

**STANFORD INSTITUTES OF  
MEDICINE**

**GUIDELINES  
DECEMBER, 2006**

*Table of Contents*

I.	Preamble	3
II.	Establishment and Termination	3
III.	Mission and Description	4
IV.	Governance	5
V.	Membership	8
VI.	Faculty Appointments, Reappointments, Promotions, and Departures	9
VII.	Other Appointments and Hiring	12
VIII.	Space	12
IX.	Clinical Alignments	14
X.	Teaching/Training	15
XI.	Fundraising	15
XII.	Other Administrative and Financial Issues	16
XIII.	Final Note	17

## **I. PREAMBLE**

The School of Medicine recognizes that the foundation of discovery is investigator-initiated basic research that pursues creative new directions supported by external funding. Accordingly, the School aims to do everything possible to support and enhance basic research. At the same time, the School also wishes to foster an environment that engages basic and clinical faculty in collaborative research activities, ideally to create new fundamental knowledge and, where possible, to translate research from the laboratory to the patient. To facilitate, augment and catalyze basic and translational research in selected, complex, multidisciplinary areas that are not fully encompassed within existing departmental structures, Stanford has launched a small number of "Institutes of Medicine." These are designed to bring together basic and clinical scientists and physicians to address interdisciplinary themes that link the laboratory to the bedside or that foster "*Translating Discoveries.*"

In March, 2003, the School issued a "White Paper" that delineated preliminary guidelines for how the new Institutes of Medicine would operate in the Stanford School of Medicine environment. Now that some of the institutes have been operational for 2-3 years, it seems prudent to revisit and refine the 2003 "White Paper." Accordingly, the following guidelines provide a framework for the structure and functioning of the Stanford Institutes of Medicine going forward, while recognizing that future modifications will be necessary to make the institutes as organic and vibrant as possible and to respect their roles within the departmental organization of the School of Medicine. These working guidelines were approved by the Dean after review and discussion by the Executive Committee on September 1 and December 1, 2006 and are effective January 1, 2007.

## **II. ESTABLISHMENT AND TERMINATION**

Institutes are created and terminated by the Dean in close consultation with the Executive Committee following careful consideration and input from multiple levels of the School of Medicine. They are expected to have long-term life spans. Because of their size and complexity, the number of institutes is likely to be small.

### **III. MISSION AND DESCRIPTION**

#### ***A. Mission***

The mission of the Institutes of Medicine is to improve human health by facilitating, augmenting and catalyzing the basic, translational and clinical research of the School's and the University's faculty in selected, complex, multi-disciplinary areas that transcend the domain of any single department. The Institutes' mission extends across the School and University and to the related clinical centers (or "service lines") at the Stanford Hospital and Clinics (SHC) and the Lucile Packard Children's Hospital (LPCH). They carry out their mission by providing leadership and administrative support as well as incremental resources including faculty billets, research funding and space and by fostering interdisciplinary interaction through the creation of new scientific interactions and educational opportunities.

#### ***B. Description***

The School has established five Institutes of Medicine, as follows:

- Cardiovascular Institute (CVI)
- Stanford Cancer Center (SCC)
- Immunology, Transplantation, and Infection Institute (ITI)
- Neuroscience Institute at Stanford (NIS)
- Institute for Stem Cell Biology and Regenerative Medicine (ISCBRM)

It is not anticipated that additional institutes will be added in the foreseeable future.

The areas encompassed by these institutes are likely to be long-lasting and of high importance from the vantage points of research, education and clinical care. They focus on areas of biomedicine likely to yield near-term, substantial and important progress through the complex interplay of basic, translational and/or clinical research.

Among the added values of the Stanford Institutes of Medicine are enhanced opportunities to foster research, education and patient care among faculty from different departments and schools

at Stanford; enhanced prospects for generating novel ideas emanating from interdisciplinary and multidisciplinary programs; greater opportunities to accelerate the translation of innovations and discoveries to improved patient care through clinical trials and, conversely, greater opportunities to foster new research discoveries based on problems arising in the clinical setting; and an enhanced ability to raise or compete for funding from sponsored research and philanthropy.

The Stanford Institutes of Medicine, among other activities, bring faculty and students together from across the University to address important issues in human health and to foster the translation of discoveries at the School's major affiliated hospitals (SHC, LPCH, VA). The institutes also foster broad community building activities with healthcare providers, industry and other academic and industry-based research programs. They will create and operate non-duplicative core facilities for the benefit of their members and others in the broader community and they will help support trans-institute core facilities that provide resources or services that are generally required to carry out their mission. In certain circumstances, the institutes also provide a forum for public policy issues. The Stanford Institutes of Medicine also work collaboratively with each other, as well as with departments and their related clinical programs, and foster common themes for research, education and patient care.

