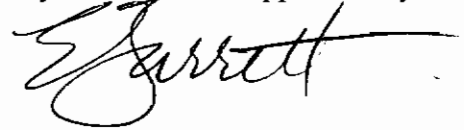


Keck School of Medicine of the University of Southern California Review of Departmental Chairs and Institute Directors

As proposed by the Dean after consultation with the Keck Faculty Council and approved by the Provost on 5/3/2012.



Introduction

The Dean of the Keck School of Medicine is responsible for reviewing the academic and administrative performance of Department Chairs and Institute Directors both annually, and comprehensively on a periodic schedule. Comprehensive reviews are similar to the annual review, but will review progress made over the entire time in office of the Chair or Director, and will include a broad-based survey assessing the leadership of the Chair or Director by all constituencies of the Department or Institute (faculty, staff, trainees), as well as an invitation to assess the leadership by external or allied Departments and hospital or academic program leadership, as relevant.

Goals of Reviews

Comprehensive reviews seek to identify areas in which the Chair or Director has been successful and areas that could benefit from improvement, and to offer suggestions that will be helpful to the Department or Institute. A review should always be conducted as a collaborative exercise in strengthening the leadership of the unit and helping it achieve its goals. A review may thus lead to a decision that reappointment of the Chair or Director is the best course, or alternatively, that a change in Department or Institute leadership is in the best interest of the unit.

Timing of Review

At the Keck School of Medicine, no Department Chair or Institute Director will serve for a term of greater than five years without a comprehensive review. For those Chairs and Directors whose initial appointment was for a defined expected term (e.g., up to five years), the comprehensive review will typically be scheduled during the penultimate year of the term (e.g. during the fourth year for a five year expected term.) For those Department Chairs or Institute Directors who have already served for five or more years at the time of the adoption of this document, it is anticipated that a comprehensive review will be scheduled as soon as is practicable, but no later than the next fiscal year. At the Dean's discretion, a comprehensive review may be held up to one year earlier or later than this schedule, to coordinate with (or alternatively, to avoid conflict with) the timing of external accreditation or a study by the University Committee on Academic Review

Authority of the President

All administrators at USC, including Department Chairs and Institute Directors, serve at the pleasure of the President and the President's delegates, which is to say that the President, Provost or Dean may terminate their administrative appointment at any time, with or without cause.

Criteria for Review.

The assessment of the leadership of each department Chair and Institute Director will be based on their performance according to the current documents entitled Duties and Responsibilities of Clinical [or Basic Science] Department Chairs and Institute Directors.

Procedures for Comprehensive Reviews

The review will include:

1) PREPARATION. The Dean's Office will inform the Department Chair or Institute Director when a comprehensive review is scheduled. The Dean will discuss with the Chair or Director the process and the expected self-study. The Dean will consult with the Keck School Faculty Council (and may also, at his/her discretion, appoint a consultative committee) to provide feedback and suggestions for custom modifications of the template survey instruments and to make recommendations concerning who may be interviewed to provide important insight and information of relevance to the evaluation of the Chair or Institute Director.

2) SELF-STUDY. A self-study document will be prepared by the Department Chair or Institute Director, including information for the entire period of the comprehensive review. The scope of the self-study is described in the guidelines appended to this document. This self-study will be provided to the faculty and staff and the others who will participate in the review. The Dean's office will provide a deadline for the preparation of the self-study.

3) LETTERS AND INTERVIEWS. The Dean will invite all members of the Departmental or Institute faculty, Departmental or Institute staff, executive leadership of the affiliated hospitals, trainees of the Department or Institute (residents, clinical fellows, graduate students, postdoctoral fellows and medical students), other Keck School Department Chairs and Institute Directors or other individuals from within or outside USC having knowledge of the Department or Institute, selected to share in writing or in person their perceptions of the strengths and weaknesses of the Departmental leadership and programs. When appropriate, the Dean may appoint an external peer review committee to assist in evaluating the Chair or Director's performance.

3) SURVEY. In addition to the letters and interviews, a survey instrument for the Department faculty, staff and trainees and hospital leadership will be prepared by custom modification of a template, to specifically apply to the constituencies and for the department. The survey instrument will be designed to elicit views, concerns, and recommendations pertinent to departmental leadership and programs. Those participating in the survey will be afforded the option of signing their names or participating anonymously in a way that protects the integrity of the process (e.g., a two envelope system). In every instance the Dean and Provost shall scrupulously protect the identity of all participants in the process so that the person under review cannot learn which individual expressed what views.

