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**KECK SCHOOL OF MEDICINE
GOVERNANCE DOCUMENT
May 2011**

I. EXECUTIVE AUTHORITY

As a non-profit public benefit corporation, the University of Southern California (USC) is governed by the Board of Trustees. The Board of Trustees establishes policies, exercises powers as stated in the Bylaws of the University, controls property and conducts the affairs of the University. The Board of Trustees delegates certain powers to the President of the University and serves as the ultimate decision-making unit. The President of the University is the chief executive officer in charge of all University operations. He/She is responsible for carrying out policies established by the Board of Trustees and in so doing has the power to delegate authority to the officers and academic executives of the University.

The President of the University of Southern California has delegated the responsibility for academic affairs to the Provost, and the Provost has delegated the operation of the Keck School of Medicine to the Dean of the Keck School of Medicine. The Medical Faculty Council of the Keck School of Medicine serves as a deliberative and consultative body for the Dean of the Keck School of Medicine, with power to make studies, reports and recommendations directly to the Dean on matters pertinent to the functioning of the Keck School of Medicine

The governance policies and practices of the Keck School of Medicine shall be in accord with the policies and practices of the University including those stated in the Bylaws of the University. If this document differs in any way from the most recently approved edition of the Faculty Handbook of the University of Southern California or other University policies, those documents takes precedence over this governance document.

RESPONSIBILITY OF THE DEAN OF THE SCHOOL OF MEDICINE

The Dean shall be responsible for the operation of the Keck School of Medicine. His/Her responsibilities shall include those stated in the Bylaws of the University and also the responsibility to:

- enable the faculty to develop and maintain outstanding educational programs for medical students, graduate students, postdoctoral trainees, and postgraduate physicians;
- recruit and retain a faculty that excels in educational, research and clinical endeavors;
- provide an environment that encourages scholarly activity;
- manage all fiscal matters pertaining to the operation of the school.

At the Dean's discretion, he/she may appoint a Task Force which may be charged with assessing needs of the school, analyzing problem areas identified within the school, or making recommendations for solutions to problems.

II. THE FACULTY OF MEDICINE

- A. The Faculty of Medicine, through its elected representatives, the Faculty Council, and its delegates, faculty committees, or other faculty representatives, shall exercise primary

responsibility for making recommendations to the Dean relative to all matters pertaining to academic policy and faculty status within the Keck School of Medicine. Such academic policy matters shall include, but are not necessarily limited to,

- For medical and graduate students: admissions, curriculum, evaluation, discipline and student affairs;
- For faculty: appointments, promotions, quality of research and quality of medical care;
- For physicians: graduate and continuing medical education programs, and quality of medical care.

The Faculty of Medicine, through the Faculty Council, faculty committees, or other faculty representatives or their delegates will contribute to long-range planning, and achievement of the goals and objectives of the Keck School of Medicine.

For the purposes of this governance document, the Faculty of Medicine includes all persons with full-time academic appointments (tenure track and non-tenure track) at the Keck School of Medicine whether or not primarily located at the Health Sciences Campus.

- B. Department Chairs and Institute Directors (Directors of Organized Research Units) are appointed by the Dean after consultation with the Provost with authority delegated by the President in accordance with the Faculty Handbook and policies of the University of Southern California. When a vacancy of a department chairmanship or institute directorship occurs, the Dean shall select a new chair according to the procedures specified in the Faculty Handbook, and subject to the approval of the Provost. All department chairs and institute directors shall serve at the pleasure of the Dean, Provost and President of the University
1. The department chair, under the authority delegated by the Dean, shall be responsible for the operation of the department with regard to its internal organization and its relationship to the school as a whole . (The responsibilities of the department chair are outlined in the University Bylaws and Faculty Handbook and further clarified for the Keck School of Medicine in Appendix A to this document.) The chair shall further have the authority to create or consolidate divisions within the department and to appoint or replace division chiefs, subject to the approval of the Dean. In exercising this authority, he/she shall consult the faculty of the department.
 2. Institute Directors will be responsible for the strategic planning, research direction, and operational administration of the Institute (as described in Appendix B. Institute Director Responsibilities).
 3. Review of Chairs of Departments and Institute Directors will occur in accordance with the procedures outlined in University policies. The most appropriate time for review of Chairs or Institute Directors may be every five years, but may be specified by the dean at the time of hiring Chairs or Institute Directors. This may or may not be in the same cycle as the University Academic Program Review.

