



**ARIZONA STATE UNIVERSITY
SCHOOL OF MEDICINE AND
ADVANCED MEDICAL ENGINEERING**

Governance Document

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I. PREAMBLE

This is the governance document (the “Governance Document”) of the Arizona State University School of Medicine and Advanced Medical Engineering (“SOMME”). Any changes to this Governance Document must be made in accordance with the ASU Academic Affairs Manual (the “ACD Manual”) and Section IX of this Governance Document. Faculty members of SOMME are hereinafter referred to as the “Faculty.”

This document is intended to be consistent with Arizona state law, the conditions of faculty service established by the Arizona Board of Regents (ABOR), other ABOR policies, and ASU’s Academic Affairs Policies and Procedures Manual (ACD Manual). To the extent there is any inconsistency between this document and the documents or policies identified, the aforementioned documents and policies shall prevail. If one portion of this document is found to be in conflict with university policy or is otherwise found to be invalid, the rest of this document remains in force. This governance document is binding upon current and future administrative officers and members of the school, as referenced in the ACD manual.

II. EXECUTIVE AUTHORITY

Arizona State University (the “University”) is governed by the Arizona Board of Regents (ABOR). ABOR establishes policies, exercises powers as stated in the ABOR and ACD Manuals, controls property and conducts the affairs of the University. ABOR selects and appoints the President of the University (the “President”).

The President is the chief executive officer in charge of all University operations who is responsible for carrying out policies established by ABOR, with the authority to appoint and delegate to the officers and academic executives of the University. The President has full power of appointment, direction, and supervision of the faculties and the organization thereof.

The President has delegated responsibilities for the academic program of the ASU School of Medicine and Advanced Medical Engineering (the “SOMME”) to the Dean of the SOMME (the “Dean”), as stated in the ASU Academic Affairs Manual. All SOMME academic programs must be reviewed in accordance with university policy.

III. RESPONSIBILITY OF THE DEAN OF THE SOMME

The Dean is the chief administrative officer of the SOMME. The Dean’s responsibilities include those stated in ACD 102 and also to:

- establish and lead the mission and vision for the SOMME;
- enable outstanding educational programs for students and trainees;
- provide an environment that fosters scholarly excellence;
- manage all fiscal and administrative matters pertaining to the operation of the school;
- establish a system of academic departments within the school;
- oversee the recruitment, appointment (except for matters related to tenure), and continued employment of faculty and staff that excel in educational, research and clinical endeavors, working with the Office of the Provost as appropriate
- review and make recommendations regarding tenure and promotion as stipulated in ACD 506-04 and 506-05;
- appoint, subject to the approval of the Executive Vice President for ASU Health, senior leaders (such as Vice Deans, Senior Associate Deans, and Associate Deans), and

- Department Chairs for the effective administration of the SOMME; inform faculty, staff, and trainees regarding major initiatives, departures and appointments of senior administrators and searches to fill faculty positions and administrative offices.

IV. FACULTY

A. FACULTY AT LARGE

For the purposes of this governance document, the Faculty of the SOMME (the “Faculty”) includes all persons with full-time and part-time academic appointments (tenure track, clinical, research, and any educational tracks) at the SOMME, whether or not primarily located at the Downtown Phoenix Campus.

The Faculty participate in governance of the School through the SOMME Faculty Council (the “Faculty Council”; refer to Section VI.A.), committees, or other representatives or delegates. The Faculty contribute to long-term planning and achievement of the mission and goals of the SOMME.

Faculty are appointed to three different categories: tenure-eligible, career-track and clinical positions through ASU’s clinical partners, and adjunct positions in accordance with the ASU policies on faculty appointment.

In accordance with ASU practice, faculty appointments will be made in adherence to ACD 505-06.