#### **IV. GOVERNANCE**

##### ***A. Institute Director***

Each institute is led by a faculty Director who is appointed by and reports to the Dean. The Institute Director is a member of the School of Medicine Executive Committee. The term of appointment is five years with an option of renewal by the Dean. In general Directors will not serve more than two terms. As with other senior leadership positions in the School and University, the Director's position is an "at will" appointment.

The role of the Director is to provide academic and administrative leadership to the institute.

Specific responsibilities include, but are not limited to:

- Development of institute goals and objectives
- Educational opportunities (i.e., course development and delivery, graduate and postgraduate training in ways that carry out the purpose of the institute and that enlarge and expand departmental and IDP offerings)
- Faculty recruitment and development (in partnership with the Chair(s) of the departments in which the faculty appointments reside)
- Setting research priorities for the institute
- Fiscal management
- Fund-raising
- Institute-assigned space utilization
- Relationships with related clinical programs (service lines) at SHC and LPCH (The institute will interface and coordinate with the related service lines when they are programmatically aligned. However, oversight of these related clinical programs will be through departmental, hospital and school governance.)

In all of these areas the institutes and their Directors will exercise their responsibilities in ways that complement departments and IDPs.

More broadly, the Director facilitates and enhances multidisciplinary and translational interactions and collaborations among School and University faculty in order to achieve the objectives of the institute and to assure that “the sum far exceeds the contribution of the individual parts.”

### ***B. Institute Executive Committee***

While there may be variation among the institutes, it is expected that the Director will appoint, with the Dean’s concurrence, one or more Associate Directors who focus on specific aspects of institute activities.

They may be School of Medicine faculty or faculty from other Stanford schools and may include the following:

- Associate Director for Basic Research
- Associate Director for Translational and Clinical Research
- Associate Director for Clinical Care, who should be the relevant Clinical Director (Service Line Director) at SHC or LPCH (This is a coordination and liaison role to assure that the translational mission of the institutes occurs; the institutes do not oversee or manage clinical care).
- Associate Director for Education and Training
- Associate Director for Outreach

The Associate Directors advise the Director and, along with the Director, who serves ex officio, constitute the Institute Executive Committee.

### ***C. Institute Steering Committee***

The Institute Executive Committee plus representative faculty leaders comprise the Institute Steering Committee, which, like the Institute Executive Committee, is advisory to the Director (the Director is an ex officio member of the Steering Committee). In line with the broad interdisciplinary mandate of the institutes, it is expected that the Steering Committee will include faculty not only from the School of Medicine but also from other schools at Stanford. Steering Committee members are named by the Director, in concurrence with the Dean.

The Institute Steering Committee is envisioned as a strong guiding body giving important input into the direction and governance of the institute.

## **V. MEMBERSHIP**

Institutes have two categories of members, as follows.

### ***A. Members***

Members of an institute occupy “institute billets ” and, in general, are housed in institute space. However, like all Stanford professorial faculty, they have their primary (and, if applicable, secondary or courtesy) appointments in academic departments, either within the School of Medicine or in another Stanford school. Their institutes manage their designated institute space as well as their grants, personnel actions and other administrative actions. (If Members also occupy departmental space, the department manages that space; see Section VIII.) There are at present 6-8 billets assigned to each institute, and this number is not expected to increase in the foreseeable future.

1. A current Stanford faculty member who is offered a Member position in an institute is reassigned from his/her department billet to an institute billet. The department retains the billet being vacated. (For space arrangements in this circumstance, see Section VIII).

### ***B. Associate Members***

Associate Members of an institute occupy departmental billets and, in general, are housed in department space. With the approval of the Institute Director and the Dean, Associate Members may occupy Dean’s Reserve or hotel space located in an institute building (see Section VIII). Associate Members’ departments administer their space, grants, personnel actions and other administrative matters, as described below. Designation as Associate Member is determined by the Institute Director according to the procedures of the institute. Associate Members participate in all aspects of the Institute with the exception of the location of their billet and space.

Members and Associate Members have the same rights and privileges accruing from their institute appointment. Because of the limited number of institute billets, a far larger proportion of faculty associated with institutes will be Associate Members, who will also be important to the interdisciplinary and translational missions of the institutes.

## **VI. FACULTY APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS AND DEPARTURES**

### ***A. Members***

#### *1. Search and Appointment*

Since all Members are appointed in academic departments, the search, recruitment and appointment processes for Members are of necessity joint between institutes and departments. It follows that, in order to be successful, there must be a maximum amount of collaboration and coordination between institutes and departments at every stage of the process. The institute is responsible for preparing the appointment file for review by the appointing department and the other reviewing bodies at the School and University and collaborates with the appointing department in this process.