4) PREPARATION OF SUMMARY. The survey returns will be reviewed and the results tabulated, and will be combined with any additional information that has come forward through the letters and interviews described above, and all data will be summarized for presentation by the Dean and the Vice Dean for Faculty Affairs. The summary will not identify who was the source of any view.

5) **DISCUSSION WITH FACULTY COUNCIL.** The Dean will discuss the summary with the Keck School Faculty Council, in the strictest confidence. The Dean will note recommendations made by the Council.

6) **DISCUSSION WITH CHAIR OR DIRECTOR.** The Dean will discuss the results of the review and evaluation with the Department Chair or Institute Director. This is an opportunity for the Dean to provide important departmental feedback and advice to the Chair or Institute Director on his/her leadership and progress. The Chair or Institute Director may offer responses. The Chair or Director, and the Dean, will consider actions proposed to be taken to address Departmental/Institute goals, and opportunities for improvement which have been identified.

7) **REPORT TO THE PROVOST.** The Dean will provide for the Provost the self-study, the summary of the review, any recommendations made by the Keck School Faculty Council, the Chair or Director's responses, and actions proposed to be taken.

If the Dean determines that a change in the leadership of the Department should take place, the Dean should make such a recommendation to the Provost. Provost's approval is required for the Dean's recommendation to either continue or terminate a Department Chair or Institute Director appointment.

8) **FEEDBACK TO THE DEPARTMENT.** After the Provost's decision has been communicated to the Chair or Institute Director, the Dean will report to the Department or Institute that the evaluation has concluded and indicate that the Chair or Institute Director will either continue or not continue in office. A Chair or Institute Director who is continued in office shall promptly hold a faculty meeting at which he or she discusses what actions will be taken to address department goals and opportunities for improvement which have been identified.

Confidentiality

The confidentiality of documents generated through this process shall be respected at all times. The Dean and Provost will protect the participants so that it is never revealed who expressed what views.

Appendices:

- A) Duties and Guidelines for Clinical Department Chairs
- B) Duties and Guidelines for Basic Sciences Department Chairs and Institute Directors
- C) Guidelines for preparation of the Self Study
- D) Template survey for Faculty, Staff and Trainees

GUIDELINES FOR PREPARATION OF CHAIR/INSTITUTE DIRECTOR SELF STUDY:

In preparation for the self-study process, each Department Chair/Institute Director should provide:

- 1) The following data from your Department/Institute should be provided:
 - a. The organization chart of the Department/Institute, including names of key staff members.
 - b. A list of all faculty members, staff members and trainees within the unit and their email addresses
 - c. A list of current residents, fellows, Ph.D. students and those who have graduated during the past five years (including current addresses), with whom you have interacted
 - d. A table of faculty members hired, who have left for another position, or who returned during the last five years, and their email addresses (see attached)
 - e. A list of emeriti faculty members within the last 5 years, and their email addresses
 - f. Please provide a composite list of all department/institute faculty publications and grant funding for the past 5 years
- 2) Your current CV and bibliography, including your current committee obligations, both in the hospital and on campus.

You should also include a personal statement that provides information (as applicable) that addresses the bullet points below. Use your own format.

- A description of the state of the department/institute for the last 5 years (up to the present), discussing strengths, weaknesses, opportunities and threats
- Discuss the effectiveness of your leadership thus far, using the Department and Institute Director Duties and Responsibilities (attached) as a guide.
- Your objectives/goals for the department/institute when you assumed the chairmanship/directorship; and the extent to which these have been realized (including the factors that contributed to the success or lack thereof).
- Your plans for the future of the department for the next five years, and over the long-term.

Examples of details you may want to consider in your statement:

- Efforts to develop and sustain fundamental basic science or clinical research efforts
- Your efforts in career development and mentorship for your faculty
- Your efforts to improve and value diversity in faculty, staff and students
- Development and maintenance of academic programs, including efforts in education of undergraduate medical students, graduate medical training, PhD and master's degree training, efforts to develop undergraduate student or other professional training programs.
- Ranking and accreditation information that are available and relevant for your programs
- Your relationships with administrative units (as applicable): medical school, USC Care, Keck Hospital leadership, the County Hospital; partnerships with other schools
- Effectiveness of fundraising efforts.