B. DEPARTMENT CHAIRS AND CENTER DIRECTORS

Department Chairs and Center Directors are appointed by the Dean, after consultation with the Executive Vice President for ASU Health and the Provost. Candidates should be identified and reviewed through a competitive search process. Per ACD 111-01, at least half of the members of search committees for chairs should be elected by the faculty and the rest may be appointed by the hiring authority. Department Chairs have authority delegated by the Dean, Vice Deans, and Senior Associate Deans, as applicable to their role, in accordance with policies of the University.

Per ACD 102, Department Chairs and Center Directors are responsible for the overall direction and oversight of their respective department or center, its relationship to the SOMME and University as a whole, and its relationship with external stakeholders. Their responsibilities are further described in the ACD Manual.

Center Directors may be appointed directly by the Dean, or by a Department Chair after consultation with the Dean.

Department Chairs and Center Directors are appointed on an annual basis and serve at the pleasure of the Dean, Executive Vice President for ASU Health, Provost, and President of the University. They are reviewed, at minimum, every other year. This review cycle may or may not be in the same cycle as the University Academic Program Review. If the Centers are organized within a department, Center Directors may also serve at the pleasure of the Department Chair. -

V. ADMINISTRATIVE OFFICES OF THE SOMME

The Dean determines the organizational structure and administrative offices and roles

necessary for effective administration of the SOMME. The Dean, in consultation with the Provost as appropriate, may amend the organizational structure, administrative offices and roles at any time.

The Dean appoints and delegates responsibilities to senior administrators including senior deans (Vice Deans, Senior Associate Deans, Associate Deans, Assistant Deans). All senior administrators provide counsel to the Dean; supervise senior leaders (such senior associate, associate, assistant deans; directors; etc.) and staff; and are responsible for implementation of and compliance with policies, procedures, and guidelines of the University and the SOMME. With the approval of the Dean, senior administrators may convene committees and task forces as advisors and senior deans may appoint Assistant Deans. In the event of a vacancy in a key role, the Dean may appoint an interim, appoint a replacement, allocate responsibilities to one or more other individuals, or leave the role vacant.

Senior administrators and their respective offices are expected to have an inclusive approach to stakeholder engagement and decision-making, including communicating and collaborating effectively with the offices and staff of the University, Department Chairs and Center Directors and their administrators, SOMME administration, faculty affairs, medical education, graduate medical education, research administration, affiliated clinical partners, affiliated teaching partners, and other leaders of the SOMME.

A. ADMINISTRATION AND FINANCE

A senior administrator designated by the Dean oversees operations and financial administration of the SOMME. These responsibilities include but are not limited to: establishing and managing budgets, accounting, financial reporting, human resources, information technology, space planning and management, research administration, clinical trials administration, and other areas as may be designated by the Dean.

The office coordinates the Continuous Quality Improvement Executive Committee, a standing committee of the SOMME.

i) Continuous Quality Improvement Executive Committee

The Continuous Quality Improvement Executive Committee shall oversee continuous quality improvement activity related to the medical education program and accreditation compliance, and data gathering and reporting related to the School's Strategic Plan. It shall serve as the central clearinghouse for reports from faculty and staff committees and offices related to continuous quality improvement and strategic plan monitoring and provide regular reports to the School's leadership.

B. CLINICAL AFFAIRS

A senior administrator designated by the Dean oversees relationships between the SOMME and affiliated clinical partners including hospitals, health systems, medical centers, and faculty practice groups.

C. FACULTY AFFAIRS

A senior administrator designated by the Dean oversees faculty affairs of the SOMME, in concert with department chairs as appropriate per ACD 111-03. This may include but is not limited to recruitment; issuing letters of offer; managing and retaining contracts and other employment records;

procedures for appointments, promotions, and tenure; performance evaluations and reviews; merit reporting and salary proposals; grievances and disciplinary actions; development and mentoring; awarding of sabbaticals, and other leaves, emeritus status, and retirement.

