scientific interactions between the basic science and clinical/translational research communities within the School of Medicine, Anschutz Campus, and across the nation to advance fundamental discoveries and improve health.

ORE is charged with maintaining the high standards expected for the PhD Programs, their faculty, and students. The programs and ORE develop educational strategies that promote excellence in scholarly, innovative, and impactful PhD training and outcomes. ORE works with each of the PhD programs to ensure that training is focused on and optimized for a particular sub-field of biomedical sciences. ORE ensures that the PhD Programs comply with or exceed ORE's and the Graduate School (GS)'s standards for excellence and procedures in accord with the policies of the University of Colorado Board of Regents and the Colorado Commission on Higher Education.

### B. Graduate School Affiliation

The Anschutz Medical Campus is home to six University of Colorado Colleges/Schools (College of Nursing [COM]; Colorado School of Public Health [CSPH]; Graduate School [GS]; School of Dental Medicine [SDM]; School of Medicine [SOM]; Skaggs School of Pharmacy and Pharmaceutical Sciences [SSPPS] (Figure 1). The GS has been accredited by the [Colorado Commission on Higher Education](#) (CCHE) and the [Higher Learning Commission](#) (HLC) confer the PhD degree. Accordingly, all PhD programs at CU Anschutz must either reside within or be affiliated with the Graduate School (GS) and follow the GS Policies and Procedures. ORE PhD programs are GS-affiliated.

For GS-affiliated programs the relevant administrative responsibilities are divided between the home School or Office, in this case SOM-ORE, and the GS. This handbook follows the agreement reached between the SOM-ORE and the GS regarding distribution of academic responsibilities.



Figure 1: Left: Four AMC schools and one college partner with a sixth AMC school - the GS – to accomplish their educational missions. ORE PhD students are members of the larger AMC graduate student community that includes Masters, Doctorate and Doctoral students from all AMC schools. Right: The ORE PhD programs are administratively located within the Office of Research Education, located in the SOM’s OME. OME is the administrative home of the SOM educational programs.

### C. ORE Administration

Overview: ORE provides administrative support to all 13 SOM PhD programs and for major cross-program activities including incoming student on-boarding and orientation; cross-program courses (e.g., Graduate Core Course, Responsible Conduct of Research); student recruitment; training grant preparation and submission.

ORE leadership, PhD Program Director, PhD Program Administrator, and other positions are presented in the ORE Org Chart (Appendix A) and described in detail below. A quick guide about whom to contact in ORE when there are questions follows:

#### For Questions About

PhD program training activities, Program Director/faculty expectations, ORE strategic initiatives

Student related issues

ORE and PhD program budgetary policies, training grant support, business processes, data requests

ORE Student Recruitment, student onboarding, Program Administrator expectations

Scheduling ORE events, meetings with ORE Staff, Student Badges

#### Contact

ORE Associate Dean (Angie Ribera)

ORE Assistant Dean of Student Affairs (Andrew Bradford)

ORE Business Services Program Director (Jodi Cropper)

ORE Business Services Manager (Jared Vazquez)

ORE Business Services Professional (Stephen Frazier)

## 1. ORE Positions

### a) ORE Associate Dean-Reports to SOM Senior Associate Dean of Education

The ORE Associate Dean (hereafter referred to as AD) is the chief academic and administrative officer of the ORE. The individual in this position is appointed by the SOM Dean, and reports directly to the SOM Senior Associate Dean of Education.

The AD is responsible for the application of ORE Policies and Procedures and the overall coordination and effectiveness of the ORE PhD Programs. Acting in conjunction with ORE leadership, Program Directors, Program Administrators and the ORE Graduate Council, the AD's responsibilities include, but are not limited to:

- Overseeing the 13 ORE PhD programs via bi-monthly meetings with the Program Directors, monthly meeting with the Assistant Dean, weekly meeting with the Business Services Program Director, yearly (minimum) individual meetings with each program's Program Director(s) and monthly meetings with the ORE leadership team (AD, Assistant Dean, Business Services Program Director, Business Services Manager, Business Services Senior Professional);
- Collaborating with the PhD programs to organize annual student recruitment events;
- Collaborating with the PhD programs to organize an inclusive, informative, new student orientation event;
- Ensuring efficient and effective matriculation and on-boarding of new students;
- Partnering with the Anschutz Office of Student Affairs to inform students about appropriate support services;
- Partnering with the Office of Diversity, Access & Inclusion (ODAI) to ensure that students find supportive and effective student communities;
- Facilitating cooperative relationships across programs that ensure effective and non-redundant student training, curricula, and education;
- Ensuring academic support for the ORE programs;
- Arranging for workshops for students that provide training and preparation for student fellowship applications;
- With the Assistant Dean of Student Affairs, overseeing the ORE Graduate Council;
- Community outreach and fundraising;
- Providing general oversight and supervision of all ORE aspects and carrying out other duties as assigned by the SOM Senior Associate Dean of Education and SOM Dean.

### b) ORE Assistant Dean of Student Affairs-Reports to ORE AD

The Assistant Dean supports the ORE mission by overseeing student progress and concerns. The Assistant Dean will normally have a doctoral degree and faculty appointment in an academic department, allowing interaction with program faculty on a peer basis. The responsibilities of the Assistant Dean include, but are not limited to:

- Overseeing student progression;
- Monitoring Graduate Faculty appointments;
- Providing information to ORE students, faculty, and programs on internal and external fellowships and grants available to support graduate students;

- Overseeing career services and career counseling in partnership with the GS Office of Career Development (OCD);
- Attending specific meetings organized by the Anschutz Office of Student Affairs;
- Maintaining records of all stages of student progress, including compliance with GS Policies and Procedures regarding registration, time limits for completing exams, and degree completion;
- Approval of applications for candidacy and exams including faculty composition of all final comprehensive examination and thesis defense committees;
- Reviewing final thesis for compliance with GS standards;
- Authorizing students for graduation;
- Representing ORE on graduation planning committees;
- Carrying out other responsibilities as assigned by the AD.

c) ORE Business Services Program Director-Reports to OME Assistant Dean and works with ORE AD.

The ORE Business Services Program Director supports the ORE mission by developing and directing the operations for the business and academic needs of the basic science PhD programs. Provides fiscal and strategic forecasts, provides reporting on fiscal data, and recommends actions and strategy for resolutions to problems.

- Overseeing projects and procedures within the Office of Research Education
- Identifying, evaluating and analyzing program and operational issues.
- Ensuring academic, technical and administrative support for the ORE Program Directors and Administrators.
- Working with the AD to develop and maintain a sustainable budget;
- Communicating SOM and University guidelines for use of student enrichment funds;
- Coordinating with IT administrators concerning the on-line application system;
- Coordinating communications for application and constituent management systems;
- Communicating and coordinating with the Registrar's Office(s), Bursar's Office, Student Health Promotions Office, Security/Badging Office, and the Office of International Affairs (OIA) on graduate student issues.
- Carrying out other duties as assigned by the AD.

d) ORE Business Services Manager-Reports to ORE Business Services Program Director.

The ORE Business Services Manager manages, provides and/or coordinates services related to the academic mission of the basic science PhD programs. The Business Services Manager oversees the provision of centrally managed services including program administration, training-grant data collection, and new-student recruiting efforts including:

- Conducting the final admission approval for all students admitted to the PhD programs, including verification of all official admission documents, and where appropriate, verifying immunization records, processing background checks and authorizing student IDs.
- Analyze course, student and faculty metrics including enrollment, student headcount and credit hours, admissions, completion rate, student demographics, and other information to help guide business decisions within the Office of Research Education.
- Communicating and coordinating with the Registrar's Office, Bursar's Office, Student Health Promotions Office, Security/Badging Office, and the Office of international Affairs (OIA) on graduate student issues.
- Carrying out other duties assigned by the ORE Business Services Program Director.



- e) ORE Business Services Senior Professional-Reports to ORE Business Services Program Director.