III. ADVISORY BODIES TO THE DEAN

- A. CLINICAL AND BASIC SCIENCE CHAIRS AND INSTITUTE DIRECTORS shall meet as groups regularly with the dean to allow for exchange of information relevant to the departments and the school. The Chairs and Institute Directors serve as an important advisory group to the Dean on matters of policy affecting the school, including issues affecting faculty, staff and students, education, practice, space, and strategic planning.
- B. THE MEDICAL FACULTY COUNCIL (MFC)

The Medical Faculty Council is the elected faculty council for the Keck School of Medicine. Its purposes shall be to represent the faculty of the School as stated in the Constitution of the Academic Senate. It shall be concerned with issues directly related to faculty status, responsibilities and welfare within the Keck School of Medicine. In discharging its functions, the MFC serves as a deliberative and consultative body with the authority to survey the faculty and make studies, reports and recommendations on all matters that have a significant bearing on the work or status of the faculty. The MFC shall identify issues of highest priority to the faculty, discuss and debate current issues and matters of interest to the faculty and may advise the Dean and the Dean's other advisory bodies on academic and faculty status matters. The MFC may organize meetings of the faculty at large to discuss issues of interest to the faculty, on an annual, biannual or as needed basis. The Medical Faculty Council will meet on a quarterly or on an as needed basis.

The Council will have a membership of nine faculty, who serve staggered three year terms. Faculty must be full time faculty who have primary appointments in the Keck School of Medicine, and may be tenure track or non-tenure track. Department Chairs and faculty who are also serving in the administration at the Associate Dean level or higher will be excluded from consideration for membership. To assure representation of faculty within the MFC, six of the nine positions will represent the clinical faculty/departments and three will represent the basic science faculty/departments. Every year, a slate of faculty candidates will be proposed by the executive committee of the outgoing Council for replacement of open positions. At least two candidates will be nominated for each open position. In addition, the faculty-at large may propose additional candidates if those candidates are supported by signatures of at least 25 full time faculty colleagues. New members of the Council will be elected by annual secret ballot election of the faculty. All faculty members who hold full-time primary academic appointments (tenure track or non-tenure track) in the Keck School of Medicine shall be eligible to vote for representatives.

The MFC is responsible for selecting faculty who will represent the Keck School of Medicine on the University's Academic Senate. Representative faculty may be current members of the MFC or other members of the medical faculty, selected by majority vote of the MFC.

The Executive Committee of the MFC will be composed of the following officers: President, President-elect, and Secretary. Any member of the MFC may hold any of these positions, and will hold that position for only one year. The President-elect and Secretary will be elected annually by the members of the Medical Faculty Council. The Medical Faculty Council shall adopt its own bylaws consistent with this document, the Faculty Handbook, and University policies.

- c. The SENIOR STAFF, composed of all vice deans, senior associate deans, associate deans and other administrators essential to the operation of the Keck School of Medicine shall be advisory to the Dean in matters pertaining to the governance and administration of the Keck School of Medicine. The Senior Staff shall meet regularly with the Dean, will be assigned duties by the Dean, and will advise the dean on all matters under their individual purview. The Dean shall appoint, subject to the approval of the Provost, senior deans (Vice Deans, Senior Associate Deans, and Associate Deans) that he/she deems necessary for the efficient administration of the Keck School of Medicine. With the approval of the Dean, senior deans may appoint Assistant Deans to help them carry out their duties, All senior and assistant deans shall serve at the pleasure of the Dean, Provost and President of the University.
- d. The STANDING COMMITTEES at the Keck School of Medicine shall function in an advisory capacity to the Dean regarding matters of policy. The standing committees shall report either directly to the Dean or through a vice dean, senior associate, or associate dean, who serve as ex officio members of the standing committee. Standing committees are advisory to the Dean, thus the Dean is not obligated to accept or implement the standing committees' recommendations. Guidelines for Standing Committees may be found in Appendix C.