Searches for Members may be conducted in one of two ways:

a. With the approval of the Dean's Office, an institute, having identified a programmatic area in which an incremental faculty appointment is needed, may initiate a search in collaboration with a specific department in the School or elsewhere in the University. In this case the department and institute establish the search committee and jointly manage the search process. As noted above, the institute is responsible for preparing the appointment file for review by the appointing department and the other reviewing bodies at the School and University. Such a search may also be conducted with more than one department. In this case, once the best candidate is identified, the departments and the institute, with the best interests and preferences of the candidate in mind, negotiate which should be the primary department.

b. With the approval of the Dean's Office, an institute may initiate a search for a Member. In such cases, the Institute Director creates a search committee that includes representatives of the departments that might provide the academic home for the selected candidate as well as other key faculty leaders from related disciplines. The search

committee identifies the programmatic area of need, writes the necessary advertisements, and screens candidates for interviews. This should be done with input from the department who might serve as the academic home of the Member. As candidates are brought to campus for interviews, faculty from potential home departments should be included in the interview and selection process. During the initial or subsequent visit, the candidate should meet with a sufficient number of faculty members of his/her preferred home department to allow an informed departmental decision on the candidate. As noted above, the institute is responsible for preparing the appointment file for review by the appointing department and the other reviewing bodies at the School and University.

## *2. Mentoring*

Mentoring and career planning are important for all faculty but particularly for those at the Assistant Professor level. For such faculty, a committee consisting of the primary Department Chair (or Division Chief), another primary department member and the Institute Director will be established to help guide the faculty member's research and research development and to monitor progress. One of these committee members, normally the departmental faculty member, will be designated the primary mentor. The primary mentor should be separate from and outside the official evaluative structure.

## *3. Reappointment and Promotion*

The process for reappointment and promotion of Members will be done in accordance with School and University policy and procedures. The Member's primary department, with significant input from the Institute Director, will be responsible for carrying out the evaluation process and, if the department recommends in favor of reappointment or promotion, for preparing the required reappointment or promotion file for review by the department and other reviewing bodies at the School and University. If the department decides not to recommend reappointment or promotion, the institute may explore whether another department might wish to do so.

It is important that the Institute Director and Department Chair work collaboratively during the reappointment and promotion process (as well as throughout the faculty member's time at Stanford) to assure that the Institute Member does not encounter difficulties in the reappointment or promotion review because of his/her dual membership in an institute and a department.

#### *4. Departure or Termination*

When Members leave Stanford, the vacated billets and space revert to the Dean, who may restore them to the institute or reallocate them to other school priorities.

The Steering Committee may revoke a faculty member's institute Membership by a 2/3 vote. If Members' appointments to an institute are terminated and they remain at Stanford, they retain their institute billets and space until leaving Stanford or until or if they are transferred to a department, at the discretion of the department. The institute remains responsible for the management of their institute space. Upon their departure from Stanford, or transfer to other billets and space assignments, the vacated billets and space revert to the Dean, who may restore them to the institute or reallocate them to other school priorities.

### ***B. Associate Members***

#### *1. Search and Appointment*

When an academic department, either within the School of Medicine or in another Stanford School, initiates a search and anticipates that the successful candidate may seek Associate Membership in an institute, the relevant Institute Director should be notified of the search and should serve on the search committee or delegate an Associate Director or Steering Committee member to do so. The Institute Director or delegate should also be given the opportunity to interview the candidate. Appointment as an Associate Member is determined by the Institute Director in accordance with the procedures of the institute. However, the underlying faculty appointment remains the responsibility of the department.

#### *2. Mentoring, Reappointment, and Promotion*

These activities are the responsibility of the primary department. The faculty member's performance as an Associate Member is evaluated by the Institute Director, and the results of this evaluation are shared with the Department Chair.

### *3. Departure or Termination*

If the institute decides to terminate a faculty member's Associate Membership, the reasons for doing so should be discussed with the Department Chair. The Steering Committee may revoke the Associate Membership in an Institute by a 2/3 vote. However, a decision to terminate Associate Membership does not affect the faculty member's departmental status. The department remains responsible for the faculty member.

## **VII. OTHER APPOINTMENTS AND HIRING**

Institutes may appoint, with the appropriate approvals, consulting and visiting professors, academic staff, and post-doctoral scholars/fellows as well as regular staff.