The ORE Business Services Professional performs a wide range of administrative support activities for the ORE Associate Dean and ORE Business Services Program Director. Tasks include, but are not limited to:

- Coordination of various meetings and events (including recruitment activities, orientation, and ORE-sponsored events), coordinating initiatives, processing expense/finances and event planning.
- Advise ORE staff on fiscal policies and processes for submitting expense reports, reimbursements, purchase orders, and contracts.
- Carrying out other duties as assigned by the ORE Business Services Program Director.

- f) ORE Senior Program Administrators (Sr. PAs)-Report to Business Services Manager

In addition to carrying out the duties of the Program Administrator, ORE Senior Program Administrators also have specialized knowledge and experience allowing them to advise and lead Program Administrators on best practices in specific areas including:

- Training Grant Administration (see Appendices B and C for Training Grant Support)
- Admissions
- Student Progression

- g) ORE Program Administrators (PAs)-Report to ORE Business Services Manager.

ORE PAs are responsible for the overall financial, educational, and programmatic management of their respective PhD program(s). The PA independently analyzes and coordinates policies and procedures and oversees the implementation of teaching, research, and graduate training associated with the program(s).

- Carrying out other duties as assigned by the Program Director and Business Services Manager.

- h) ORE Program Directors (PDs)-Report to ORE AD.

ORE Program Directors (PD) are responsible for managing all academic aspects of their graduate programs and advising students in their programs. PDs define the operational needs of the program to ensure that the program trains excellent and diverse PhD graduate students in the critical thinking, research design and methods required for impactful biomedical research. PDs ensure that their program enriches and furthers the curiosity that draws students and faculty to scientific research, innovation, education, and communication. PDs foster strong scientific interactions between the basic science and clinical/translation research communities on our campus and across the nation to advance fundamental discoveries and improve health. Although the PDs do not provide direct supervision of students, they work closely with faculty mentors, their Graduate Advising/Training Committees and Program Administrators (PA) to ensure that graduate students are informed about curricular requirements and critical deadlines. PDs and PAs together advise students and faculty about available ORE and AMC student support services.

- i) Graduate School Partnership

ORE has contracted with two GS Assistant Deans to support ORE activities. ORE works with the GS Associate Dean of Marketing and Recruitment to support ORE student recruitment. ORE also works with the GS Associate Dean for Career Development to support long-term career planning for current students and outreach to alumni as mentioned above.

#### D. ORE Committees

##### 1. ORE Leadership Committee

The ORE Leadership team consists of the Associate Dean of Research Education (Ribera), Assistant Dean of Student Affairs (Bradford), Business Services Program Director (Cropper), Business Services Manager (Jared Vazquez), Business Services Professional (Stephen Frazier). The Leadership Committee meets monthly to discuss ORE initiatives and review proposals, student issues and support.

##### 2. Program Director Group

The AD holds bi-monthly meetings with the Program Directors to:

- Provide student-relevant campus updates (e.g., revised legal policies);
- Review current policies and recommend by consensus changes to existing or new policies;
- Provide updates regarding organization of events such as the yearly New Student Orientation, Graduate Core Course, Responsible Conduct of Research Course, Student Admissions Policies, Organization of Joint Program Student Interview/Recruitment Events, etc.;
- Provide Administrative Updates
- Chair discussion of issues raised by the Program Directors;
- Invite campus representatives to meetings to discuss campus student services (e.g., Student Health Insurance Program; Case Management; Student & Resident Mental Health).

##### 3. Program Administrator Group-Led by the Business Services Manager and the Senior PAs.

The Program Administrators meet weekly to discuss business processes, best practices, and collaboration opportunities.

##### 4. Admissions and Recruitment Group

Dr. Kristin Artinger (former Director of the umbrella Biomedical Sciences Program) pioneered the development of a cross-program Admissions and Recruitment Group. The group comprises the Chairs of the Admissions Committee of each ORE PhD program. Drs. Ethan Hughes and Aaron Johnson are the current Co-Chairs of this group. The group discusses best practices regarding student admissions and recruitment. An especially notable achievement was the development of a rubric for holistic review that all programs are highly encouraged to use. The Chair of the Committee organizes monthly meetings during which plans for cross-program student interviews and in-person visits are organized.

##### 5. Diversity, Equity, and Inclusion (DEI) Group

Drs. Kristin Artinger and Cristin Welle pioneered the establishment of a cross-program DEI task force, referred to here as the DEI group. ORE expects that each PhD program will nominate a representative to the DEI Group. The DEI group has been the major driving force behind the successful development of an effective rubric for holistic review of applicants to our programs. The DEI group works with the SOM Associate Dean for Diversity, Equity, and Inclusion to provide ORE students, staff and faculty trains related to DEI issues and best practices, e.g., implicit bias training for all members of ORE Program Admissions Committee. The SOM DEI Associate Dean also serves as the DEI Officer for ORE, a position that provides ORE students, staff, and faculty with a clearly identified individual with whom to seek support and/or raise concerns about DEI matters. (RHSC conducts student recruitment and interviews separately from the ORE PhD programs.)

## 6. ORE Graduate Council

The ORE Graduate Council serves as a mechanism for ORE students and faculty to provide their input directly to ORE leadership. ORE Graduate Council is co-chaired by the AD and Assistant Dean and consists of ORE Student Council and ORE Faculty Council. Working in conjunction with the AD and Assistant Dean, the ORE Graduate Council proposes policies that promote the best interest of students and their progression and success as well as optimal training experiences provided by each program. Policies need to comply with the Laws of the Regents of the University of Colorado.

The ORE Student Council has two members from each of the 12 PhD granting programs. Among the student council members, there should be at least one student who entered via BSP and at least one student who entered via MSTP. Student members are appointed for two years, with the two members from a program starting their appointment in different years. In this way, half of the student members will have already served one year, and the other half will be new. Each program's student leadership should nominate and appoint their representatives to the ORE Student Council. The ORE Student Council will meet at least every other month, or more often as deemed necessary by the student members.

Similarly, the ORE Faculty Council has two members from each of the 12 PhD granting programs. Among the faculty council members, there should be at least one faculty member who is also a faculty member of BSP and one from MSTP. Faculty members are appointed for two years, with the two members from a program starting their appointment in different years. In this way, half of the faculty members will have already served one year, and the other half will be new. Each program's faculty governance will nominate and appoint their representatives to the ORE Faculty Council. The ORE Faculty Council will meet at least once quarterly or more often as deemed necessary by faculty members.

The ORE Graduate Council includes the ORE Student Council and ORE Graduate Council. This group will convene at least once per semester, and more often as necessary, to conduct business related to the interest of the students, faculty, Graduate Programs, and ORE. In selected cases, some discussion and voting might have to be conducted virtually to expedite processes. Two-thirds attendance by the Council membership will constitute a quorum. The ORE Graduate Council plays an important role in reviewing student academic grievances and any decisions made by the AD that have been appealed. In the case of such appeals, the AD will recuse her/him/their-self from deliberations and the ORE Assistant Dean will chair the session.

Similarly, if an issue involves a student or faculty member on the ORE Graduate Council, that individual will recuse her/him/their self from deliberation of the matter.

The Council also reviews cases of honor code violation. If the Council agrees that the matter requires further scrutiny, appropriate recommendations will be made and forwarded to the Executive Vice Chancellor of Academic and Student Affairs.

## 7. Graduate School Council

The ORE Graduate Council will nominate one faculty, plus alternate, and one student member, plus alternate, to serve on GS Councils for a term of one (1) year (see Section iii.a in the GSPP).

## II. ORE and PhD Graduate Education

### A. ORE PhD Programs

#### 1. Admitting Program

ORE administers one (1) non-PhD granting program (Biomedical Sciences; BSP). This program admits students for one year and then they transfer to a degree-granting program. Students can also enter one of the PhD granting programs via the Medical Scientist Training Program (MSTP).

#### 2. PhD Granting Programs

ORE administers twelve (12) interdepartmental PhD granting programs:

- Cancer Biology (CANB)
- Cell Biology, Stem Cells & Development (CSDV)
- Computational Biosciences (CPBS)
- Human Medical Genetics & Genomics (HMGGP)
- Immunology (IMMU)
- Integrated Physiology (IPHY)
- Microbiology (MICR)
- Molecular Biology (MOLB)
- Neuroscience (NRSC)
- Pharmacology (PHCL)
- Rehabilitation Sciences (RHSC)
- Structural Biology & Biochemistry (STBB)

#### 3. Program-Specific Requirements – Program Handbooks

Each ORE PhD program should have an annually updated handbook, posted online on the program website. The handbook should provide details about program-specific rules or policies that are in addition to those specified by the GS or ORE (e.g. publication requirements for graduation).