[ASU Academic Affairs Manual](#) (ACD 505-06: Recruitment/Appointment, ACD 506-04 Tenure, ACD 506-05: Faculty Promotion) are the definitive guidelines of the University's policies and procedures regarding appointments, promotions, and tenure. As part of the process, the office coordinates the following standing committees of the SOMME which are governed by the Combined Guidelines for Faculty Appointments and Promotion (the "SOMME AP Guidelines"):

- iii) Faculty Appointments, Promotions, and Tenure Committee (FAPTC)
The Faculty Appointments, Promotion and Tenure Committee (FAPTC) considers all appointments, promotions and tenure for tenure-eligible faculty. The committee provides its recommendations to the Dean.
- iii) Career Track Faculty Appointments and Promotions Committee (CT-FAP)
The Career Track Faculty Appointments and Promotions Committee (CT-FAP) considers all appointments and promotions for career track faculty. The committee provides its recommendations to the Dean.
- iii) Clinical Practice Faculty Appointments and Promotions Committee (CP-FAP)
The Clinical Practice Faculty Appointments and Promotions Committee (CP-FAP) considers all appointments, promotions and tenure for clinical practice faculty. The committee provides its recommendations to the Dean.

D. BIOMEDICAL SCIENCE EDUCATION

A senior administrator designated by the Dean oversees the educational programs that do not include training or responsibilities in clinical or patient care; this includes, but is not limited to, doctoral degrees (PhD), master's degree, and certificate programs offered at the SOMME. The office is responsible for program oversight, development, and operations including admissions, curriculum, degree progression, commencement, student affairs and well-being, the learning environment, accreditation, integrity, compliance with university requirements, and professional conduct issues.

The office coordinates the Graduate Education Council which is an advisory committee of the SOMME, related to the Biomedical Science Education programs.

- i) Graduate Education Council
The Graduate Education Council is a consultative body that provides recommendations regarding graduate programs (PhD, master's, and certificate) to the designated senior administrator. The Graduate Education Council is composed of all graduate program directors (PhD, master's, certificate) and other faculty as needed. This Council may be consulted on matters concerning establishment, oversight, and quality measurements of education programs; classroom assignments; graduate student commencement; and student advising.

E. MEDICAL EDUCATION

A senior administrator designated by the Dean oversees the educational programs that include training or responsibilities in clinical or patient care; this includes, but is not limited to, Doctor of Medicine

(MD), Masters in Advanced Medical Engineering as a joint degree with the MD degree program, and any other joint degree programs offered with other schools. The office is responsible for program development (including new program creation), admissions, curriculum, degree progression, commencement, student affairs and well-being, the learning environment, accreditation, integrity, compliance with university requirements, and professional conduct issues.

The office coordinates the following standing committees of the MD program of the SOMME. Standing committee charges and descriptions of how the committees are constituted are in the Appendices (Section X).

i) Admissions Committee

The Admissions Committee has the authority to formulate and approve policies related to admission to the MD program of the SOMME. The Committee evaluates applicants to the MD program, including applicants for joint degrees of which the MD is a part, and applicants seeking advanced standing. The Committee is the sole decision-maker and final authority for extending offers of admission to the MD degree program.

ii) Curriculum Committee

The Curriculum Committee (CC) has the authority to formulate and approve policies related to curriculum and learning enrichment for the MD program. The CC oversees the MD curriculum as a whole, including the overall design, management, integration, evaluation and assessment, standards of achievement, and enhancement of a coherent and coordinated curriculum. The CC ensures the implementation of formally adopted medical education program objectives.

iii) Student Performance Committee

The Student Performance Committee (SPC) oversees MD student academic performance and student professional conduct, determines the ability of the student to meet the Essential Characteristics and Abilities, makes decisions about remediation, and decides eligibility for promotion and graduation.

iv) Medical Education Program Committee

The Medical Education Program Committee has the authority to approve policy and strategic priorities that relate to student affairs, student experience, student health and wellbeing, student records, scholarships and financial aid. The Medical Education Program Committee is advisory to the Dean and to the Curriculum Committee.

v) Policy Governance Committee

The Policy Governance Committee provides strategic direction and oversight for the governance of school-wide policies and related policy resources. The Policy Governance Committee reviews and makes recommendations to the dean about approval of policies that do not fall under the scope of other specific SOMME Committees or administrative leaders.