## **VIII. SPACE**

### ***A. Members***

Members are housed in space assigned by the Dean to the institutes. Institute space is under the control of the Institute Director, with the concurrence of the Dean, and is subject to School academic space utilization reviews and policies. Institutes are expected to have a written space policy to guide the allocation and assignment of their space.

The space-related indirect cost recoveries generated by Members go to the institute. The institute is responsible for any research-space costs surpluses or deficits that may arise via the School Operating Budget formulas.

A current faculty member who becomes a Member moves to institute space (assuming the availability of a SIM building or an interim facility). The vacated departmental space reverts to

the Dean (as does all space) but may be reassigned to the department based on programmatic need.

In the rare circumstance that Members are housed in department space, their space-related indirect cost recoveries go to the department. In the event that a Member occupies both institute and departmental space, the space-related indirect cost recoveries are allocated to the institute and the department in proportion to the occupied space. Institutes and departments must work together to assure that all costs are covered.

### ***B. Associate Members***

Associate Members may have space in departmental allocated space, in Dean's Reserve space located in one of the SIM buildings, and/or in institute "hotel" space. If an Associate Member is in departmental space, the Department Chair is responsible for allocating that space, with the Dean's concurrence. The indirects go to the department, which is responsible for administering the space.

With the approval of the Institute Director and the Dean, an Associate Member may be housed in Dean's Reserve or hotel space located in a SIM building. In this situation the indirects go to the department, and the department is responsible for any research-space costs surpluses or deficits that may arise via the School Operating Budget formulas. However, the institute manages and administers the space.

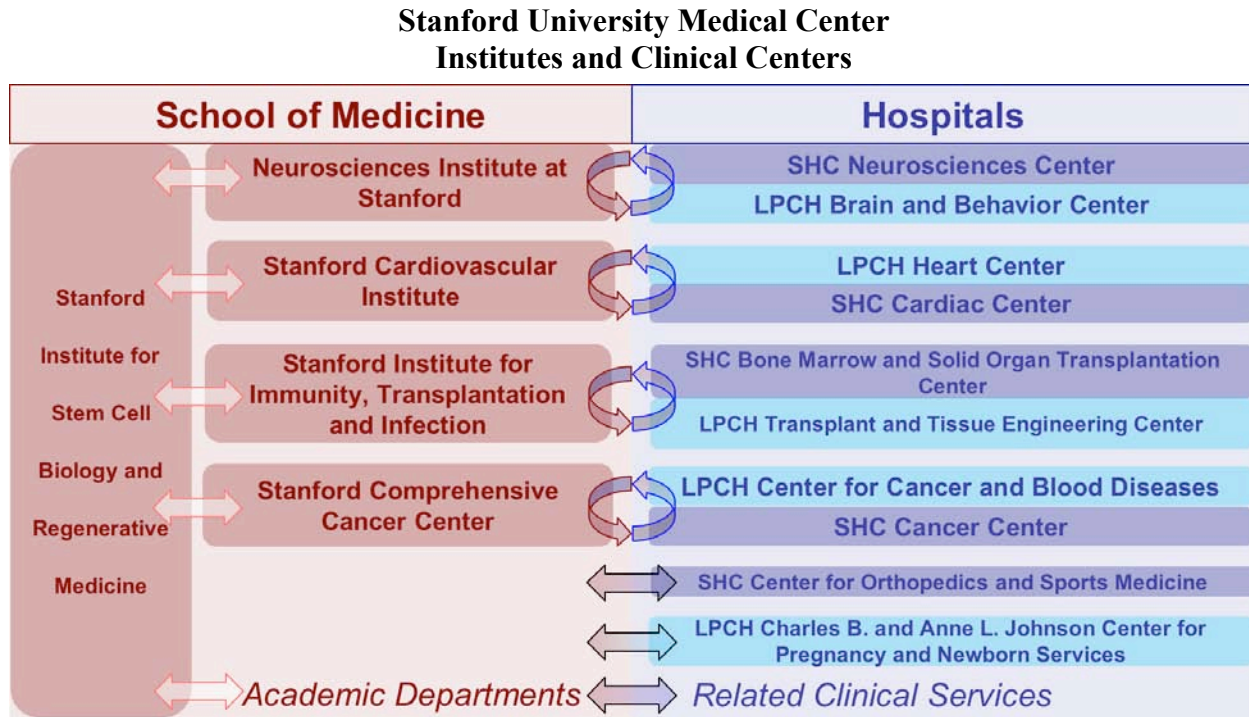
As noted above, if the Associate Membership status of a faculty member is terminated, the primary department remains responsible for the faculty member. If he or she is housed in departmental space, the department chair continues to be the responsible individual. If the Associate Member is housed in a SIM building, the future location of the faculty member's research space will be determined on a case-by-case basis by the Institute Director and Department Chair in conjunction with the Dean.