#### 4. Nomination and Approval of Graduate Faculty Appointments

The GS maintains a list of faculty with Graduate Faculty Appointments, which can be found at: [https://gs.ucdenver.edu/tbl\\_gradfac\\_curr.php](https://gs.ucdenver.edu/tbl_gradfac_curr.php). This list indicates whether the individual has a Regular or Special Appointment and in which program(s) the individual participates as a member. Programs should check that the GS has approved new nominations and updated the GS list.

ORE faculty require appointments as Regular Graduate Faculty to serve as either the primary mentor/advisor of a student or to serve as a program or course director. According to the Colorado Council on Higher Education, course directors or primary instructors must hold a degree one higher than those to which the students that are taught aspire. Alternatively, they should hold a terminal degree in the field (such as PhD, MD, MD/PhD, etc.). Please note that the GS requires that the individual designating the overall grade for a graduate-level course have a Graduate Faculty Appointment. Accordingly, the ORE Assistant Dean typically inputs grades.

Faculty who do not meet the criteria required for appointment as Regular Faculty, such as individuals with appointment outside of CU Anschutz or an affiliated institution, but who wish to be involved in a PhD program and have expertise that would aid the program or a student's PhD committee can be appointed as Special Faculty, upon approval by ORE and the GS. However, individuals with Special Graduate Faculty appointments are not eligible to serve as the mentor or primary advisor of a student. The GS has prepared a Quick Reference Table that details the criteria for Regular vs. Special Faculty appointments: ([https://www.ucdenver.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-quick-reference-table.pdf?sfvrsn=ef0622b9\\_2](https://www.ucdenver.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-quick-reference-table.pdf?sfvrsn=ef0622b9_2)).

Nominations for membership to the Graduate Faculty, as either Regular or Special Faculty, are initiated by Program Directors of the ORE PhD Program in which the faculty member will serve as either the mentor or primary advisor, teach, and/or serve on examining committees. Any CU Anschutz faculty member may request to be nominated by an ORE Program Director. See Section 4, pp. 9-13 of the GS Policies and Procedures for details. The GS has forms for [Regular](#) and [Special](#) applications for graduate appointments

Regular Appointment:

[https://graduateschool.cuanschutz.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-application-regular.pdf?sfvrsn=521c22b9\\_16](https://graduateschool.cuanschutz.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-application-regular.pdf?sfvrsn=521c22b9_16)

Special Appointment:

[https://graduateschool.cuanschutz.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-application-special.pdf?sfvrsn=78c6c0ba\\_16](https://graduateschool.cuanschutz.edu/docs/librariesprovider138/denver-anschutz-graduate-school/resources/graduate-faculty-application-special.pdf?sfvrsn=78c6c0ba_16)

Completed nomination forms are sent first to ORE (ORE Business Services Manager) for approval. ORE will then submit to the GS for final approval.

Programs are responsible for developing their own internal, consistent processes for nominating and approving faculty for program membership. Approved faculty members should be set up with Regular Graduate Faculty Appointments through the GS and are expected to meet all program participation requirements set forth by the program. When a faculty member leaves the program or the university, it is the program's responsibility to contact the GS to remove them from the program's faculty roles.

*\*\*As of January 1, 2023, ORE will require that all new ORE Program Faculty appointments have an established ORCID ID. Faculty who are already members of ORE PhD programs should establish an ORCID ID by no later than Dec 31, 2022*

## B. Approval and Review of Programs and Courses

The creation of a new PhD program requires several levels of approval. First would be via discussion of a proposal at a Program Directors meeting followed by consideration by the ORE Graduate Council. After these approvals have been obtained, the GS Dean, working with the GS Faculty Graduate Council, reviews the proposal and a vote is taken. If approved, the proposal then moves to the final stages of approval by the Board of Regents and the Colorado Commission on Higher Education. Additional details are available in the GS Policies and Procedures (Article II, Section 1, pp 13-15).

### 1. Review and/or Revision of Existing Graduate Degree Programs

Two policies, [University of Colorado Regents Policy](#) and [CU Academic Policy Statement 1019](#) mandate that the GS perform regular review of PhD programs, approximately every 5-7 years. ORE also performs an annual review of each PhD program via individual meetings with the Director(s) of each program and the AD. For the Regents and University mandated reviews, the GS notifies each program when it is up for review and provides relevant data. Additional details are available in the GSPP, Article II, Section 1.i.

### 2. Developing new tracks with an ORE PhD program

To approve a new track within an existing PhD program, ORE provides the first level of approval followed by review and approval by the GS Graduate Council; Regent level approval is not required for a new track in an existing PhD program. Per GS policies: *“Tracks/subplans must share 1/3 of course work with the “parental/general” program and must require the same number of total credits as the parental/general program.”*

### 3. Developing a new ORE PhD program course

The first level of approval will occur by the PDs followed by the ORE Graduate Council’s review and approval. The GS does not need to approve a new course unless it is a major departure from the goals of the home program. However, the GS Dean should receive the ORE approved course proposal so that records can be updated. Any ORE program that wishes to discontinue a course should notify the AD. ORE will then inform the GS so that records are updated. Additional details are available in the GS Policies and Procedures, Article II, Section 1.iii.

## C. Student Recruitment

### 1. Allocation of slots for new first year students

In 2020, the SOM committed to providing the ORE PhD programs with 25 additional first year student slots over a period of five years (~5/year over 5 years). ORE will allocate the new slots by soliciting information from programs about their outcomes and composition via a Smartsheet survey. ORE leadership reviews the information and makes decisions about allocation of new slots. Programs that over-recruit one year will receive fewer slots (by the number over-recruited) the subsequent year.

The Office of Research Education (ORE) prioritizes support of student recruitment to ensure that the 13 basic science PhD Programs matriculate the best, and most diverse, incoming class. ORE works with programs to organize common recruitment days by assisting with the scheduling of interviews/individual student meetings, negotiating a contract for lodging, arranging for transportation to/from lodging to campus, coordinating shared activities, and coordinating with the travel agency to book flights.

ORE has policies, processes, and templates regarding number of applicants to be interviewed, invitation to interview letters, number of offers to be made, rolling offers, and letters of offer. ORE manages applications to its PhD programs through Slate, a University of Colorado campus application software system.

a) Number of first year slots.

Each year by ~ mid-November, ORE will inform each program of the number of first year students in that program that will be supported by ORE.

b) Number of interviews.

Typically, the number of applicants that can be invited for interviews is 3 times the number of first year slots. Programs will be provided with a budget by ~mid-November to allow for this number of in person visits. To stay within budget, programs should invite students with enough time to arrange for advantageous airfare. With the permission of the ORE Business Services Program Director (Jodi Cropper), a program may use enrichment funds to cover any overage of the recruitment budget.

c) Invitation to interview letter.

Invitation to interview letters provide the agreed upon date of joint recruitment and logistical information needed to manage the visitors. The PAs have access to a current template invitation letter.

d) Number of offers.

Typically, the number of offers is twice the number of first year slots. However, since any over-recruitment will be covered by fewer slots the subsequent year, programs should be judicious in how they make offers to students. Any formal or informal offer of admission made by a program counts toward the total number of allowed offers, whether verbal or written.

e) Offer letter.

Offer letters are sent out to accepted applicants directly from the accepting program. Offer letters must include specific language and notifications, however programs are free to expand upon the basic requirements. The PAs have access to a current template offer letter.

f) Documentation.

Each program is responsible for keeping accurate records regarding

- total number of applicants and demographics of applicants (e.g., identity, URM status),
- total number of offers & demographics of offers,
- total number of matriculants & demographics of matriculants.