IV. ADMINISTRATIVE OFFICES OF THE KECK SCHOOL OF MEDICINE

A. Educational Affairs

The Vice Dean for Educational Affairs (or other responsible administrator designated by the Dean) shall be responsible for overseeing the implementation of the Keck School of Medicine's mission for medical and graduate education. This administrator shall report directly to the Dean and shall advise the Dean on all issues relating to medical students, including curriculum, student affairs, and educational policy, and similar appropriate aspects of graduate education and graduate education policy. The Vice Dean shall oversee formation of new academic programs, and will be responsible for leading the school in preparation for LCME accreditation site visits. The Vice Dean shall supervise other associate and assistant deans appointed by the Dean who are responsible for student affairs, curriculum, medical student admissions, graduate medical education (training of interns and residents) and post-graduate medical education for medical education. The Vice Dean will similarly supervise other associate and assistant deans appointed by the Dean who are responsible for master's degree, undergraduate, professional (e.g., Physician's Assistant), certificate and doctoral (PhD) programs. The Vice Dean will be responsible for all joint training programs with other schools. The Vice Dean may constitute subcommittees to deal with educational matters as needed.

Standing Committees for Educational Affairs

The Vice Dean for Educational Affairs may appoint faculty to serve on Standing Committees for Educational Affairs following the Guidelines for Standing Committees (Addendum C) as deemed necessary to fulfill the obligations of the office. The standing committees for Educational Affairs currently include the Admissions Committee, the Educational Policy Committee, the Student Affairs Committee, the MD/PhD Committee,

and the Graduate Council. Associate and Assistant Deans may be assigned to these committees as *ex officio* members by the Vice Dean as appropriate.

Admissions Committee

The Admissions Committee shall evaluate and consider interviewed applicants for the medical school class and shall make recommendations concerning the admission of such applicants. It shall also consider and recommend procedures for the consideration of applicants leading to an entering class consistent with University policy on equal opportunity.

Educational Policy Committee

The Educational Policy Committee considers and evaluates all matters relating to medical education within the Keck School of Medicine; reviews the medical curriculum in terms of general scope, schedule and philosophy; reviews current standards for accreditation and licensure, ensuring that the curriculum meets or exceeds such standards; formulates and recommends to the Dean such educational policies or procedures as it deems necessary; evaluates student progress in relationship to the academic goals of the departments; and establishes standards and procedures for the evaluation of faculty teaching. The recommendations of the committee shall be reviewed by the Dean who shall have final approval authority;

Student Affairs Committee

The Student Affairs Committee shall consider and evaluate all matters dealing with student affairs, including financial aid, student housing, student recreation, and shall assist the Associate Dean for Student Affairs (or responsible administrator) in the area of student affairs. The committee shall oversee counseling services for students, and hear student clerkship evaluation appeals as described in the Student Handbook. It may establish subcommittees it deems necessary; this shall include (but is not necessarily limited to) a subcommittee on financial aid.

M.D./Ph.D. Committee

The M.D./Ph.D. Committee recommends acceptance of students into the joint M.D./Ph.D. program of the University of Southern California and the California Institute of Technology, monitors student progress and mentor responsibilities, and recommends disbursement of financial assistance. Admissions decisions will be considered by the M.D./Ph.D. Committee as well as the Keck School of Medicine Admissions Committee.

Graduate Council

The Graduate Council is responsible for reviewing changes in graduate courses, evaluating curriculum, recommending policies and reviewing procedures for graduate programs leading to the M.S., M.P.H., and Ph.D. degrees. This committee shall advise the Associate Deans for Graduate Affairs (or responsible administrators) on all matters pertaining to graduate education in the Keck School of Medicine. This will include all matters dealing with graduate student affairs, including financial aid, student counseling,

student housing and student recreation. The Council may establish appropriate subcommittees as it deems necessary.

B. Faculty Affairs

The Vice Dean for Faculty Affairs (or responsible administrator) shall report to the Dean on all matters that pertain to the faculty and their academic activities. The Vice Dean shall counsel faculty with regard to policies and procedures of the University and the Keck School of Medicine. The Vice Dean shall coordinate School activities related to faculty recruitment; appointments, promotions, and tenure; programs for faculty mentoring; nomination of faculty for honors and awards; awarding of sabbaticals, and other leaves, emeritus status and retirement. The Vice Dean shall issue all faculty contracts, ensure that faculty salaries are equitable, and work to enhance the effectiveness of the annual faculty evaluation of activities. The Vice Dean shall work on behalf of the school in faculty issues resulting in grievances and any disciplinary actions (which are governed by University-wide policies and procedures). The Vice Dean shall supervise the maintenance of faculty personnel records. The Vice Dean may constitute faculty subcommittees to deal with faculty personnel matters as needed.