F. GRADUATE MEDICAL EDUCATION

A senior administrator designated by the Dean oversees physician residency/fellowship programs for which the SOMME is identified as a Sponsoring Institution by the Accreditation Council for Graduate Medical Education (ACGME). The senior administrator may also serve as the Designated Institutional Official (DIO) as defined by the ACGME. The office engages with the Designated Institution Officials of all Sponsoring Institutions for which SOMME faculty serve as core educators.

G. RESEARCH

A senior administrator designated by the Dean oversees research activities of the SOMME. The office assists with the establishment and effective operation of research programs in clinical and basic science departments, as well as interdisciplinary, interschool, and cross-institutional collaborations; recruitment of faculty to support strategic research; promotion of research activities and collaborations; faculty training and mentorship; and oversight of scientific integrity or research misconduct, protection of human subjects and compliance with federal and other regulations related to research.

VI. ADVISORY BODIES TO THE DEAN

A. FACULTY COUNCIL

The SOMME Faculty Council is the elected faculty council for the SOMME consisting of representation from the tenure-track faculty, the career-track faculty, and the professors of clinical practice/professor of medicine. Each group will elect three representatives. The Faculty Council:

- is a center of independent initiative in recommending policies, and disseminating information; and
- is a deliberative and consultative body with the authority to make studies, reports and recommendations on all matters that have a significant bearing on the work of the faculty.

The Faculty Council is governed by the Bylaws of the Faculty Council of the SOMME, as amended from time to time. The senior administrator designated by the Dean to oversee faculty affairs (refer to Section V.C.) serves as an ex-officio support role for the Faculty Council to facilitate communication between the Faculty Council and the Dean's office.

B. DEPARTMENT CHAIRS AND CENTER DIRECTORS

The Dean convenes the Department Chairs and Center Directors in order to exchange information relevant to the departments, institutes, and the school. The Department Chairs and Center Directors are important advisory groups to the Dean on matters affecting the SOMME, including issues affecting faculty, staff, students and trainees, education, practice, recruitment, space, infrastructure, policy, and strategy. The Dean may invite others to participate in these discussions, such as representatives of University offices, ASU Health, and other leaders of the SOMME.

C. RESEARCH COUNCIL

After consultation with the department chairs regarding potential members, the Dean convenes leaders that have a substantial commitment to research in order to exchange information relevant to research efforts in the departments, centers, school, interschool, university, and external collaborations. The Research Council is an important advisory group to the Dean on matters affecting the SOMME and the clinical affiliate, including issues affecting research faculty, staff, students and trainees, recruitment, space, infrastructure, policy, and strategy. The dean may invite others to participate in these discussions, such as representatives of university offices, ASU Health, and other leaders of the SOMME.

D. SENIOR ADMINISTRATIVE LEADERSHIP

The Dean convenes senior administrative leaders such as vice deans, senior associate deans, and other administrators in order to exchange information relevant to leadership, operations, and strategy of the

SOMME. The name and composition of this group may change from time to time, based on the Dean's assessment. These leaders are an important advisory group to the Dean on matters affecting the SOMME. The Dean may invite others to participate in these discussions, such as representatives of University offices, ASU Health, and other leaders of the SOMME.

E. COMMITTEES

The Dean may charter Committees or Task Forces to provide recommendations to the Dean, other leaders, and the faculty at large regarding matters of policy. Upon chartering a committee or task force, the Dean will determine the objectives, composition, deliverables, milestones, and accountability. Unless otherwise indicated, a committee serves the Dean and the School in an advisory capacity, and the Dean is not obligated to accept or implement the committee's conclusions or recommendations.

VII. PROCESS FOR ESTABLISHING POLICIES

Policies that relate to the medical student education program, including curriculum and student affairs policies, pre-requisite courses, and essential characteristics and abilities, are approved by the Curriculum Committee.