## 2. Applicant Interviews

### a) Budget

The ORE will provide each program with a limited budget to schedule, plan, and execute on-campus events to interview and recruit PhD applicants for the coming academic year. Programs may contribute these funds to participate in ORE-sponsored interview/recruitment weeks. Programs must inform ORE of their plans no later than November first. Program-specific interview/recruitment events may not overlap with the ORE-sponsored interview/recruitment weeks without special approval.

### b) Interview/Recruitment Week Schedules

The ORE will provide a master schedule for interview/recruitment weeks (occurring in late January or February) by the end of October. This schedule will include ORE-wide events, interview time slots, and allotted time for program-specific events. Programs may alter this schedule to fit their own needs, but must inform the ORE of any alterations no later than December 1<sup>st</sup>. Interview slot times may not be altered. If a program chooses not to participate in the master schedule, it is responsible for planning its own equivalent event schedule and must inform the ORE of its intentions by November 1<sup>st</sup>. Participating programs will provide the ORE with a list of interviewing faculty, applicant faculty interview requests, and interview scheduling ruleset by the given deadline (usually the second week in January). The ORE will use these guidelines to schedule faculty interviews across all participating programs. The ORE will do its best to meet all interview scheduling rules and guidelines. Once the schedule is released, the programs will have one week to work with other programs and ORE to make trades, alterations, and corrections.

## 3. Post-visit surveys

Post-visit surveys are sent out to all applicants who participate in ORE-sponsored interview/recruitment weeks. The results of these surveys are shared with Program Directors, Program Administrators, and the Admissions and Recruiting Group.

## D. Matriculation

### 1. On-Boarding prior to Orientation

#### a) Compliance

ORE uses a software program called Complio (American Databank) to verify and manage compliance requirements. Program Administrators will work with incoming students to ensure compliance with all required policies, processes, and trainings prior to the stated deadlines. Students who miss these deadlines may be delayed in registration, have their initial stipend payments impacted, or potentially have their offer of admission revoked. It is ultimately the student's responsibility to meet all requirements on time.

#### b) CU-SIS Matriculation

The student matriculation process in CU-SIS is managed by the GS in conjunction with the Registrar's Office. ORE PhD program PAs provide the GS with the necessary data and



documentation, and ensure that this process is completed, meeting all deadlines for Fall registration.

c) CU Anschutz email address

Incoming students will receive instructions on claiming their university email address to their email address on file. Once a university email address is established, all official university and program related communication will be sent to that email address. It is ORE and university policy that all students must check their university email addresses regularly.

d) Environmental Health & Safety and the Office of Laboratory Animal Research

The Offices of Environmental Health & Safety and the Office of Laboratory Animal Research require all faculty, staff, and students working in any laboratory space on campus to complete a set list of trainings before they will be allowed into a lab. Incoming students are responsible for completing these trainings prior to the stated deadlines or they will not be allowed to begin their first research rotation. No exceptions or accommodations will be made due to missed deadlines.

e) Occupational Health

The University, ORE, and the Office of Occupational Health require all students to have completed a series of vaccinations, including COVID-19, prior to attending class or participating in any academic activity. Students may be required to submit proof of immunization to multiple offices in order to be cleared for registration and attendance. For information on the COVID-19 vaccination requirement and exemptions, see the official university policy here: <https://www.cuanschutz.edu/coronavirus>

f) Human Subjects Training

Some of the research in a subset of ORE PhD programs involves human subjects. Please contact the Colorado Multiple Institutional Review Board (COMIRB) for further information about required training and protocols (<https://research.cuanschutz.edu/comirb/home/get-help/training>).

g) ORCID

1. Prior to registering for courses, all first year students must establish an ORCID. ORCID is an acronym for Open Researcher and Contributor ID. ORCIDs facilitate the maintenance of the ORE database used to gather information for preparation of tables for training grants and for tracking student progress:

From: <https://info.orcid.org/researchers/>

*“Anyone who participated in research, scholarship, or innovation can register an ORCID for themselves free of charge, and you can use the same ID throughout your whole career – even if your name changes or you move to a different organization, discipline, or country. We provide ORCID to researchers free of charge so that we may realize our vision of connecting all who participate in research, scholarship, and innovation are uniquely identified and connected to their contributions across disciplines, borders, and time.”*

To establish an ORCID: <https://orcid.org/register>

2. After establishing an ORCID, individuals then need to associate it with CU Anschutz systems. To do so, navigate to: <https://som.cuanschutz.edu/ORCID>. After logging in, you will be redirected to a new webpage with the title **University of Colorado** ORCID. Click the button “Connect your ORCID” to start the connection process. You will be redirected to another webpage. If not already present, enter your ORCID ID and password. Then sign in. At this point you can authorize CU Anschutz to access your ORCID account by clicking on the button “Authorize Access”. Please contact your PA if you need further assistance.

## 2. New Student Orientation

### a) ORE Events

ORE coordinates an orientation the week prior to fall classes (usually on the Monday and/or Tuesday). Orientation topics are broad and intended to introduce students to the campus and resources available to them.

### b) Program-Specific Events

Programs may offer their own orientation focusing on community building and the specific details and requirements of their programs.

## F. Course Registration

Students must follow the registration requirements of their programs. ORE sets minimum registration requirements: 5 credits in fall, 5 credits in spring, and 1 credit in summer. Students must ensure they are registered by the add/drop deadline. ORE will not pay for any late charges due to late enrollment.

## E. Degree Requirements

Overview: ORE PhD programs have slightly different requirements for the preliminary, comprehensive and thesis examinations. Please consult a program’s handbook for the relevant and specific requirements.

### 1. Thesis Advisory Committee

After selecting a thesis advisor, the student, in collaboration with his or her thesis advisor, will choose a Thesis Committee, subject to approval by the Graduate PD. Although it is recommended that the Thesis Committee be the same as the Thesis Examination Committee, the two committees need not be identical. The required composition of committees is specified in each program’s handbook.

The Thesis Committee will serve an advisory function to the students, and together with the thesis advisor, will also monitor the student’s progress towards completing their PhD training. The Thesis Committee will determine when the student has made sufficient progress to begin writing their thesis.

### 2. Publications

Publication requirements for graduation are program specific. Each ORE PhD-granting program is required to explicitly state the requirements in the program handbook.

### 3. Enrollment during thesis exam semester

Students typically register for 5 credits in the semester they are scheduled to graduate. In the event that a student needs to register for an additional semester for the sole purpose of meeting administrative deadlines and requirements for graduation and conferment of their degree, ORE will consider a request by the Program for a waiver of this 5 credit registration requirement.

### 4. Time limit for completion of Degree

Per GS rules, PhD students must complete all degree requirements within eight (8) calendar years of matriculation. Students who fail to complete the degree in this eight (8) year period are subject to termination from the GS upon the recommendation of the program director and concurrence of the AD and GS Dean. For a student to continue beyond the prescribed time limit, the program director must petition the AD and the GS Dean for an extension and include 1) reasons why the program faculty believes the student should be allowed to continue in the program and 2) an anticipated timeline for completion of the degree. Extensions for time to degree are normally issued for one year or less, but under rare circumstances, a second extension may be granted. The Extension of Time Limit form is posted on the AMC GS website (<https://graduateschool.cuanschutz.edu/>)

- Approved Leaves of Absence automatically extend the time limit for earning a degree by the equivalent amount of time that the student is on leave.

## F. Special Circumstances

### 1. Leave of Absence

A Leave of Absence (LOA), for medical or other reasons, involves coordination with many ORE, GS and/or AMC offices. ORE recommends that faculty and PDs contact the ORE Assistant Dean of Student Affairs for advice and information about relevant policies as soon as a LOA is under consideration.

Students who need to leave a graduate program for a period of time (up to one year) should consult their program director for guidance on a Leave of Absence (LOA). An approved LOA pauses the student's academic record and automatically extends the time limit for completing a degree by the equivalent amount of time that the student spends on leave. Requests for LOA that exceed one (1) year may be approved with sufficient justification to the Dean of the Graduate School. Students who do not return from their approved LOA will be considered to have withdrawn from their program and will either be required to formally re-apply for admission, or, at the discretion of the program, may be re-admitted through an expedited process.