Faculty Appointments, Promotions, and Tenure Committee (Panels)

The Faculty Appointments, Promotions, and Tenure Committee (FAPTC) shall act in concert with the Faculty Affairs Office to advise the Dean on faculty personnel actions involving rank and duration of initial appointment, promotions and tenure. Deliberations of the FAPTC will be initiated by a written recommendation from the department chair and accompanied by the faculty member's dossier as required by University policy. The FAPTC is comprised of respected faculty drawn from the various departments and the MFC. The Committee is divided into multiple panels. It will include both tenured and nontenured faculty, and both basic science and clinical faculty. At least 3/5 of the committee members must be tenured or hold the designation of Clinical Scholar. The term of appointment is as is described under the Guidelines for Standing Committees (Appendix C).

C. Research

The Vice Dean for Research (or responsible administrator) shall report to the Dean on all matters pertaining to research activities at the Keck School of Medicine as well as graduate programs. The Vice Dean shall work to establish the research programs in clinical and basic science departments and institutes, to maximize the potential for interdisciplinary research programs, and to aid in the strategic recruitment of new faculty to strategic research directions. The Vice Dean shall promote research activities and collaborations within the Keck School of Medicine and between faculty from the School and faculty in other University units, and shall help provide training and mentorship in research activities for faculty. The Vice Dean shall be responsible for issues of scientific conduct, protection of human subjects and compliance with federal and other regulations related to research. The Vice Dean may appoint subcommittees to review issues of

scientific misconduct, subject to University policies on scientific misconduct, or any other issues pertinent to the research mission of the Keck School of Medicine.

Faculty Research Council

The Faculty Research Council will serve in an advisory capacity for the recruitment of tenure-eligible faculty into or within the Keck School of Medicine. The goals of the FRC are: (1) to assure recruitment of the highest quality individuals in areas that best fit the needs of the school and its departments and institutes; and (2) to see to a solid mentoring plan for any junior level faculty members successfully recruited. To meet these goals, the FRC will evaluate all proposals for new recruitments of tenure-eligible faculty, track the recruitment process, evaluate final selections, and, for junior-level faculty successfully recruited, evaluate the initial mentoring plan. Results of these evaluations will be reported in a timely manner to the Dean, who will use the information to guide decisions about recruitment of new faculty.

D. Administration and Finance

The Chief Operating Officer of the Keck School of Medicine (Senior Vice Dean or other responsible administrator) shall be responsible for developing and administering the budget for the Keck School of Medicine. He/She shall advise the Dean with regard to budgetary issues and shall prepare financial reports. He/She shall ensure that University policy is followed with regard to financial policies and procedures.

V. AMENDMENT TO THE GOVERNANCE DOCUMENT

Amendments to the Governance Document may be proposed by the Medical Faculty Council, the Dean or petition of 25 full-time faculty. The substance of a proposal will be posted on-line to allow comment from the medical school faculty. The Medical Faculty Council may by majority vote endorse an amendment, and make a recommendation to the Dean. The Dean will make a recommendation concerning the amendment to the Provost. Authority to amend the Keck School of Medicine Governance Document rests with the President of the University. Amendments to the Appendices may occur from time to time on an as needed basis. The Medical Faculty Council may by majority vote endorse an amendment and make a recommendation to the Dean. The authority to amend the Appendices rests with the Dean.

APPENDIX A: Responsibilities of Department Chairs

The Keck School of Medicine's activities are the responsibility of the Dean, who delegates to the vice deans and senior associate deans, who in turn delegate appropriate responsibilities to each Department Chair. The Department Chair works with the respective vice deans and senior associate deans and is subject to their direction. Department Chairs report annually to the Dean as to the contributions of their Department and faculty to the educational, clinical, and research mission of USC and the Keck School of Medicine. The responsibilities and expectations for department chairs are outlined below, and may change from time to time. Additional specific performance goals may be agreed upon with the Dean.

I. Leadership and Institutional Commitment

Chairs are responsible for providing overall direction within their department to further the education, research and clinical service missions of USC and the Keck School of Medicine, and for departmental faculty and budgetary affairs.