Policies that relate to the selection and admission of students to the medical student education program are approved by the Admissions Committee.

Policies that relate to student affairs, student experience, student health and wellbeing, student records, scholarships and financial aid are approved by the Medical Education Program Committee.

In the event that policies relate to numerous constituencies, each relevant committee will provide responses and suggestions; the final proposed policy will be approved by all relevant committees.

The Policy Governance Committee provides strategic direction and oversight regarding other proposed policies, including policies that relate to faculty promotion and appointment, research, and clinical affairs. These types of policies would then be approved by the Dean.

In order to obtain the greatest representation possible of the faculty, when deemed advisable and prudent by the Dean and a majority of the members of the Policy Governance Committee, a policy that would typically be recommended by the Policy Governance Committee and approved by the Dean may be brought to the Faculty Council or Faculty at Large for voting.

Administrative policies, which are policies that do not affect faculty, are approved solely by the Dean or the senior administrator for administration and finance.

VIII. CLARIFICATION AND HIGHER AUTHORITY

All policies and procedures of the Arizona Board of Regents and Arizona State University take precedence over this document. Clarification of such policies and procedures and of this document may be sought from the Dean, and from the office of General Counsel.

IX. AMENDMENTS

The President, or at their direction, the Executive Vice President for ASU Health, has the authority to amend the Governance Document.

An amendment to the Governance Document may be proposed by

- The Dean,
- A majority vote of the Faculty Council, or
- A petition by twenty-five (25) full-time faculty members.

The Dean, or the Dean's delegate, will manage the amendment request process. In order to propose an amendment to the Dean, the originator of the amendment should submit to the Dean:

- Memorandum describing the amendment and the rationale for the amendment;
- Documentation supporting the amendment (evidence of majority vote of the Faculty Council or petition); and
- Draft language for the amendment.

The memorandum and draft language will be posted to the SOMME intranet, and a notification will be sent to all faculty inviting review and comment for a 30-day period. The Dean may engage other advisors to review and comment on the proposal. The Dean and the Faculty Council will review all comments, and the Dean and/or the Faculty Council may propose revised language of the amendment. The Faculty Council will vote on the proposed amendment language and, if approved by majority vote, will recommend the amendment to the Dean. The Dean will make a recommendation concerning the amendment to the Executive Vice President for ASU Health, and the Executive Vice President for ASU Health will make a recommendation to the Office of the Provost for review. If the final decision regarding an amendment is contrary to the recommendation of the Faculty Council, the Dean will provide an explanation to the Faculty Council, or to the petitioners, or both, as appropriate.

Appendices

Documents referenced elsewhere in this Governance Document, may be listed and hyperlinked in the Appendices (Section X) to facilitate access, document retrieval, and version control. These referenced documents may be amended from time to time for reasons and by processes independent of this Governance Document. Notwithstanding this Section regarding amendments to the Governance Document, an update of a document referenced in the Governance Document and listed in the Appendices shall not constitute a substantive amendment to the Governance Document and will not initiate an amendment review and recommendation process. Section X may be updated at any time and the date of the last update will be noted in Section X.

X. APPENDICES

Documents referenced in the Governance Document are listed below.

Section (first mention)	Document Title	Document Version	Hyperlink
V. E.	Appendix 1. Admissions Committee Charge		
V. A.	Appendix 2. Continuous Quality Improvement Executive Committee Charge		
V. E.	Appendix 3. Curriculum Committee Charge		

V. C.	Appendix 4. Faculty Appointment, Promotion and Tenure Committee Charge		
V. C	Appendix 5. Clinical Practice Faculty Appointments and Promotions Committee Charge		
V. C	Appendix 6. Career Track Faculty Appointments and Promotions Committee Charge		
VI. E.	Appendix 7. Medical Education Program Committee Charge		
VI. E.	Appendix 8. Policy Governance Committee		
V. E.	Appendix 9. Student Performance Committee Charge		