#### a) Medical

Medical LOAs are managed through the CU Anschutz Student Outreach and Support Office in collaboration with the program and the GS.

b) Other

Personal LOAs are reviewed and approved entirely through the program and the GS.

2. Transferring from one program to another

a) Continuing as an ORE PhD Student

Upon receiving an offer of admission to a program, students carefully consider the program's goals and requirements in order so that they can commit to PhD training in the program. Accordingly, it is rare that a student will consider transferring to another ORE program.

This is a difficult situation for the student as well as the program. For the student, there may be increased requirements and delay in progression towards completion of PhD training. If a student is pre-comps, they may need to complete additional coursework before they take the preliminary exam or comprehensive exam. If a student is post-comps, there is the possibility of having to retake the comprehensive exam and/or form a new thesis committee. Conversely, the program loses a member of its community. In addition, when a student transfers to another program, this contributes to the program's student attrition rate, a metric that impacts the review of training grant applications.

Accordingly, ORE expects that the decision to transfer to another program be considered extremely carefully, thoughtfully, and respectfully. Transfer to another ORE program should only be considered when the transfer will clearly provide the student significant opportunities to improve their PhD training and progress towards career goals. The student will initiate the process of considering program transfer in a professional and respectful manner.

Typically, the student will first discuss the issue with their mentor and then with the Program Director. If the student is in their first year and has not identified a thesis mentor, they should discuss the issue with the program's Graduate Advising Committee and Program Director. After these discussions, the student will bring the matter to the attention of the ORE Assistant Dean.

In exceptional circumstances, the student may not feel comfortable raising the issue with the mentor and/or PD first. In these cases, the student may prefer to instead confer first with the Assistant Dean. The Assistant Dean would then contact the Directors of involved programs as warranted by the situation. The program into which the student wishes to transfer will consider the possibility and follow its process for accepting a transfer student. Upon approval, the Assistant Dean will work with student, programs involved, and the GS to complete the required GS form. For additional information please see Article II, Section 2.vii, p.19 of the GS Procedure and Policies.

b) Leaving PhD program with a Masters degree ('exit' masters)

For a variety of reasons, some PhD students may either choose or not be able to complete the PhD requirements. Students who have passed their comprehensive exam and fulfilled any additional program-specific requirements may be eligible to receive a generic MS degree in Biomedical Sciences. Transfer to the exit Masters must be approved by the mentor, PhD, PD and ORE Assistant Dean. Students must be enrolled (i.e. not on LOA) to receive the exit Masters. The ORE PhD program director and the ORE AD or designee will sign the form. The

form can be found on the Graduate School Resources page:  
<https://graduateschool.cuanschutz.edu/forms-resources/resources>

### 3. Continuing in a program with a new mentor

While the majority of ORE PhD students complete their doctoral work with their original choice of PhD mentor, this is not always the case. The choice to not continue doctoral research with the original mentor could be student-driven, mentor-driven and/or a mutually agreed upon decision. In all cases, the best outcomes will be achieved if open, honest, respectful interactions and communication occur between mentor and student. However, it is often necessary to enlist support of the program and/or ORE to facilitate optimal communication.

A primary issue to consider is the student's well-being. If medical or personal issues are creating barriers for the student's progress, the student should be made aware of appropriate support services as soon as possible. If it is not possible to address well-being concerns while working on PhD research, a student may consider a leave of absence – medical or personal. The procedures for LOAs are discussed elsewhere.

Below are steps to follow for changes in laboratory home depending upon whether the move is driven by the student, mentor or mutually-agreed upon. In all cases, the ORE AD (Angie Ribera) and ORE Business Services Program Director (Jodi Cropper) should be cc'd/kept up to date about deliberations and decisions.

#### *a. Student-driven decision to leave original mentor's research program and find a new mentor and project.*

A student may feel that their PhD training and career goals will be optimized with a different mentor. Underlying this decision, may be a variety of reasons including a significant change in research interests and career goals or sub-optimal communication and interactions with PI and/or other lab members. Open communication between the student and PI is the route that would lead to the optimal outcome (e.g., III below). However, often sub-optimal communication is one of the problems leading to the student's position. In that case, the student should first reach out to the Chair of her/his/their PhD committee (if established), the Director(s) of the student's PhD program and the ORE Asst Dean of Student Affairs (Andy Bradford). If the student wishes to continue finding a new laboratory home and mentor, the next step would be to work with the PhD program to find a new mentor and laboratory home. ORE recommends that the current mentor be informed at this stage, out of respect for the mentor.

#### *b. Mentor-driven decision to leave original mentor's research program and find a new mentor and project.*

A mentor may feel that the student's PhD training and career goals would be optimized with a different mentor or that their expectations for the student's research commitment and progress are not being met. A variety of reasons may contribute to this conclusion, including student absenteeism, sub-optimal communication and interactions with the student, or student's unprofessional behavior compromising the laboratory environment for others. Additionally, if the student is being supported by funds provided by an NIH grant, the funding agency requires that there be effort devoted to the project. Thus, NIH compliance issues may also be of concern.

If the mentor and student cannot come to an agreement about next steps and the mentor wishes that the student find a new laboratory home, the mentor should first reach out to

the Chair of the student's committee (if established), the Director(s) of the student's PhD program and the ORE Asst Dean of Student Affairs (Andy Bradford). The next step would be to work with the PhD program to find a new mentor and laboratory home. As mentioned above, the student's well-being should be considered in these discussions and whether a medical or personal leave of absence is an appropriate course to follow.

c. *Mutually-agreed upon decision.*

If the student and mentor are in agreement that the student's PhD training and career goals would be best supported with a change in mentor and research project, the next step would be to work with the PhD program and ORE Asst Dean of Student Affairs (Andy Bradford) to start the process of finding a new research home. As mentioned above, the student's well-being should be considered in these discussions and whether a medical or personal leave of absence is an appropriate course to follow.

- d. In the event a student is unable to find another laboratory, in which to continue their PhD, they may be subject to dismissal from the program.

### III. Academic Standards

#### A. Student Conduct and Expectations

##### 1. Honor Code

Students should adhere to the highest standards of academic honesty and integrity to include completing individual work as assigned, adhering to department requirements, accurately documenting sources of information and records, and engaging in personal conduct both on and off campus that reflects well on the University, your professional duties, and your ability to perform in classroom and/or laboratory environments. Examples of behavior that violates these standards include: plagiarism (including the undocumented use of internet and web-based information), cheating, illegitimate possession and/or use of examinations, violation of the ethical standards for conducting research, and falsification of official records. For more details, please see the Academic Honor Code on the GS Resources Page:

<https://graduateschool.cuanschutz.edu/forms-resources/resources>

##### 2. Individual Development Plans.

ORE requires students, in collaboration with their mentors (or first year advisors), to establish an Individual Development Plan (IDP) that is revised on an annual basis. The PA will save the IDP in the student record and/or CUSIS Milestones. Appendix E contains a template for a minimal Individual Development Plan.

##### 3. Professionalism

As current and/or future professionals, ORE faculty, students and staff are expected to adhere to the highest standards of professionalism, including the professional and ethical standard of their respective fields and the academic conduct and honor code expectations for the University of Colorado Anschutz GS.

ORE prioritizes having a diverse culture and highly values multiple perspectives. This means that not only is discrimination of any form unacceptable, but ORE expects that faculty, students and

staff remain open-minded and respectfully consider issues and ensure that discussions include diverse backgrounds and perspectives. Examples of unprofessional conduct include misrepresentation of effort, credential, or achievement in either the academic or professional setting; any action which compromises the quality or safety of others; violation of confidentiality; and any other conduct unbefitting a professional researcher. Faculty, students, and staff are expected to treat each other fairly, respectfully and without bias related to age, race, ethnicity, gender and sexual orientation, religion, spiritual or political beliefs, disability, or country of origin, federal and state protected classes.