II. Education

Chairs are responsible for actively promoting promote the participation of department faculty in the teaching of medical students, graduate or professional students, and postgraduate trainees at every level, fostering mastery of academic content, skills, and providing mentoring in professional development.

III. Recruitment

Chairs are responsible for the strategic recruitment of clinical and research faculty to support the clinical and research missions of the department, respectively.

IV. Research

Chairs work with the Vice Dean for Research to establish the research programs in their departments, to maximize the potential for interdisciplinary research programs, and in the strategic recruitment of new faculty to support their research direction.

V. Budget and Administration

Chairs manage budgets in accordance with the policies promulgated by the University and are expected to achieve a balanced budget on an annual basis and to comply with all university and school human resource policies.

VI. Clinical Affairs -Clinical Department Chairs

Clinical Chairs are responsible to the Dean to work cooperatively with other chairs, The Doctors of USC, and the USC Hospitals to achieve the full potential of our academic health center, USC Medicine, and are expected to promote a culture of clinical excellence in all practice settings.

APPENDIX B: Responsibilities of Institute Directors

Institute Directors at the Keck School of Medicine report annually to the Dean as to the strategic directions and their contributions to the research missions of the Institutes to USC and to the Keck School of Medicine. They work with the respective vice deans and senior associate deans and are subject to their direction. They partner with academic department chairs in faculty evaluation, faculty research mentoring and faculty career development. The responsibilities and expectations for department chairs are outlined below, and may change from time to time. Additional specific performance goals may be agreed upon with the Dean.

I. Leadership and Institutional Commitment

Institute Directors are responsible for providing overall direction within their unit to further the research and clinical/translational missions of USC and the Keck School of Medicine.

II. Education

Institute Directors are responsible for actively promoting the participation of institute faculty in training students, postdoctoral fellows, residents, and other faculty in research activities integral to the Institute's mission.

III. Recruitment

Institute Directors are responsible for the strategic recruitment of clinical and research faculty to support the clinical and research missions of the department, respectively.

IV. Research

Institute Directors work with the Vice Dean for Research to establish the research programs in their departments, to maximize the potential for interdisciplinary research programs, and in the strategic recruitment of new faculty to support their research direction.

V. Budget and Administration

Institute Directors manage budgets in accordance with the policies promulgated by the University and are expected to achieve a balanced budget on an annual basis and to comply with all university and school human resource policies.

Appendix C. Guidelines for Standing Committees

The standing committees shall consider any and all aspects within the scope of their specific charge (committees are listed according to the office to which they report) subject to the approval of, and the power of review by, the Dean, and subject always to the policies and directives of the University President and Board of Trustees.

- a. Chairs of Standing Committees and Members are appointed by the Dean on the recommendation of a senior dean as appropriate. Terms of membership on the standing committees shall usually be three years with the possibility of reappointment. Appointments shall be staggered so that one-third of the committee is appointed annually. Vacancies shall be filled as they occur.
- b. Medical student members shall be nominated by the Associated Students of the Keck School of Medicine and graduate student members shall be nominated by the Keck School of Medicine Graduate Students Association for membership on all appropriate standing committees except the Faculty Appointments, Promotion and Tenure Committee (FAPTC). Terms of membership of student committee members will be one year, corresponding to the beginning of the academic year.
- c. A quorum shall consist of one half of the voting members of the committee or as specified by committee rules. Recommendations favored by less than two-thirds of the quorum present at any meeting may be accompanied by a minority report.
- d. Administrative personnel serving *ex officio* shall not have voting privileges.
- e. When a standing committee is in executive session, only voting and *ex officio* members shall be present.
- f. The Dean's office will provide appropriate staffing for all standing committees and the Medical Faculty Council.
- g. Individual faculty members may attend standing committee meetings (except committees considering faculty appointments, promotion and tenure; individual student admissions, financial aid, and problems, or other confidential matters). Guest faculty are asked to inform the chair of the committee in advance of their attendance.
- h. Annually, a list of all appointed members of standing committees and committee chairs shall be disseminated to the faculty. A calendar of committee meetings should be made available to the faculty in a timely manner.
- i. The Dean shall survey the faculty annually to determine their interest in serving on standing committees or anticipated special task forces that the Dean may form during the course of the year; the Dean (or the Dean's designee) shall make the final decisions on committee and task force appointments. The Medical Faculty Council may nominate faculty to the Educational Policy Committee and the FAPTC.