**C. Hotel Space**

Where possible a small number of benches in each SIM building will be designated as “hotel space” in order to provide short-term space to faculty or students associated with a specific project. Utilization of this hotel space will generally be one year with an option to extend to 2-3 years and will be under the jurisdiction of the Institute Director. The indirects go to the primary department of the hotel space occupants, and the department is responsible for any research-space costs surpluses or deficits that may arise via the School Operating Budget formulas. However, the institute manages and administers the space.

**IX. CLINICAL ALIGNMENTS**

One of the primary objectives of the Stanford Institutes of Medicine is to foster translational and clinical research, as illustrated below.



A number of Members and many Associate Members have clinical expertise and responsibilities and therefore play critical roles in integrating translational and clinical research and patient care

and, thus, in accomplishing the mission of the institutes. In addition, as noted above (Section IV), the Director for the Clinical Center (i.e., the hospital “service line”) aligned with each institute serves as an Institute Associate Director and is responsible for coordination between the institute and the clinical center. However, all clinical responsibilities are assigned by the department and according to department rules. Clinical income flows to the department, which, in turn, is responsible for covering that portion of the Members’ and Associate Members’ salaries corresponding to their percent effort in clinical activities.

## **X. TEACHING/TRAINING**

The Department Chair and Institute Director jointly set the teaching expectations for Members with attention to equity with the other members of the primary department. Operating income (TECU) associated with teaching will accrue to the unit (department or institute) sponsoring and administering the educational offerings. Thus, if a Member teaches a departmental offering, the department will receive the operating income associated with it. If the educational offering is institute-based, TECU credits will accrue to the institute according to the established rules for distribution of TECU credits, by which funds follow costs.

Graduate services for students studying in Members’ laboratories are provided by the faculty mentor’s primary department and the degree- granting program to which the student belongs. Medical student services associated with study in Members’ laboratories are administered by departments. Other services for these medical students will be administered by the Office of Student Affairs, as for all other medical students. Post-docs studying in Members’ laboratories are administered by the institute.

## **XI. FUNDRAISING**

The Institutes of Medicine are powerful vehicles for articulating and presenting fundraising needs to potential donors in a coherent and compelling manner. As is the case for all departments and programs in the School of Medicine, fundraising for the institutes and associated working groups and programs and related clinical service lines is to be coordinated with and managed by

the Office of Medical Development (OMD). Fundraising goals are set in collaboration with the relevant Institute Director and with OMD, with approval of the Dean. Consistent with University policy, all contemplated volunteer recruitments and solicitations must be coordinated through OMD.

## **XII. OTHER ADMINISTRATIVE AND FINANCIAL ISSUES**

### **A. Financial Management**

Institute operating budgets are set annually by the Senior Associate Dean for Finance and Administration and the Dean according to the School's operating budget process.

Institutes are fiscally responsible for revenue and expenses including program development of Members, but not for components of the salary related to the member's clinical activities, as detailed in Section VIII. In the rare circumstance that someone loses or gives up his/her Member status but remains on the faculty at Stanford, the Dean's Office will intercede to ensure the appropriate relationship and fiduciary responsibility between the department and the institute. The impact of this change in status on space is noted in Section VII.

### **B. Research Administration**

Institutes administer research activity for Members and, as a consequence, receive operating income (administrative component) associated with Members. Institutes are responsible for covering space charges and receive operating income (space component) associated only with institute-specific space.

### **C. Faculty Salary Setting**

Salary recommendations for Members are developed jointly by the primary Department Chair and the Institute Director and submitted by the Department Chair. Salary recommendations for Associate Members are submitted by the primary Department Chair.

#### D. Intellectual Property (IP)

The “departmental” share (currently ~1/3 of the distributed amount) of patent and royalty income generated by Members from patents and licenses conceived while serving as Members will be split 50/50 between the institute and department (even if the faculty member leaves the institute). If a Member leaves an institute and remains on the Stanford faculty, any IP filed after leaving the institute goes to the department he/she is a member of at the time of filing. If a current Stanford faculty member becomes a Member, the departmental share of patent and royalty income from patents and licenses conceived prior to holding an institute billet remains with the department. The IP for Associate Members remains with the department.

### **XIII. FINAL NOTE**

These Guidelines are to be viewed as an organic working document. It is expected that they will serve as a road map for decision-making, but it is anticipated that many situations will require individual attention for which this document will serve as a guide. It should also be anticipated that this document will be revised with additional experience and the passage of time.