The following guidelines provide some examples of ORE expectations for faculty, students and staff regarding professionalism:

- a) Professionalism. Professionalism relies upon honesty and integrity and maintaining the highest standards of ethical behavior.
  - b) Conduct. Be prepared for classes, meetings, presentations and discussions and arrive on time. Understand that feedback is offered in the spirit of helping each other grow and improve. Be ready to acknowledge mistakes.
  - c) Work ethic. Develop strong and effective work habits and be accountable for your success. Establish with your mentor shared expectations regarding work schedule and communication.
  - d) Communication. A majority of communication occurs via email. Accordingly, all ORE members need to check their university email regularly for announcements and communications. Emails requiring a response should be replied to as soon as possible and within 48 business hrs. Your university email account, but not other accounts, should be used to conduct official university business and communication. Email communications need to respect the privacy of others. The official campus policy is described here:  
[https://www.ucdenver.edu/docs/librariesprovider284/default-document-library/5000-information-technology/5011---email.pdf?sfvrsn=f2fff3ba\\_2](https://www.ucdenver.edu/docs/librariesprovider284/default-document-library/5000-information-technology/5011---email.pdf?sfvrsn=f2fff3ba_2)
  - e) Respect, empathy and cultural diversity. Treat others with respect - bullying and harassing behavior, for any reason, is not tolerated. Practice inclusive behaviors. Value input from all and the importance of diverse perspectives. If you experience problems, please contact your mentor, PD, PA or ORE leadership.
  - f) Resiliency and Well-being. While research and academia offer many rewards, set-backs are to be expected. Be flexible, positive and perseverant to your goals. Please ask your program for information about student support services and resources that are available via ORE, the GS or the AMC Office of Student Support. Seek help as needed and reach out to ORE leadership if you encounter problems accessing campus resources.
4. Probation & Dismissal

When a student's program grade point average (GPA) falls below 3.00 (some graduate programs may require that a higher GPA be maintained), the student will be notified by the GS, with a copy to the program director, that they have been placed on academic probation. A graduate program may also impose additional conditions on probationary students in addition to their GPAs. The program director must forward these conditions in writing to both the student and the GS Dean.

If students on probation do not earn a program GPA of at least 3.00 (or greater if required by the program) within two (2) semesters of being placed on probation, they will be subject to immediate dismissal upon the recommendation of the program director and concurrence of the GS Dean. The student may also be subject to immediate dismissal if they do not meet any additional conditions imposed by the program for moving from probationary to regular status. If there are extenuating circumstances, the program director may petition the GS Dean for an extension of the probationary time period. The Dean will make the final decision on dismissal. Students who are placed on academic probation and subsequently dismissed from a graduate program by the GS will be officially notified. Such notifications will include reasons for dismissal and disclosure of the Right of Appeal.

Any student who is dismissed from the GS following unsuccessful academic probation or failure to meet a program's requirements for satisfactory academic progress may reapply for admission to the same or a different graduate program after one (1) year. However, the previous program is under no obligation to readmit the student and the student should consult with the program director before applying. If a program would like to admit a student before the 1-year time period, they may submit a request to the Dean of the Graduate School.

## B. Faculty Expectations

### 1. Professionalism

Faculty are expected to maintain high professional standards and behavior in all interactions with students, colleagues, and staff and display honesty, integrity, and compassion. Expectations are reviewed in Section III. A. 3 above.

### 2. Mentorship

Students and mentors should strive to develop a relationship that is characterized by mutual trust, acceptance, and confidence. They both have an obligation to respect and maintain appropriate boundaries.

Faculty should provide timely, focused, accurate and constructive feedback on a regular basis and engage in discussions that stimulate learning and self-discovery. Faculty must treat students fairly, respectfully and without bias related to age, race, ethnicity, gender, sexual orientation, religion, spiritual or political beliefs, disability or country of origin, federal and state protected classes.

## C. Grievances

Students who think that they have been treated unfairly or in violation of programmatic/departmental policies, may ask ORE and/or the GS, usually the appropriate Assistant Dean or Associate Dean, to help mediate a resolution with the program, department or school/college. If a school, college or graduate program has established its own procedures to consider academic grievances, then students must follow these procedures. *The GS does not intervene in grade disputes, though suspensions and dismissals from affiliated programs can be appealed to the GS (see "Academic Grievance and Appeals Process" on the GS website, <https://graduateschool.cuanschutz.edu/>).*

An academic grievance covers problems related to academic issues. Such issues are distinguished from *academic ethics* cases and *disciplinary cases* for which separate procedures



exist. Included within academic grievance cases are faculty, program, department, college or school (including Graduate School) policies affecting individual student prerogatives; unfair deviations from stated progress evaluation procedures (excluding individual grade challenges); unfair treatment and related issues.

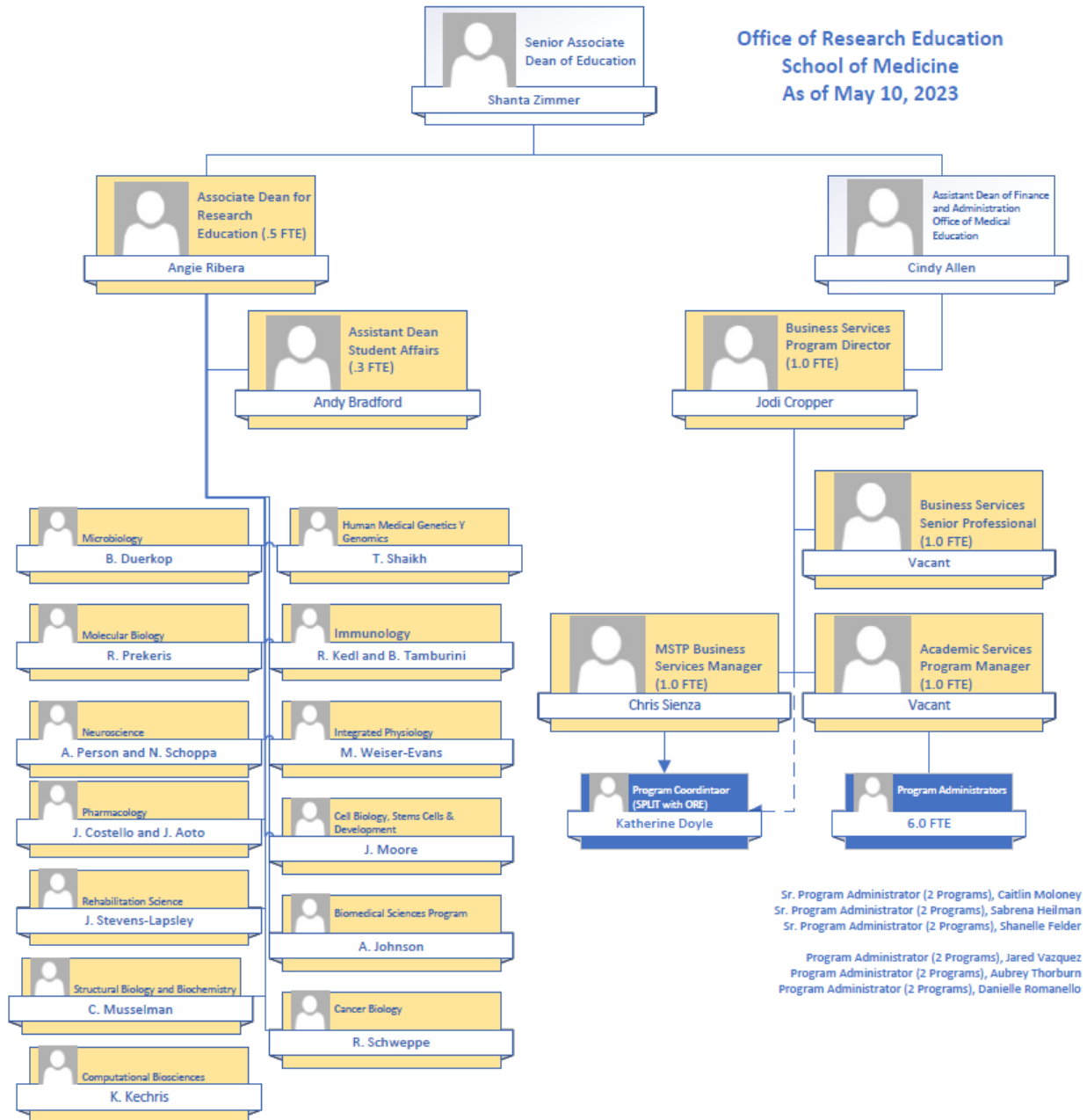
Only in cases where the GS has processed a Suspension, Dismissal or Denial of Progress for a student in consultation with the graduate program, students have the right to appeal that decision to the Dean of the Graduate School. Procedures governing the filing of an appeal related to a suspension, dismissal or denial of progress are available on the GS website (<https://graduateschool.cuanschutz.edu/>).

#### **IV. Amendments**

##### **Appendix List**

- A. ORE Organization Chart
- B. Role of a Program Administrator
- C. Role of a Program Director
- D. Training Grant Support Policies and Procedures
- E. Individual Development Plan (IDP) Template

Appendix A: ORE Org Chart



## Appendix B: Role of a Program Administrator

Program Administrators bring the operational leadership to each of the basic science PhD programs. Together with the Program Director, the Program Administrators provide feedback and guidance on keeping the programs running smoothly. The Program Directors and faculty governance committees provide the strategic thinking and the Program Administrator's role is to operationalize the decisions and maintain day to day operations.

As a member of the leadership team, it is encouraged for the Program Administrators to attend faculty governance and program leadership meetings to stay informed about the strategic direction that the program is headed and to stay on top of the important initiatives.

Below is a breakdown of responsibilities to help understand the role of a Program Administrator.

### Program Communication

- Program Administrators are the main point of contact for program inquiries.
- Program Administrators manage the program faculty and student distribution lists.
- Program Administrators, with collaboration from committee Chairs, assist in note taking for up to 2 different program faculty required meetings.
- Program Administrators manage room reservations for program faculty meetings.

### Recruitment

- Program Administrator manage and organize applications in application software program (Slate). Inform committee members how to access applications and submit ranking scores.
- *Program Director selects the Chair and members of the Admissions Committee.*
- *Program Director notifies the Program Administrator and Admissions Committee of the number of slots for incoming class*
- *Program Directors strongly encourage faculty to participate in interviews and alleviate barriers to scheduling recruitment activities.*
- Program Administrator assist Admissions Committee Chair in:
  - Disseminating information to admissions committee members
  - Scheduling admissions and recruitment meetings with admissions committee members
  - Track application committee ranking scores
  - Communicating with applicants
    - send invitation to interview letters
    - send final interview schedules to candidates
    - send acceptance (offer) letters to candidates
    - track acceptances to confirm the final admissions numbers for incoming class
    - *Admissions Committee Chair will determine the interview activities*
    - *ORE Admissions Manager will schedule the faculty and applicant interviews*
- ORE schedules an all-student orientation and programs are encouraged to add program-specific activities.
- *Program Director determine the orientation activities*
- Program Administrator coordinate an orientation schedule for incoming students in August.

### Student Progression

- *Program Director and faculty governance determine the requirements of the programs (following the Graduate School and ORE's rules).*
- Program Administrators draft and maintain a program-specific handbook that outlines the program requirements.
- Program Administrators create and manage student files.
- Program Administrators coordinate with ORE and the Graduate School to route student progression documentation (such as comprehensive exam completion form, thesis defense form).
- Program Administrators manage all student data, including tracking of progress, advising, intervening when necessary, and resolving academic problems.
- Program Administrators serve as a liaison between the SOM, the Program, and the point of contact for all student-related issues.
- Program Administrators schedule and attend program committee meetings, faculty meetings, and other regularly scheduled meetings, and participate in discussions regarding the program's mission and goals. Serves as an administrative resource relative to student issues, finances, and SOM-ORE academic affairs.
- Program Administrators maintain program curriculum proposals, including the interface with CU-SIS and building new courses in the system as necessary.
- *Program Directors set the guidelines and purpose on seminars and program-specific events.*
- Program Administrators organize and coordinate all event planning for program, including, but not limited to, activities around annual seminar series, program-specific specialty courses and/or scientific retreats, journal club(s), and annual new student recruitment.
- Program Administrators assist students with the scheduling, planning, and organization of their thesis defense. This includes the following:
  - Scheduling rooms
  - Assisting students with filling out appropriate forms
  - Submission of forms to the GS
  - Providing student file to the committee chair (if requested)
  - Distributing flyers and announcements
  - Ensuring all parties understand the policies and procedures

### **Finance and Reporting**

- ORE submits the proposals to the University systems office for the fiscal year budget, student stipend rate, and tuition (credit hour rate).
- ORE (with approval from SOM) sets the budget for program enrichment funds.
- Program Administrators purchase expenses following university rules and spending guidelines.
- Program Administrators submit necessary documentation and consult on university guidelines and budget requirements.
- Program Administrators serve as a business and administrative resource for students in the Program.
- Program Administrators administer state fiscal policies, state and university rules, regulations, procedures, and standards applying to accounting and business management.
- Program Administrators generate standard and non-standard accounting reports, reconcile discrepancies, and provide overall vigilance to assure conformance to policies and procedures for funds managed by the PA. Coordinate accounting, data processing, and other computer systems as necessary for financial management and statistical reporting in PeopleSoft."

- Program Administrators respond to requests from the ORE, the School of Medicine Dean's Office and the Program Director for fiscal budgetary (or other statistical) information.
- Program Administrators administer the flow of administrative, financial, and workload statistical data.

### **Training Grants**

- Program Administrators maintain accurate and reliable training grant database records.
- Program Administrators will meet with ORE monthly to review the financial transactions and ensure that the expenses are within the grant guidelines.

### **ORE Training Grant Support Levels**

1. For TGs with Indirect Costs (ICR) returned to the home SOM Department
  - a. ORE will access TG relevant data from GAIA (or the SOM database once available) for any ORE program or ORE faculty preparing a TG that will support trainees in the ORE PhD program. Deadlines specified below need to be followed so that ORE can accommodate the required effort into on-going workload.
    - For TGs with Indirect Costs (ICR) returned to ORE
    - In addition to 'a' above, ORE will assist with preparation of the budget and work with OGC to submit the application, including new applications, competing renewals and non-competitive renewals (e.g., RPPRs).
  - b. ORE has staff that are knowledgeable about NIH xTRACT and xTRAIN systems and will assist the relevant ORE program's administrator in the submission of the grant to NIH.
  - c. The PD(s) and/or ORE faculty preparing the grant will be responsible for organizing and writing the grant, and letting ORE know what is needed and when, consistent with the timelines specified below.
  - d. ORE will manage the grant once received. This will involve working with the DFAs of the home departments of trainees so that trainees continue to receive the full stipend level and coverage of tuition, health insurance and fees.
    - As the TG does not provide sufficient funds to cover the entirety of these costs, the trainee's mentor will be responsible for the remainder and appropriate financial arrangements will be required.
    - Similarly, for any supplements associated with the parent TG, ORE will provide support for submission and management of the supplement if awarded.

### **Training Grant Support Timeline**

1. For a new TG application, the Program Director and/or ORE faculty preparing the grant will inform ORE no later than nine months prior to the TG submission deadline of the intent to prepare a TG.
  - a. A complete list of Training Grant participating faculty must be sent to the Program Administrator at least 8 months prior to the submission deadline so that the Program Administrator can start working on the data collection for the data tables.
  - b. The Program Director and/or ORE faculty preparing the grant must work with Grants and Contracts to obtain access to Info Ed and the necessary software systems at least 3 months before the submission deadline. Program Directors must add the Program Administrator as

- a delegate in the necessary software systems to ensure that the Program Administrator can upload the necessary documentation.
- c. A complete narrative should be submitted to the Program Administrator 3 weeks prior to the submission deadline to ensure that the document is finalized and uploaded into the required submission system by the deadline.
  - d. Program Directors must notify ORE of the number of requested slots 1 month prior to the Grants and Contracts deadline to ensure that the budget and budget justification is completed by the deadline.
2. For a competitive renewal application, the Program Director and/or ORE faculty will inform ORE and the Program Administrator at least 6 months in advance of the deadline.
  3. For non-competitive renewal applications, the Program Director and/or ORE faculty will inform ORE at least 1 month in advance of the deadline for submission of the RPPR.

## **Appendix C: Role of a PhD Program Director**

The Program Director will prepare and provide strategic and fiscal forecasts for all School of Medicine PhD Program budgets, advise the Associate Dean in areas of fiscal planning, analyze and provide reporting on financial data, establish financial goals and timelines, and recommend actions and strategy and resolution to problems. The Program Director will deliver information in practical and actionable formats to the administration, program directors and administrative staff. The director will provide communication to SOM Research Education Office personnel related to financial policies, budget, payroll, and accounting. The Program Director will administer and/or direct payroll processing and leave reporting for school classified and university staff. Additionally, the Program Director will coordinate recruiting, hires, and compliance to HR policies, working directly with the SOM's HR service group.

This position will provide comprehensive administrative support and oversight of School of Medicine, Research Education Office research and externally funded activities, related to the School of Medicine PhD Programs. The Program Director will oversee development of processes to provide technical assistance to faculty, oversee policy and compliance, and review contract and grant accounts to ensure that funds comply with purposes designated.

This position will manage grants (pre- and post-award) by providing comprehensive administration of Research Education Office research and externally funded activities related to SOM PhD Programs, oversee development of processes to provide technical assistance to faculty, oversee policy and compliance, and review contract and grant proposed budgets and post-award accounts to ensure that funds are expended for purposes designated.

Program Directors are responsible for the ongoing leadership and oversight of a program or function, including the development of strategies and processes which contribute to the University and/or campus mission and accountability for services provided.

### **Supervision Received**

Reports directly to the Director of Finance and Administration for the Office of Medical Education and has a dotted line report to the Associate Dean for Research Education in the School of Medicine

### **Supervision Exercised**

Provides direct and indirect supervision over applicable staff

### **Examples of Work Performed**

- Within the guidelines of the University, Campus, School, grant sponsors, and other appropriate agencies develops, recommends, and implements administrative and fiscal policies and procedures for the School of Medicine PhD Programs.
- Provides financial administration of all funds for the Research Education Office including, tuition revenue, state appropriations, gifts, grants, and contracts.
- Serves as Fiscal Authority for the financial and administrative operations of the School of Medicine PhD Programs in conjunction with the Director of Finance and Administration for the Office of Medical Education.
- Acts as the primary representative for the SOM Research Education Office for all strategic planning initiatives, and may contribute in program modeling, recruitment, and educational program development.

- Working with the Associate Dean for Research Education and OME's Director of Finance and Administration the program director will develop metrics, processes and systems to assess and report on PhD program financial viability.
- Provides consultation and coordination on HR recruiting, hiring and policy compliance.
- Administers payroll processing and leave reporting for classified and university staff.



## Appendix D: Training Grants in the Office of Research Education

A priority for the Office of Research Education (ORE) is to support ORE programs in obtaining NIH training grant (TG) support. The level of support that ORE provides depends upon whether the indirect costs (IDC) associated with the TG will flow to ORE vs. the home department of the grant's PD.

ORE currently has access to the GAIA database that has some information that is required for preparation of the tables required for NIH training grants (TGs). In addition, ORE is working with the School of Medicine (SOM) – Information Technology (IT) group to develop a more comprehensive database.

### F. ORE TG support levels

- A. For TGs with IDC returned to the department of the grant's PD: ORE will access TG relevant data from GAIA (or the SOM database once available) for any ORE program or ORE faculty preparing a TG that will support trainees in an ORE PhD program. Deadlines specified below need to be followed so that ORE can accommodate the required effort into on-going workload.
- B. For TGs with IDC returned to ORE: In addition to A above, ORE will assist with preparation of the budget and work with OGC to submit the application, including new applications, competing renewals and non-competitive renewals (e.g., RPPRs). ORE has staff that are knowledgeable about NIH xTRACT and xTRAIN systems and will assist the relevant ORE program's administrator in the submission of the grant to NIH. The program director and/or ORE faculty preparing the grant will be responsible for organizing and writing the grant and letting ORE know what is needed and when, consistent with the timelines specified below.

ORE will also manage the grant once received. This will involve working with the DFAs of the home departments of trainees so that trainees continue to receive the full stipend level and coverage of tuition, health insurance and fees. As the TG does not provide sufficient funds to cover the entirety of these costs, the trainee's mentor will be responsible for the remainder and appropriate financial arrangements will be required.

Similarly, for any supplements associated with the parent TG, ORE will provide support for submission and management of the supplement if awarded.

### II. Timelines

1. For a new TG application, the program director and/or ORE faculty preparing the grant will inform ORE no later than nine months prior to the TG submission deadline of the intent to prepare a TG.
2. For a competitive renewal application, the program director and/or ORE faculty will inform ORE at least 6 months in advance of the deadline.
3. For non-competitive renewal applications, the program director and/or ORE faculty will inform ORE at least 1 month in advance of the deadline for submission of the RPPR.

## Appendix E: Individual Development Plan (IDP) Template

### A. Annual Progress Report

1. What were your main goals for the past year?
  
2. Which goals did you meet? If you did not meet a goal, why not?
  
3. List all major accomplishments this year in career development (e.g. presentations, publications, teaching, committees, course work, etc.). Include mentoring of graduate or undergraduate students in the laboratory.
  
4. Describe your level of satisfaction with your career development in the past year using a scale of 1-5 with 1 being highly satisfied. Provide a rationale for your choice.
  - 1 – Highly satisfied
  - 2 – Somewhat satisfied
  - 3 – Neither satisfied nor dissatisfied
  - 4 – Somewhat dissatisfied
  - 5 – Highly dissatisfied

### B. Self-assessment

	No basis to evaluate	Needs development	Appropriate to career stage	Strength	
<b>Core Competencies</b>					Adapted from Science Careers MyIDP, which is based on the National Postdoctoral Association's
<b>Scientific Knowledge</b>					
Broad based knowledge of science					
Deep knowledge of specific research area					
Critical evaluation of scientific literature					
<b>Research Skills</b>					
Technical skills related to research area					
Experimental design					
Statistical analysis					
Interpretation of data					
Creativity/innovative thinking					
Navigating the peer review process					
<b>Communication</b>					
Basic writing and editing					
Writing scientific publications					
Writing grant proposals					
Speaking clearly and effectively					
Formulating and asking sound questions					
Presenting research to scientists					
Training and mentoring individuals					
Seeking advice from advisors and mentors					
Negotiating difficult conversations					
<b>Professionalism</b>					
Demonstrating workplace etiquette					
Complying with rules and regulations					
Upholding commitments and meeting deadlines					
Maintaining positive relationships with colleagues					

Contributing to discipline (e.g. professional society member)					
<b>Management and Leadership Skills</b>					
Providing instruction and guidance					
Providing constructive feedback					
Dealing with conflict					
Planning and organizing projects					
Time management					
Managing research resources responsibly					
Serving as a role model					
<b>Responsible Conduct of Research</b>					
Careful recordkeeping practices					
Understanding of data ownership/sharing issues					
Demonstrating responsible authorship/publication practices					
Demonstrating responsible conduct in human/animal research					
Able to identify and address research misconduct					
Able to identify and manage conflict of interest					
<b>Career Advancement</b>					
Creating and maintaining a professional network					
Identifying career options					
Tracking professional development and accomplishments (e.g. writing and maintaining a CV or résumé)					
Interviewing					

### C. Goals for the Upcoming Year

#### 1. In the upcoming year, what:

- a. Publications do you plan to submit?
- b. Meetings, conferences, and workshops do you plan to attend?
- c. Fellowships or other funding applications do you plan to submit?
- d. Other professional training or activities do you plan to participate in (e.g. teaching, university service, courses, internships, etc.)?

#### 2. Career goals

- a. Approximately when do you hope to finish your predoctoral training?
- b. If you plan to finish within 12-18 months, estimate when you will begin a job or postdoctoral search.
- c. What is your "Next Step" career goal (e.g. postdoctoral training, research job, science policy)?
- d. What is your long-term career goal? (*ScienceCareers MyIDP* can help you evaluate your options in light of your interests and skills.)
- e. What further training is required before it is appropriate to start a career search?

#### 3. How can your PI help you achieve your goals for the upcoming year? What do you need from your PI?